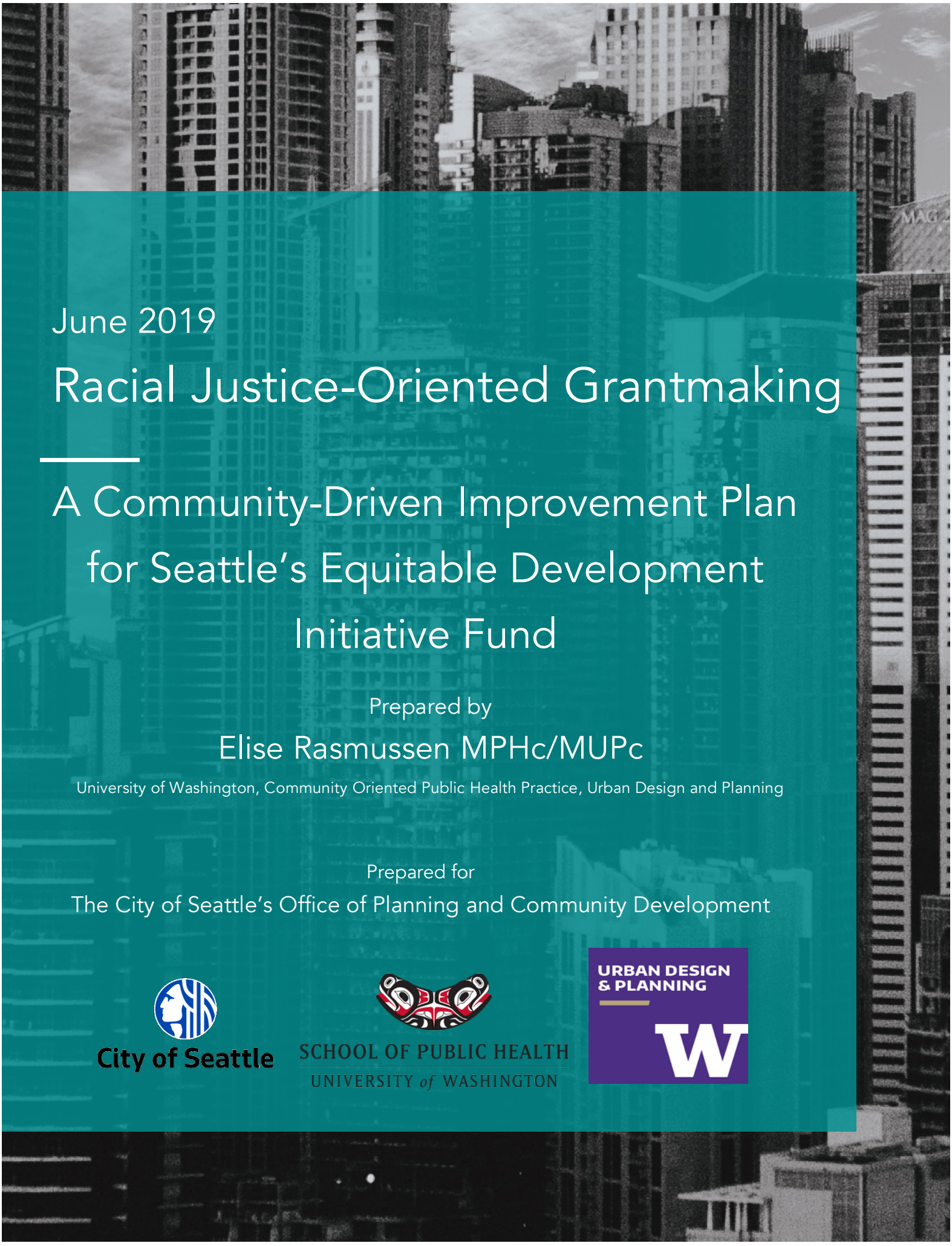

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Racial Justice-Oriented Grantmaking

A Community-Driven Improvement Plan for Seattle's Equitable Development Initiative Fund

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Abstract

Purpose

People of color are disproportionately displaced from Seattle as the city rapidly gentrifies and its cost of living soars. The City of Seattle's Equitable Development Initiative (EDI) Fund was created in partnership with community organizations to stop racialized displacement and create greater access to opportunity in Seattle's communities of color. In its third funding cycle, the EDI Fund is working to improve its grantmaking, capacity building, and impact investing support. This document contains the design for the **EDI Fund Process Improvement Plan** that, once implemented, will aid City to staff better serve and support the work that Seattle's communities of color are doing to thrive in place.

Methods

The EDI Fund Process Improvement Plan is informed by a literature review of nearly 50 white paper reports authored by experts in racial justice-oriented grantmaking. The design of the process improvement plan data collection tools was informed by the findings from the literature review and recommendations from past EDI Fund applicants who did not receive funding. Data collection tools include a community survey and eight stakeholder focus groups to target specific racially equitable policy and programming alternatives.

Findings

This report culminates recommendations for grantmaking, capacity building, and impact investing strategies, as well as overarching process, evaluation, and strategic planning recommendations that prioritize serving communities of color and racial justice work. These recommendations are specific to the current context and conditions of the EDI and EDI Fund. Second, the report includes a process improvement plan complete with data collection, implementation, and data analysis guidance and tools.

Conclusion

The goal of the EDI Fund Process Improvement Plan is to provide specific and actionable steps for the EDI team to improve EDI Fund resources, programming, and policies to serve and support community organizations that serve people of color with their anti-displacement and access to opportunities work in Seattle. If the EDI team implements this process improvement plan, in partnership with the communities they are serving, the EDI Fund will undoubtedly improve its approach to racial-justice oriented grantmaking.

Executive Summary

Project Introduction

In summer 2018, the City of Seattle's Office of Planning and Community Development commissioned University of Washington Master's of Public Health and Master's of Urban Planning concurrent degree student, Elise Rasmussen, to design a process improvement plan for the Equitable Development Initiative Fund to determine how they could restructure the Fund's outreach, **Request for Proposal (RFP)**, and grant implementation processes to prioritize racial justice and refine support systems for EDI Fund applicants and grantees. EDI Fund applicants and grantees are community-based organizations that mitigate displacement and provide greater access to opportunity for marginalized populations in Seattle.

Note from the Author: Connection to Public Health and Urban Planning

As a concurrent Master's degree student in Public Health and Urban Planning, I have researched the profound influence displacement has on the social determinants of health. It splinters social cohesion and community – essential protective factors for strong health outcomes. King County's social welfare services and opportunity centers tend to be concentrated in Seattle and jobs, services, and amenities are far less accessible via public transit almost immediately after leaving Seattle's city limits. Home values and rent are marginally more affordable outside of the city, at least for the time being, but that comes with a price. Because of displacement, individuals and families that were already struggling to make ends meet in expensive cities now have to restructure their whole lives without a social or financial safety net. Many of Seattle's former residents are forced to find a new home, school, employment opportunity, place of worship, or health care provider after being uprooted.

People of color are already disproportionately exposed to risk factors leading to adverse health outcomes due to the discrimination they face regularly, and displacement amplifies this risk. Displacement most frequently affects marginalized groups such as individuals with low incomes, people with disabilities, renters, and immigrants and refugees. This project focuses on people of color because they are being priced out of Seattle most rapidly as a result.[5] Health is inextricably linked to physical and social environments, and displacement severs both social capital and physical connection to place.

The EDI team is urgently working to support communities of color with their efforts to create or maintain healthy neighborhoods while protecting community members from gentrification and displacement as their neighborhoods become more desirable. The EDI Process Improvement Plan incorporates both urban planning and public health perspectives to fight to keep communities of color in the neighborhoods they call home.

The Purpose of the EDI Fund Process Improvement Plan

The EDI Process Improvement Plan aims to improve racial justice throughout the grantmaking process by assisting the EDI team in refining their mission and program priorities to serve communities of color. The EDI team will use the recommendations from the literature review and the findings from the survey and focus groups to dismantle norms within philanthropy that often cater to funders' needs and desires over communities' needs and desires. According to the literature, racial justice-oriented grantmakers strongly emphasize the importance of community input and shared power, and the EDI team is working to identify strategies to improve their capacity building, and eventually impact investing work with communities by first refining and improving the EDI Fund's grantmaking process.

The findings from the EDI Fund Process Improvement Plan will support the EDI team:

1. *Identifying barriers and challenges throughout the grantmaking process*
2. *Understanding community needs and preferences during the grantmaking process, and identifying ways the EDI team can feasibly cater to communities throughout outreach, application, and grant implementation processes*
3. *Reconciling mutually exclusive community preferences within the grantmaking process with concrete rationale and data from the literature review, interview, survey, and focus group findings*
4. *Providing EDI staff with specific recommendations about how to appropriately and adequately support communities during the outreach, application, and implementation phases of the grantmaking process. These recommendations will be derived from the literature review and survey, focus group, and interview findings.*
5. *Ensuring that the EDI team adequately supports grantees during project implementation, and to address any community capacity challenges*
6. *Developing a strategic plan, complete with measurable program outputs, outcomes, and objectives to monitor progress toward a shared vision between the City and communities for the Fund*

Design for the EDI Fund Racial Equity Improvement Plan

The EDI team, consisting of six full-time OPCD staff, is striving to dismantle the status quo within a larger bureaucracy. To do so, they are collaborating with local government departments, community leaders and stakeholders, and other funders, to build on existing

expertise to improve racial equity in Seattle through outcomes-oriented grantmaking and investing with the following questions in mind:

1. *How can the EDI Fund reconcile increasingly powerful pressures that force those who are most vulnerable out of the city while still working within a system that expects public tax dollars to contribute to concrete outcomes for those who have been undervalued by society?*
2. *How can the EDI address the tension between equity and efficiency to achieve the EDI Fund's purpose of social impact investing?*
3. *How must the EDI evolve to effectively bolster access to opportunities in underinvested communities while keeping residents, small businesses, and cultural enclaves in place in the current Seattle context?*

As the first of its kind, the EDI Fund Process Improvement Plan will not comprehensively answer each of these questions, but it will put the EDI and the EDI Fund on a path toward identifying Seattle-specific solutions to enhance how it serves communities of color. This focused plan will provide concrete and actionable areas for improvement with respect to the EDI Fund's grantmaking, capacity building, and impact investing policies and practices that prioritize Seattle's communities of color in the 2020 RFP and beyond.

Project Goal

The goal of this report is to design an improvement plan for the Equitable Development Initiative Fund that is informed by the grantmaking and impact investing literature and responsive to the communities the Fund serves. There are two related products to meet this goal:

1. A comprehensive review of the literature on racial justice-oriented grantmaking
2. A grantmaking process improvement plan that prioritizes racial justice, specifically for communities of color in Seattle.

Guiding Process Improvement Questions

I collaborated with the EDI team to create the guiding process improvement questions listed below. We designed these questions to guide the EDI Fund Process Improvement Plan with the goal of creating a more racially just EDI Fund program. This plan looks critically at the EDI Fund's grantmaking process from start to finish to better support organizations throughout the outreach, request for proposal, and grant implementation processes. These questions shaped the literature review methods and the community survey and focus group design.

Goal Statement & Guiding Process Improvement Questions

EDI Fund Improvement Plan Goal Statement: *The EDI Fund Process Improvement Plan will provide specific and actionable steps for the EDI team to improve EDI Fund resources, programming, and policies to serve and support communities of color with their anti-displacement and access to opportunities work in Seattle.*		
Overarching Process Improvement Question: *How can the EDI team improve its outreach, application, and grant implementation processes to increase racial equity throughout the EDI Fund process?*		
	Question	**Timeframe**
Process Question 1	How can the EDI team improve its support systems for potential applicants throughout the outreach process?	*Timeframe:* Before the RFP application is released.
Process Question 2	How can the EDI team improve its support systems for applicants throughout the RFP process?	*Timeframe:* From the day the RFP is released to the day when the next round of EDI Fund grantees is publicly announced.
Process Question 3	How can the EDI team improve its support systems throughout the grant implementation process for grantees?	*Timeframe:* During the project implementation for EDI Fund grantees.

The EDI team plans to implement this process improvement plan during the summer and fall of 2019 to restructure the 2020 funding process and prioritize changes for subsequent funding cycles.

A. How to Navigate this Document

This report is organized into four chapters after the abstract and executive summary:

- ***Chapter One*** *provides the background and context for the EDI Fund's Process Improvement Plan and consists of three sub-sections:*
  - ***Section One*** is an extensive overview of the historical, political, and social context for racialized displacement in Seattle.
  - ***Section Two*** connects displacement to negative health outcomes.
  - ***Section Three*** connects the important background information in Sections One and Two with this project's scope, purpose, and goals.

- ***Chapter Two*** *covers the methods I used to create this process improvement plan and conduct the literature review.*
- ***Chapter Three*** *is the project deliverables section with two sub-sections. I recommend the EDI team read this section first.*
    - ***Part I*** is the literature review complete with EDI Fund-specific recommendations for grantmaking, capacity building, and impact investing.
    - ***Part II*** details the project and data analysis implementation plan for the EDI Fund process improvement.
- ***Chapter Four*** *concludes this report with overarching recommendations for the EDI Fund specifically, and EDI program in general, and ends with my gratitude for the EDI team's partnership in this work.*

Before reading this report, I recommend reviewing the *Glossary of Key Terms*. Even a cursory understanding of these terms will allow you to read this report with greater ease.

B. Glossary of Key Terms

Capacity Building: "...any activity -- such as strategic planning, board development, operational improvements, and technology upgrades -- that strengthens the ability of a nonprofit to achieve greater performance and impact."1

Collective Impact: A strategy that rests on the theory that multi-issue problems, and the need to change the system creating these problems, requires multi-sector and multi-agency coordination.[2]

Community Driven: When community has the power and authority to make decisions; community shares leadership over a program, policy, etc. with other key stakeholders.

Displacement: "The involuntary relocation of current residents or businesses from their current residence."[3]

Equitable Development: "Public and private investments, programs, and policies in neighborhoods taking into account past history and current conditions to meet the needs of marginalized populations and to reduce disparities so that quality of life outcomes such as access to quality education, living wage employment, healthy environment, affordable housing and transportation, are equitably distributed for the people currently living and working here, as well as for new people moving in."[3]

Gentrification: "Gentrification is a broad pattern of neighborhood change typically characterized by above-average increases in household income, educational attainment, and home values and/or rents….gentrification [is] the result of a complex set of social, economic, and market forces at both the local and regional scale."[2]

Grantmaking: "...the awarding of a grant from a foundation or an individual to a non-profit charity or else. The purpose of the act is to support a cause which aim to deliver social and beneficial impact."[4]

Institutional Racism: "Differential access to the goods, services, and opportunities of society by race."[5]

Impact Investing/Outcomes-Oriented Investing: Grantmaking with the goal of funding, "...the ultimate good we seek to generate, in contrast with the activities or outputs we undertake to get there."[6]

Process Improvement: "...a proactive and problem-solving approach that seeks to find bottlenecks or weak points within established processes, and find ways to improve them. This course of action moves teams into becoming fire preventers rather than firefighters."[7]

Logic Model: "A graphical depiction of the relationship between resources, activities, and outcomes of a program, which helps to outline the causal

relationships between elements of the program."[8]

Opportunity Center/Access to Opportunity: "Living within walking distance or with transit access to services, employment opportunities, amenities, and other key determinants of social, economic, and physical well-being."[3]

Racial Equity: An analysis of where people of color are currently positioned in society and their lack of access to power.[9]

and physical ecosystem.

Racial Justice: A racial equity analysis that also includes a reparative piece that requires answers to *why* communities of color lack power to then inform power building interventions.[9]

Request for Proposal (RFP): An instrument used by funders to organize and conduct the grantmaking process by which fund-seeking organizations can describe their project during a grant competition.

Root shock: The traumatic stress reaction as a result of losing all or part of one's emotional

Chapter One: Background

Section One: Seattle's Historical, Political, and Social Context Leading to Racialized Displacement

A. Section One Overview

The purpose of Section One is to affirm the need for the EDI Fund in Seattle, and furthermore, why the EDI Fund must focus on racial justice-oriented grantmaking and impact investing to work towards correcting historical injustices that continue to harm communities of color today. This section focuses on how and why cities across the United States are becoming uninhabitable for poor people of color, and underlines Seattle's role in racist practices and policies that disenfranchised Black and Brown people over the last century and a half.

This section begins by describing the stark demographic shifts in Seattle, and how gentrification and displacement are responsible for the loss of people of color in this city. A baseline understanding and operational definition of racism, gentrification, and displacement are followed by a timeline of discriminatory policies and practices that harmed individuals living in urban communities of color across the U.S., and primed them as vulnerable targets for displacement.

B. Urbanization, Gentrification, and Racialized Displacement in Seattle

"What good is a nice neighborhood if you can't live there?"

-Former resident of Harlem, New York[10]

Demographic and Economic Shifts in Seattle

Seattle is among the fastest growing cities in the United States. From 2016 to 2017 the city had 17,490 new residents, falling in sixth place for the largest population increase among American cities for that year.[11] The City of Seattle is expecting the construction of 70,000 new housing units and an increase of 115,000 jobs in the next 20 years.[3] However, Seattle's proximity to physical barriers, namely water, and the vast proportion of land designated for single family homes means few housing options for Seattle's newcomers. The city's housing shortage has resulted in an ongoing housing affordability crisis, that in turn, is pushing low-income residents outside city limits. The Office of Planning and Community Development (OPCD) for the City of Seattle conducted an Environmental Impact Statement (EIS) as a part of its growth and equity analysis element for the *Seattle 2035 Comprehensive Plan Update*.[3] The

EIS identified which populations are being forced to leave the city due to rapid urbanization, and specifically notes the intersection between race and socioeconomic status as contributing factors for displacement.

Seattle's Central District neighborhood, a historically Black and immigrant community, has been hit especially hard by rising home values which has drastically changed the racial makeup of the neighborhood. In 2001, a three-bedroom one-bathroom home in this neighborhood had a value of $190,000, and by 2005 that same home went on the market for $355,000, thereby increasing property taxes for owners or rents for tenants.[3] Prior to Seattle's housing affordability crisis in 1990, the Central District had three times more Black residents than white residents. However, whites became the racial majority in the Central District by 2010. Between 1990 to 2010 there was a 26 percent decline in Black renters and a 19 percent decrease in Black homeowners, with an overall decrease of 4,407 Black residents in the neighborhood. White residents more than doubled from 2,508 to 5,191 in half the time.[3] Unfortunately, these trends are not unique to the Central District. Census data shows that the Black population across Seattle declined by ten percent from 1990 to 2000 in a city that is only 7 percent Black -- under half of the national figure of 13.4 percent.[11]

Increasing home values and a substantial decrease in Seattle's Black population are symptoms of gentrification leading to the displacement of individuals, families, and businesses. The upcoming sections will discuss and define gentrification and displacement, who is most likely to be harmed by neighborhood change, and how the political, social, and historical context led to this perfect storm of racialized displacement in cities across the United States.

Defining Gentrification

Gentrification capitalizes on the legacy of overtly racist practices and outcomes that shaped American cities. Gentrification is the result of intentionally or unintentionally harmful policy and planning decisions throughout the 20th century leading to the modern era of mass urban residential and commercial displacement. Gentrification and **displacement** are inextricably linked, but they are not the same. The City of Seattle recognizes this distinction in their *2035 Comprehensive Plan Update*:[3]

> "This analysis distinguishes displacement from a related phenomenon, gentrification. Gentrification is a broad pattern of neighborhood change typically characterized by above-average increases in household income, educational attainment, and home values and/or rents. These changes can contribute to displacement, but they can also benefit existing residents. Displacement of existing residents can also occur without gentrification. Displacement and gentrification are the result of complex set of social, economic, and market forces at both the local and regional scale."[3]

Gentrification is a slow-moving process that is often unavoidable or may even go undetected by its victims, and is often the direct antecedent to physical, cultural, and economic displacement of poor people and people of color who have been systematically disenfranchised by economic policies, zoning codes, politicians' ill will, or simply put: racism and discrimination. Gentrification's slow onset causes those in power to often overlook or deprioritize it in the face of more "pressing" matters.[12] British sociologist, Ruth Glass, coined the term "gentrification"[13] in 1964 to describe the influx of middle-class residents in low-income regions of a city.[13] Since the emergence of this social trend, scholars have been intrigued by two things:

1. The white, educated, middle class' (academically referred to as the "new gentry"[13] or colloquially referred to as "gentrifiers") desire to move from pristine suburbs into underinvested urban neighborhoods.
2. The consequences of integrating this new middle class or the new gentry with the urban poor, who were often people of color or other marginalized groups who did not have the option to live in the suburbs.

The new gentry is typically made up of, "…educated but lower paid…professionals…[who] deployed their considerable cultural capital to create a distinctive lifestyle through the renovation of older houses in the central city."[14] In addition to the educational and economic demographics of gentrifiers consisting mostly of white-collar, office or professional workers moving to a blue-collar, working class neighborhood, a substantial portion of the scholarly conversation on urban revitalization closely examines race and ethnicity.[13] The gentry are generally made up of white individuals choosing to relocate to sectors of the city that are predominately home to racial minorities.

Gentrification accelerated in the U.S. in the 1970s, often resulting in the white population displacing the black population,[13] or as Massey and Denton might define it in their book *American Apartheid*: *The Deconstruction of the American Urban Ghetto*.[15] They define "ghetto" within the context of U.S. cities as, "…a set of neighborhoods that are exclusively inhabited by members of one group, within which virtually all members of that group live."[15] Policies that reinforced racial segregation such as redlining made the ghettoization of American cities much easier. This chapter later makes the case that the systemic and institutional disenfranchisement and discrimination of Black and Brown people is streamlined when these groups are geographically concentrated. However, gentrification, by definition, means an influx of white residents and white-owned businesses in a neighborhood purposely designed for people of color.[13,15] So, what happens when the ghetto is deconstructed?

While urban sociologists agree that gentrification increases **access to opportunity** such as local economic stimulation, better education systems, lower crime and poverty rates, increasing property values, more amenities, and general urban aesthetic improvements, there

are also negative consequences.[10,16,17] Ethnic and racial minorities, the poor, and renters, are typically more susceptible to the harmful effects of gentrification as the cost of living rises and a community's culture shifts due to the arrival of more working-class professionals. Displacement of long-time inhabitants and business owners as a result of gentrification is at the forefront of the scholarly debate.

Five decades of research has illuminated ambiguous sentiments surrounding gentrification among scholars and those affected by the revitalization process. Freeman's innovative research for his book, *There Goes the 'Hood: Views of Gentrification from the Ground Up*[10] incorporated an anthropological component as he conducted numerous interviews with long-time residents in Harlem and Clinton Hill, New York City who were experiencing the effects of gentrification. Freeman spoke with residents and business owners who were in these areas prior to gentrification to understand their perspectives regarding the evolution of their neighborhoods. Although scholars have recognized both the harmful and beneficial aspects of urban revitalization, Freeman's study concluded that residents also demonstrated ambivalent feelings towards gentrification.[10]

> "If gentrification were a movie character, he would be both a villain and a knight in shining armor, welcomed by some and feared and loathed by others, and even dreaded and welcomed at the same time by the same people."[10]

Furthermore, Freeman's findings were similar to that of other sociologists in that in addition to income differences between old and new residents, there were also discrepancies in cultural expectations.[13] According to Freeman, the definition of gentrification encompasses the notion that newcomers coming into a neighborhood from a different area, perhaps with a different set of social expectations than the social expectations put forward by the area's inhabitants before gentrification, may result in various conflicts that can lead to disorder, and ultimately displacement.[10] While on the surface it may appear as though gentrification is stimulating the local economy and bringing about positive change within a neighborhood, there are certainly factors associated with the revitalization process that may result in social disorganization and instability for some.

Contemporary scholars recognize the constraints that urban revitalization brings, and often ask the question: *Who benefits from this process?*[13] Is it the long-time residents, the area's newcomers, the City, the developers? In an effort to curb urban sprawl and create neighborhood affordability and walkability, Seattle implemented the "urban village" strategy in 1994 combining commercial, residential, and recreational land uses.[18] The *Seattle Sustainable Neighborhoods Assessment Project* is a 2014 report publishing the analysis of ten of Seattle's 30 urban villages on 22 indicators to evaluate if Seattle's urban village strategy was successful. The assessment found that 75 percent of Seattle's new housing stock was located in urban

villages, demonstrating that City policies prioritizing density had succeeded.[19] On top of that, transit networks improved, and 80 percent of new jobs were located in villages.[18]

These successes, however, came with unintended consequences including a decrease in the overall population of majority non-white neighborhoods from 1994 to 2014. A deeper dive into these data show that people of color were most often the ones to leave these neighborhoods. North Beacon Hill, historically a community of color, was 80.1 percent non-white in 1990, but by 2014 that population dwindled to 70.9 percent; this neighborhood trend continues today.[20] Furthermore, this village assessment showed that more than half of the employees working in urban villages commuted from outside Seattle, suggesting that minimum- to low-wage workers in the retail or service sector jobs concentrated in these urban villages do not pay well enough to live in a city like Seattle, or in a neighborhood near a village. Urban villages, a seemingly great idea at the time, is now considered an inadvertent, yet resounding, gentrifying force in Seattle.

Defining Displacement

Residential and commercial displacement is a phenomenon occurring in major cities across the United States as the shift from suburban to urban living becomes more desirable causing gentrification of the remaining affordable pockets of the city. Gentrification brings a new urban middle- to upper-middle class that is often white, higher-paid, and has more economic and social privileges. These demographic and economic transformations put an even larger financial burden on those are already facing monetary constraints.[16] Using Seattle as an example, the annual median household income in the city has increased by 22 percent to $121,000 from 2010 to 2017, after adjusting for inflation.[21] The middle, or upper-middle, class population is highly visible with Seattle's booming tech economy and the influx of cranes building luxury homes and amenities in formerly low-income neighborhoods for gentrifiers making six-figure salaries. Moreover, the number of families exceeding an annual income of $200,000 has surpassed families making below $50,000.[21] Simply put, gentrification, and often eventually displacement, are the results of who gets to live in a city that is reconstructed and designated for high-income earners, and who is likely to be a high-income earner in the first place.

The City of Seattle defines **displacement** as, "The involuntary relocation of current residents or businesses from their current residence."[3] The City also identifies three distinct types of displacement:

2. **Physical displacement** (direct displacement): Results from eviction, land acquisition, and rehabilitation or demolition of property. Physical displacement

may also occur after the housing covenants of rent- or income-restricted housing expire. [3]

3. **Economic displacement** (indirect displacement): Residents or business owners can no longer afford increasing rents or property taxes.[3]

4. **Cultural Displacement**: Neighbors and/or businesses central to the culture of the neighborhood leave (perhaps due to economic displacement), and other residents move because they no longer feel a sense of belonging in their own neighborhood.[3]

Physical, cultural, and economic displacement often do not occur in a vacuum. The following example[1] explains how these three distinct forms of displacement often manifest simultaneously. Forms of displacement are noted in parentheses:

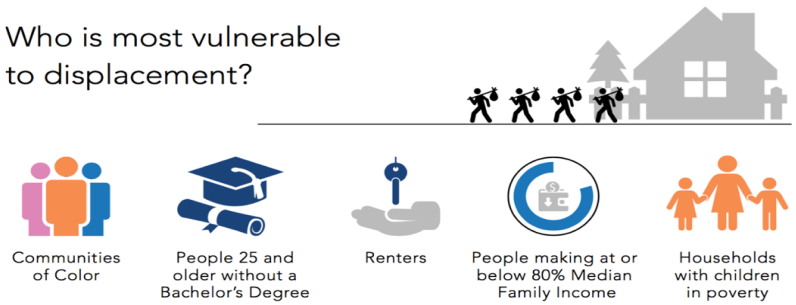
A family may experience both economic and cultural displacement as they see an influx of single millennials with disposable incomes changing the landscape of the neighborhood with new amenities that are not useful or culturally relevant to this family. New coffee shops, trendy bars, or one- or two-bedroom apartment complexes are put in this family's neighborhood to appeal to a certain demographic to which this family does not belong, and the family cannot help but notice. They notice that their local corner store with food from their home country is now a coffee shop selling $4 coffee that the family cannot afford. The corner store owner had to move after his business was demolished (physical displacement). He had been an asset in that neighborhood for decades, and also good family friend that watched the family's children to make sure they were safe as they played outside (cultural displacement). They notice that their neighbors are changing as the neighborhood gets too expensive for long-standing residents to afford their rents or property taxes (economic displacement). The family notices that their neighbors look at them differently, as if it is *their* family who does not belong in that neighborhood (cultural displacement). These daily reminders that the neighborhood they once called home is not meant for their family anymore, makes it impossible to justify the neighborhood's high cost of living (economic and cultural displacement). They are constantly stressed, and no longer see the value in living paycheck to paycheck struggling to afford a home in a community that so clearly is not meant for them (economic and cultural displacement). This family, while not forcibly removed from their homes

[1] This is a fictional example derived from talking to and reading about individuals and families who have been displaced from Seattle throughout my graduate school career.

due to eviction or demolishment (physical displacement), is still forcibly removed due to the economic and cultural shifts in their neighborhood that did not have them, or others like them, in their mind.

Figure 1 provides an overview of who is most at-risk of being forced out of their neighborhoods. Displacement targets the poor, and the poor tend to be historically marginalized populations. People of color, immigrants, refugees, renters, individuals with no higher education, and English language learners are placed in the margins of society.[3,22] Entire communities often fit into some or all of these categories, making them especially vulnerable to displacement, a downstream symptom of a much larger predatory system. This project focuses on racialized displacement because this country's non-white population are disproportionately represented in these social categories making them the most vulnerable to displacement. The United States has always systematically blocked these populations' rights as well as their access to services and opportunities, and though society often mistakenly views this causal relationship going in the other direction, the following section will demonstrate how racism is responsible for the strong correlation between low socioeconomic status and people of color.[23] A deeper understanding of the history of intentional institutional racism illuminates why people of color continue to experience marginalization and displacement at higher rates than their poor, white counterparts.

Figure 1. Populations Most Vulnerable to Displacement. [22]



C. History and Policies Leading to Racialized Displacement

> "A people without the knowledge of their past history, origin and culture is like a tree without roots."
>
> -Marcus Garvey[24]

Section Summary

This section defines racism and the pivotal role that racism has played throughout the 20th century via discriminatory policies and practices targeting communities of color, thereby positioning urban America for mass racialized displacement. Racism is at the heart of displacement and is why the EDI Fund is prioritizing racial and restorative justice throughout its grantmaking and impact investing practices.

Defining Racism

Gentrification and racialized displacement are the result of policies, practices, and events designed to keep Black and Brown Americans at the bottom of the social ladder since this country was settled by white Europeans. Dr. Camara Jones, a physician and epidemiologist who focuses on the ways in which racism influences health outcomes, defines three levels of **racism**: *institutionalized, personally-mediated, and internalized*.[5] Dr. Jones' framework is captured in *Table 1*, and is critical to understanding why communities of color are often hardest hit by displacement. Her framework also assists in designing effective, evidence-based interventions to eliminate race-based differences in health.

Table 1. Three Levels of Racism[5]

Level of Racism	Definition	Manifestation
Institutional	"Differential access to the goods, services, and opportunities of society by race."[5]	-Differential access to material conditions such as: quality education, adequate housing, gainful employment, medical care, and a healthy environment[5] -Differential access to power, information, and resources[5]
Personally mediated	"Prejudice and discrimination, where prejudice means differential assumptions about the abilities, motives, and intentions of others according to their race, and discrimination means differential actions toward	-Lacking respect, suspicion, devaluation, scapegoating, and dehumanization[5] -Intentional and unintentional[5] -The level of racism that the general public is most familiar with[5]

	others according to their race."[5]	
Internalized	"Acceptance by members of the stigmatized races of negative messages about their abilities and intrinsic worth."[5]	-Discrediting others that look like them, or discrediting themselves[5] -"Accepting limitations to one's own full humanity, including one's spectrum of dreams, one's right to self-determination, and one's range of allowable self-expression."[5] -Embracing whiteness as the superior culture[5] -"Self-devaluation, resignation, helplessness, and hopelessness"[5]

This project focuses on policies, practices, and events that embody **institutionalized racism** because the EDI and the EDI Fund is focused on granting equitable access to what Dr. Jones refers to as "material conditions and power."[5] Although confronting all three levels of racism is necessary for ending racialized displacement, the EDI is working to dismantle institutional racism, the level of racism for which the government is most responsible.

Racism & Its Connection to "Serial Displacement"[12]

Communities of color and low-income residents living in U.S. cities have been subjugated to "serial displacement"[12] throughout the 20th and 21st centuries. Serial displacement is the result of a set of policies that work together to, directly or indirectly, disenfranchise economically or politically vulnerable populations.[12] These policies are deeply entrenched in our power and political structures, systems, and institutions, and are reinforced at the local, state, and federal government levels. The pervasive nature of serial displacement directly attacks people of color via negative health outcomes, interpersonal and structural violence, an inability to respond appropriately to threat or opportunity, and social fragmentation.

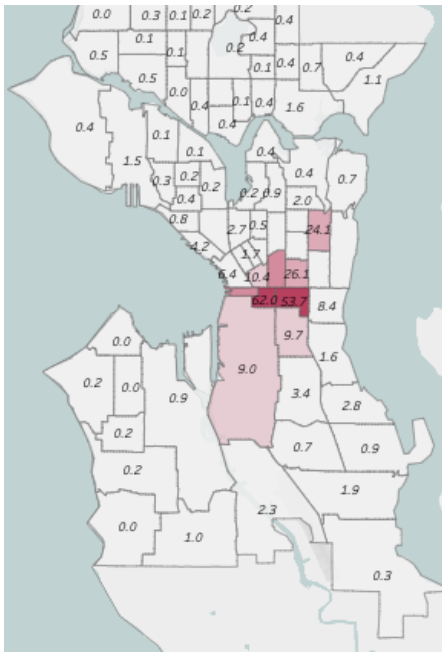
Fullilove and Wallace, a clinical psychiatrist and a social epidemiologist, respectively, have focused their careers on illuminating the direct connection between health and violent policies aimed at America's poor neighborhoods of color. In a co-authored article, they name specific factors that led to serial forced displacement in the United States.[12] The following policies and historical events took place occurred after abolition of slavery and were designed

to ensure that non-white Americans could not reach the same level of power as white Americans for generations. Although many of these policies have been outlawed for decades, society on the whole, whether cognizant or not, feels the resounding ripples of these policies and events today. It is, therefore, inappropriate and inaccurate to report an end date for any policy or event in the timeline that follows. Yesterday we called it segregation, and today we call it displacement.

Segregation (1877)

Prior to the abolishment of slavery in the United States in 1865, cities were much more racially and economically integrated.[12] This is partially attributed to the lack of transportation options that dictated a smaller, walkable, urban scale.[25] However, the need to maintain a racial hierarchy and existing power structures favoring whites was most certainly the stronger draw towards segregation in a post-Civil War America. Jim Crow laws in the American south[26] and like policies in the north created residential segregation of races and classes over time. Segregation continues to exist, even after the Civil Rights Act of 1964 and the Fair Housing Act of 1968, two policies specifically designed to counteract segregation.[27,28]

Figure 2. Percent Non-White population in Seattle (1940)



King County archives show over 500 deeds covering 20,000 properties had racially restrictive language that excluded non-white residents from the neighborhood.[29] As *Figure 2* shows, people of color were limited to Seattle's Central Area because essentially every other neighborhood was designated for white residents only. This racially restrictive language still exists in the fine print of some house deeds today. Queen Anne residents, for example, may still have the following language written into their deeds, "No person or persons of Asiatic, African or Negro blood, lineage, or extraction shall be permitted to occupy a portion of said property."[29] The Supreme Court ruled that these covenants could no longer be enforced in 1948, however, this decision did little to alter other segregationist structures and, as a result, restrictive covenants persisted.[29]

Segregationist policies laid the foundation for exclusionary zoning, a poorly disguised loophole for racial housing segregation. After race became a protected class in the 1960s, exclusionary zoning kept America's poor out of the suburbs and other wealthy white neighborhoods by instating minimum lot sizes, costly building codes, and other mechanisms to discourage or prohibit affordable and/or multi-family housing developers to enter a

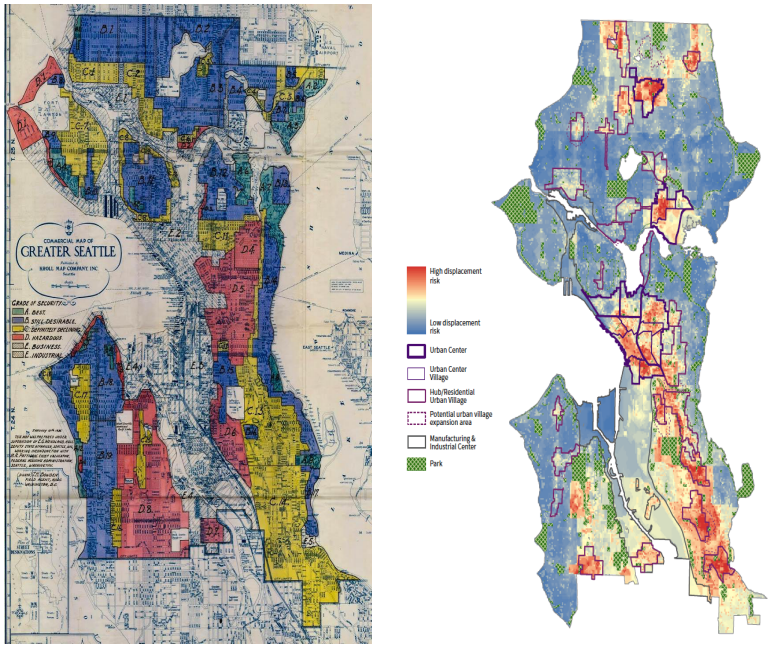
neighborhood. Segregation and exclusionary zoning are among the many policies that aim to concentrate poverty and people of color in areas other than white, affluent neighborhoods.[28]

Redlining (1937)

Like segregation, redlining is another persisting historic policy that has contributed to today's wealth and income gap between America's white and non-white populations. Redlining was a federal policy instituted in 1937 by the Home Owners Loan Corporation (HOLC) to ensure that federal investment in home loans only went to where the government deemed stable housing markets. Racially restrictive housing covenants and other segregationist mechanisms concentrated a city's non-white population into urban ghettos which allowed the government to easily redline around neighborhoods of color.[12]

Beginning in 1937, all major urban areas in the United States were subject to the HOLC's unscientific and subjective classification of credit risk as it decided whether or not to invest in a neighborhood. Just one Black family in a neighborhood often led to the worst possible credit rating, inciting white residents to flee the area out of fear that their home values would plummet. Redlining determined resulted in an under-investment in a neighborhood's housing, transportation infrastructure, schools, and services for decades.[12] The effects of redlining are evident to this day and have contributed to wealth accumulation disparities among America's white and non-white populations where white households own nearly 6.5 times the wealth than Black households in 2019.[30]

Figure 3. Side-by-Side Comparison of Historic Redlining in Seattle and the Current Displacement Vulnerability Index



The maps in *Figure 3*[3,31] illustrate how disinvestment in formerly redlined areas are now the neighborhoods with the highest risk of displacement in Seattle due to a recent and relatively sudden influx of public and private developments causing a rapid increase in the cost of living. A historic lack of investments in these pockets of Seattle also meant that these were the cheapest neighborhoods to live in prior to the housing affordability crisis. Now, residents of

color who called these redlined neighborhoods home for decades are searching for new places to live as new developments are pricing them out of their formerly redlined neighborhoods.

Urban Renewal (1949)

Urban renewal was instituted under the federal government's Housing Act of 1949, and was later modified in the Housing Act of 1954 which provided money for redesigning and revitalizing cities in the post-war era.[12,32] Urban renewal was largely viewed as a policy of progress as it allowed for new land uses in "blighted"[32] areas. Cities often had fairly loose definitions for what constituted a "blighted"[32] area, building, or residence, but poor people and people of color were the most likely to live in these areas due to redlining, segregation, and other discriminatory policies and practices that resulted in neighborhood disinvestment.[32]

Under the urban renewal policy, the government seized private property through its powers of eminent domain, making it possible for developers to buy large swaths of land from the government at highly discounted prices.[32] Whole neighborhoods were demolished to provide land for offices, sports stadiums, highways, hotels, and luxury residential buildings.[32] After seizing land for 18 years, 400,000 housing units were demolished across 996 cities,[12] and only 10,760 low-income public housing units, were built on urban renewal sites.[32] Urban renewal caused the displacement of approximately one million people, 75 percent of whom were people of color.[12] Instead of progress, urban renewal created a nationwide housing shortage crisis among America's non-white population.

Planned Shrinkage (1970s)

As a social epidemiologist, Wallace closely examined the planned shrinkage, or purposeful disinvestment, in New York City's poor neighborhoods of color in the mid-1970s.[12] Wallace studied the New York City Planning Commission's efforts to concentrate the general population in select areas while simultaneously withdrawing resources and services from previously abandoned pockets of the city.[33,34] For example, the City purposely disinvested in these neighborhoods by systematically reducing fire services in specific neighborhoods even though the demand for firefighting rose substantially. Shrinking neighborhoods either burned to the ground, or it became unsustainable to live in a neighborhood with few public and private investments. A close examination of public records after the height of planned shrinkage in New York City shows a deliberate plan to desert and shrink minority neighborhoods.[33]

Furthermore, Wallace directly linked planned shrinkage in New York City to negative health outcomes and social consequences. Those who were displaced due to planned shrinkage broke social networks, and consequently, their political power and organization

fizzled. Wallace was able to prove that planned shrinkage led to an increase in HIV transmission and violent deaths, which had international repercussions as a global city.[34] Unfortunately New York's story is not unique. There were similar disinvestment practices across the United States that resulted in displacement, social deterioration, and poor health outcomes for low-income people of color across the United States.[33]

Deindustrialization (1960s & 1970s)

Deindustrialization is not a policy, however, past policies such as segregation and redlining made the implications of the deindustrialization process especially harmful for communities of color. It is impossible to understand the weight of the consequences of deindustrialization without first understanding how industrialization permanently changed the demographic landscape of the United States. The rapid industrialization of the United States spurred by its involvement in the first and second World Wars created a high demand for factory workers across northern and western states. The lack of economic opportunities for Black Americans in the American south, which was home to 90 percent of the country's Black population in the early 20th century, and the promise of stable employment elsewhere, was the impetus for the Great Migration of southern blacks from 1910 to 1970.[35] Social scientists are still piecing together the demographic shifts over time because many migrants secretly fled from the south. It is estimated that about 1.5 million southern blacks migrated during the first wave from 1910 to 1940. In a single decade from 1910 to 1920 New York City's Black population increased by 66 percent, Chicago saw a 148 percent increase, Philadelphia had a 500 percent rise,[35] and Boeing brought 10,000 Black Americans to Seattle in the 1940s[36] due to the promise of better pay and working conditions in the rapidly industrializing north and west. A once predominantly rural southern population, less than half of Black Americans lived in the South, with a quarter of those living in rural areas by 1970.[35]

The Great Migration and industrialization also led to the rise of the modern urban ghetto in the segregated, redlined pockets of America's cities.[15] Although the Black population in urban areas was rapidly increasing, cities were not growing at the same rate, which left little room for Blacks to reside. Moreover, racially restrictive covenants prohibited immigrants and people of color to own, occupy, or lease specified properties resulting in spatial isolation based on race and class.

> "In cities receiving large numbers of Black migrants, racial turnover was so regular and pervasive that most neighborhoods could be classified by their stage in the transition process: all white, invasion, succession, consolidation, or all Black."[15]

The residential vacancy rate for Blacks in cities was less than one percent through much of this era, however, the southern Black population continued to migrate to the north in hopes

of improved economic and social prosperity.[15] This concentration of Blacks within a region led to white flight, now made easier due to the 1952 Federal Highway Act that spurred suburbanization via expansive highway networks around major cities. People of color and people with low incomes were left behind in America's deteriorating central business districts. The concentration of people of color in urban ghettos made America's non-white population easy targets for racial violence and discrimination.[15]

Industrialization stabilized the American economy for several decades, and while there was certainly not an equitable distribution of wealth across racial groups, all races benefitted from jobs in this sector. The deindustrialization of the United States is often linked the Cold War, which shifted American engineers away from industry-related jobs, to new employment opportunities related to the country's weapons research and development. Many of the United States' private companies that employ industrial workers have largely disinvested from American cities in search of cheaper labor abroad.[12,37] Unemployment rates soared as jobs in this sector disappeared. The height of deindustrialization was from 1968 to 1975 with a 70 percent overall decline in manufacturing jobs. New York City alone lost 268,000 manufacturing jobs in just a ten-year period from 1970 to 1980. By the 1980s, a once booming industry that employed much of the country's working class shriveled to just 15 percent of the overall payroll employment.[37]

Industrialization created new economic opportunities for those with the lowest socioeconomic status in the first half of the 20th century. However, it also led to the rise of the modern urban ghetto and further exacerbated racially-motivated segregation and violence, resulting in urban disinvestment. The combination of urban decay and deindustrialization meant that America's urban poor, non-white population was stuck in declining cities with few options for economic advancement.

Mass Criminalization & The War on Drugs (1982)

The deindustrialization of the United States left many of this country's working-class population, both white and non-white individuals, searching for a new form of employment. Alternative employment emerged, and one such option, particularly for poor, undereducated individuals, was to sell drugs. Criminologists have known since the mid-1970s that individuals with meaningful social and economic opportunities are not likely to commit crimes, but as history demonstrates, not all communities were afforded those opportunities. Michelle Alexander argues in her book, *The New Jim Crow: Mass Incarceration in the Age of Colorblindness*, that the criminal justice system is a redesigned racial caste system in the United States.[38] Incarceration is the forced removal of individuals from a neighborhood and social network, and all too often, prison sentences in the United States are unjustified.

A retrospective examination of the events leading to mass criminalization of poor, non-white people shows that President Ronald Reagan launched the War on Drugs in 1982, prior to the emergence of crack-cocaine in poor urban neighborhoods.[38] In an effort to incite public fear and galvanize Americans to be tough on crime, the federal government created a media campaign that criminalized the Black population through violent racial stereotypes such as "crack babies," "crack dealers," or "crack whores"[38] during a time when illegal drug use was actually declining in Black communities. The result was over-policing of these neighborhoods during a time of high unemployment due to deindustrialization and low public and private investment. Subsequent presidents followed suit as the public voted in favor of harsh prison sentences for non-violent offenses, and in less than 30 years, the prison population exponentially increased from 300,000 to two million; the majority of this increase was due to drug convictions.[38]

Today the United States has the largest prison population in the world, but the criminal justice system only targets a select subset of the American population. No other country incarcerates as many of its racial or ethnic minorities; the U.S. imprisons a larger proportion of its Black population than South Africa did at the height of Apartheid. In Washington D.C. it is estimated that three out of four Black men will be jailed at some point in their lives, and other cities around the country have similar figures.[38] In King County Black inmates made up 37 percent of the prison population in 2018,[39] although the county's Black population hovers around 6 percent.[40]

This country has institutionalized several policies that effectively block individuals with a criminal record out of mainstream society. Formerly incarcerated individuals often do not have access to housing, employment, education, social services, public benefits, jury duty, or their civic right to vote. Although studies have repeatedly shown an equal distribution of illegal drug use across race, criminalization disproportionately affects non-white individuals in an effort to make them subject to legal discrimination, similar to their grandparents' experiences during the Jim Crow Era.

D. Section One Summary: Consequences of Serial Forced Displacement

These policies, practices, and historical events across American cities resulted in serial forced displacement and a domestic refugee population of low-income people, and more specifically, people of color. Alexander Leighton's Stage Model Theory posits that communities exist in a continuum from integration to disintegration.[12] An integrated community has complete interconnectedness and mutual support, whereas a disintegrated community is focused on the individual – often out of necessity. With each traumatic event, communities exhibit a partial collapse in their ability to thrive because the individuals in the community are

merely trying to survive. Each of these policies and each iteration of displacement tears away at the social fabric of an affected community, and consequently, the community shifts closer toward disintegration. It is therefore no coincidence that we see a concentration of violence, family disintegration, substance use, and sexually transmitted infections among the surviving victims of these violent policies and practices.[12]

Each racist policy contributed to community disintegration and was independently powerful enough to incite displacement, and to add insult to injury, the same victims felt the cumulative effects of these policies across generations. The public and private sectors used these tactics to lay a systematic, and often covert, foundation for the racialized wealth and income gap that pervades society today explaining why race and class are inextricably linked. Considering the dramatic demographic and economic shifts within Seattle city limits, drastic measures must be taken to stop generations of structural violence and displacement.

Without proper knowledge of the history of these policies and the context for why we see a concentration of poverty and poor health outcomes among America's people of color, this country will continue to blame its victims. Whether intentional or not, these policies are foundational to American society and are often unidentified and still dangerous. This country continues to operate under the current power structures that make displacement the status quo for the its most vulnerable residents. America's institutions, in every sector, must disrupt business as usual in order to dismantle these damaging policies and practices that violently strip people from their communities and rob them of their lives. The following section will discuss the connection between displacement and health outcomes to make the case that displacement lowers life expectancies.

Section Two: Connecting Displacement and Negative Health Outcomes

"In a real sense all life is inter-related. All men are caught in an inescapable network of mutuality, tied in a single garment of destiny. Whatever affects one directly, affects all indirectly. I can never be what I ought to be until you are what you ought to be, and you can never be what you ought to be until I am what I ought to be. This is the inter-related structure of reality."[41]

--Martin Luther King Jr.

A. Section Two Overview

Communities of color in the United States have always had to combat serial forced displacement, and that has taken a major toll on their health. Section Two will articulate the link between displacement and negative health outcomes, and ultimately show that displacement shortens lives. This section will cover how "Root Shock"[32] leads to chronic stress, which in turn leads to higher rates of morbidity and mortality among the affected population. Section Two ends with an in-depth analysis of the specific ways that cultural and physical displacement reduces life expectancy for poor people of color, both children and adults, in the United States by robbing them of their social capital and access to opportunity.

B. Root Shock + Chronic Stress = Poor Health

Fullilove's continued work on the forced removal of Black American communities is highlighted in her book, *Root Shock: How Tearing Up City Neighborhoods Hurts America, and What We Can Do About It*.[32] Fullilove describes how and why the body experiences shock to draw comparisons between physiological shock and root shock. One may go into physiological shock as a life-saving mechanism after a physical injury because the body is compensating to protect the brain by significantly reducing blood flow to the limbs, for example. Shock is a necessary survival function, but is only temporarily sustainable. Just as the body has systems for internal physical regulation, humans have methods for external regulation. Once the body is able to restore its internal balance after a traumatic event, an individual can find external balance with the surrounding environment to find food, shelter, and community; external forms of protection.[32]

Root shock occurs when an individual's environment is threatened, which damages their ability to monitor their balance internally and externally, and is the traumatic stress reaction as a result of losing all or part of one's emotional and physical ecosystem.[32] Displaced individuals undoubtedly experience some form of root shock. At the individual level, root shock is emotionally exhausting – the world is suddenly entirely different and disrupts or destroys one's orientation to the physical environment and social networks. Root shock is damaging to trust and relationships, increases anxiety, and limits access to social, economic, and emotional resources. In turn, root shock makes an individual significantly more susceptible to stress-related diseases and mental instability.[32]

Moreover, entire communities and neighborhoods can experience collective root shock as a result of displacement. At the community level, root shock breaks social ties as individuals within the affected community are geographically disbursed. Root shock can even reach individuals outside of the affected community through feelings of guilt that residents in the same city are being displaced, perhaps due to their direct or indirect contribution of gentrification or displacement.[32] Dr. Fullilove contextualizes the relationship between health and displacement using Dr. Martin Luther King Jr.'s concept of an "inter-related structure of reality:"[41]

> "The principle is simple: we–that is to say, all people–live in an emotional ecosystem that attaches us to the environment, not just as our individual selves, but as beings caught in a single, universal net of consciousness anchored in small niches we call neighborhoods or hamlets or villages. Because of the interconnectedness of the net, if your place is destroyed today, I will feel it tomorrow."[32]

Social status and health are inextricably linked. Poverty is a risk factor for displacement and it is also a risk factor for stress. Although displacement is likely stressful for any individual, a lack of financial means creates more instability around how to navigate the effects of displacement. Simply put, stress is likely at its peak for poor people of color experiencing displacement than most other groups. A vast body of research shows that those who are among society's most privileged also tend to live longer, and even their children's children can reap the benefits of this high socioeconomic status from generations ago. Conversely, there are numerous studies showing low social status often also means fewer options and less control over important aspects that influence social status for future offspring, such as one's education and career path or neighborhood of residence. This lack of control leads to stress, and chronic stress takes an immense toll on one's psychological well-being and physical health.[42] King County is a prime example of this link between socioeconomic status and health. Men living on Mercer Island live 18 years longer on average than men in Auburn, and women have a similar life expectancy gap of 14 years.[43] The median household income for Mercer Island from 2013

to 2017 was $136,644, more than double Auburn's median household income of $64,400 for the same time period.[44,45] These findings show that money can literally buy life.

Acute, or short-term stress is good; it is a survival mechanism that allows humans to have a fight or a flight response. Our body releases energy stores, constricts blood cells, tunes into our senses and memory, and our heart and lungs work at their hardest. Acute stress is a protective function of the human body that prepares us for injury or possible deadly conflict, and is meant to only last until the end of the emergency – ideally a few minutes. However, when the body experiences stress for weeks, months, or years, this fight or flight response is toxic.[42] Root shock, as described earlier, is a longer-term stress reaction resulting from a traumatic loss of one's emotional ecosystem.[46]

Researchers have conducted numerous studies trying to understand what causes stress, and the long-term effects of stress. When the body experiences stress, the brain releases a hormone called cortisol to physiologically prepare itself for potential threats. Too much cortisol over a prolonged period can lead to impaired memory, depression, high blood pressure, cardiovascular disease, obesity, increased risk of infertility and miscarriage, a weakened immune system, and a slower stress mediation response due to elevated hormone levels. An exhaustive review of 208 studies that measured cortisol found that cortisol levels increased the most in situations where the subjects experienced "social evaluative threats,"[42] namely, threats that may jeopardize one's self-esteem or social status. Cortisol levels were even higher when individuals did not have control over the outcome and were set up to fail. Diving deeper, this systematic literature review categorized the most powerful sources of stress: low social status, lacking friends or community, and childhood stress.[42]

It is therefore unsurprising that residential displacement and other forms of root shock, such as displacement due to a natural disaster, are strong predictors for chronic stress.[32] A prime example of a social evaluative threat is forced displacement. Perhaps the most valuable protective factor promoting self-esteem and social status is belonging to a community. When systems and institutions prioritize capital over community, residents, business owners, and other community members find they have no negotiation power and must relocate, which triggers a stress response because their social status and self-esteem is in question.[42]

The Whitehall I and II studies in 1967 and 1988, respectively, were among the first of their kind to demonstrate the causal relationship between lower social class and poor physical health outcomes. These studies examined a cohort of civil servants across six employment classes, and found that those towards the bottom were more likely to smoke, be obese, and to have high blood pressure than the higher ranking civil servants. Lower paid civil servants were also at a higher risk of heart and lung disease, cancer, gastrointestinal problems, depression, missing work due to illness, back pain, and suicide. These health outcomes were attributed to having a lack of control over their work and job-related stress. Furthermore, the Whitehall

studies illuminated the social gradient of health across socioeconomic backgrounds and provided scientific proof that those below us have worse health outcomes, and those above us are healthier than we are.[42] Researchers interested in further exploring this health gradient consistently found a strong relationship between other social factors such as race or health-related behaviors and the likelihood for heart disease or premature death. The consequences of a poorer social environment and income inequality are life-threatening.[20]

Wilkinson and Pickett, authors of *The Spirit Level: Why Greater Equality Makes Societies Stronger*, argue that reducing economic inequality would improve the health and well-being of individuals across society.[42] Throughout history and to the present, the United States has taken the opposite approach with people in power continuing to disenfranchise people at the bottom of the social ladder to maintain their position at the top. Wilkinson and Picket, and Fullilove argue that America will never reach its full potential with respect to health outcomes if we continue to base policies on the foundation of inequality.[32,42] This persistence of inequality even across a relatively short period of time can lead to several adverse health outcomes.[42] A single form of injustice can result in chronic stress and poor health, however as Fullilove so clearly identifies, displacement is often the result of a combination of injustices systematically working together.[32]

C. Health Effects Resulting from Social and Cultural Displacement

Cultural displacement, or, "The erosion of place-based knowledge and customs, loss of social networks, and the closure of vital neighborhood institutions,"[47] is a two-pronged process: (1) long standing residents of a neighborhood are forced to change their behaviors, and (2) gentrifiers forcibly bring in their own behaviors, customs, and expectations.[47] The following segment will illustrate how social and cultural displacement negatively affects social capital and each social determinant of health, including the degree of involvement in social networks, and psychosocial well-being.

The social and cultural contexts within an environment are closely linked to health outcomes on both individual and community levels. Strong social networks are a protective factor against cardiovascular diseases, heart attacks, the common cold, and can even speed up the healing process from physical wounds. Ichiro Kawachi, a social epidemiologist who has studied death rates in the United States at the state level to examine the relationship between health and community involvement, found that members of voluntary organizations such as churches and unions live longer. Kawachi's work demonstrated that social networks protect against deaths from all combined causes, and from heart disease, cancers, and infant mortality, specifically.[42] Strong social capital is positively correlated with lower mortality rates, and fewer residents in a community self-reporting fair or poor health. Conversely, a number of studies

have found that lacking friendships or social ties leads to a higher risk for death.[42] Weak social capital is linked with sexually transmitted diseases, and riskier behaviors among adolescents leading to higher rates of AIDS/HIV transmission.[48]

To be clear, financial poverty does not equate to having poor social capital. Charles Meadows, a past resident of the former Kimball Housing Project in Roanoke, Virginia powerfully describes the relationship among community, health, and social status when speaking about his former African-American neighborhood prior to their displacement due to urban renewal:

> "In Northeast, there was no poverty because everybody helped one another. When we could afford two pounds of beans, our wives would cook them up and everybody would have a bowl. If our next-door neighbor didn't have a job, we would help them out. We were independently self-supporting as a neighborhood. We enjoyed it, because we knew we had somebody to rely on."[32]

Social capital has two main components: "bonding capital" and "bridging capital."[49] The former builds community efficacy and relationships within the community. The bonds within the community result in connectedness to friends and neighbors, and may be a key contributing factor to ensuring culturally appropriate health promotion work within a community. Bridging capital has more to do with linking the community to external social networks, assets, and institutions, often through political participation or civic engagement. A community may use its bridging capital to build political power to improve social services or infrastructure within the community, for example, and a community with strong social capital will have both these components intact.[49] Gentrification and displacement weakens social capital resulting in a lessened of sense of community, culture, and economic well-being of the community through the loss of small businesses and other cultural institutions that once contributed to the social capital of a community prior to gentrification.[50] One outcome of early- to mid-stage gentrification is a temporary mixing of various social and economic classes, but once this neighborhood shift accelerates, those from the lower social and economic classes begin to drop off from the neighborhood. They do not have the privilege of enjoying the investment in community resources, increasing property value, benefits from new tax revenue, or the advantages of social mixing; all of which are protective factors for improved health.[50]

Furthermore, as the gentrification process catalyzes, long-time residents often experience a change in police activity.[47] One resident of New Orleans' Tremé neighborhood spoke to her experience with her new neighbors calling law enforcement due to noise complaints. A noticeable increase in law enforcement presence forced Tremé's original residents to act differently in their own neighborhood to avoid police confrontation, which eventually led to a complete cultural shift. One of the newer residents in the Tremé neighborhood praised herself for promoting neighborhood safety and fulfilling her civic duty.

"…[I am] notorious for calling the police….I feel like I am much more proactive, you know, I call the cops….you know, I care about the community."[47] This differing perspective offers a prime example of cultural displacement via a violent and unnecessary disruption of long-standing social norms and customs of which newcomers label as unsavory, or even dangerous. Even individuals who may not be as in tune with the changes in a neighborhood may still experience health effects due to increased presence of law enforcement, especially in communities of color who are disproportionately victims of police and harassment and brutality. Heightened police presence all too often results in unwarranted deaths and increased chronic stress as members of a community may fear for their lives at the hands of law enforcement.

Children experiencing displacement also face considerable challenges such as social fragmentation from their peers, teachers, and other significant individuals in their lives. Mental health research shows that the health and well-being of a child's primary caregiver directly influences the health of the child. Specifically, when a caretaker's social networks have been compromised, they are less likely to care for their own health needs, which then trickles down to the child's health and well-being.[50] Stress in early life can affect physical growth and social, emotional and cognitive development, and stunted growth and development is associated with negative health behaviors and poorer health later on in life.[42] Children at the bottom of the social hierarchy are more likely to become teen parents, contract sexually transmitted diseases, and have poor educational attainment, all of which are social determinants of other health concerns.[42] Stress in early life, low social status, and lacking social support affects the child's psyche, which then affects the neural system, and finally the immune system.[42] This chain reaction means that youth experiencing displacement are more likely to develop heart disease, infections, and age more rapidly.[42]

Support networks are crucial buffers against marginalization for people of color, people with low-incomes, the elderly, and other vulnerable groups. Research on displacement has shown that recently displaced residents not only lose those networks, but can also experience stigma in their new communities preventing them from building new social bonds. These studies have shown that even relocating a short distance from their former home can significantly disrupt relationships and social networks when transportation is lacking.[50] Losing one's sense of safety with no social network shield for a prolonged period of time is directly related to toxic stress, which leads to a cascade of other negative health outcomes.[42]

D. Health Effects Resulting from Physical Displacement

Individuals experiencing **physical displacement** must navigate the world in an entirely different way, likely without the support of their social networks in their previous communities. Displacement from a physical environment can result in immediate health-related

complications. Uprooted individuals often leave their jobs, relocate to lesser-quality homes, lose or disrupt their childcare or other service providers, generally have less leisure time, cut spending on health care, and are forced to deprioritize factors that contribute to a healthy way of life such as nutritious food or enrichment clubs for children.[47,50]

Displacement is expensive and it disproportionately affects society's poorest people. Forced removal requires individuals who are likely to already be near or below the poverty line to pay for first and last month's rent, security deposits, application fees, and furnishing a home. Displacement does not allow time for its victims to carefully budget for these expenses, which typically means uprooted individuals must work more while they are forced to learn to navigate the world differently. However, moving often requires taking time away from work, assuming they are fortunate enough to have work flexibility or stable employment. To add insult to injury, those who are displaced may have too difficult a work commute to remain at their current place of employment, furthering economic hardship.[47]

The link between high **access to opportunity** and high displacement risk for people with low incomes is indisputable.[3] The concept is simple: desirability and affordability have an inverse correlation. As a neighborhood becomes more desirable, often the more expensive it becomes. Displaced people with low-incomes tend to relocate to more affordable neighborhoods that are less desirable due to their limited walkability, public transit service, and employment opportunities.[3] In addition to the direct health consequences of forced removal from one's home, displaced individuals often find themselves in neighborhoods with poor housing stock, high rates of crime and poverty, environmental health hazards such as power plants, toxic waste sites, and air and noise pollution, a and lack of open or green space or other built environment features promoting physical activity.[50]

Trends show that on top of moving to neighborhoods with less access to opportunity, people who were recently displaced tend to move into poorer quality housing units, which can also negatively influence health.[47] Public health practitioners are well aware of the many hazards of housing that are inadequate for humans. Hazardous home environments with a combination of poor ventilation, improper heating and cooling, water leaks, mold, pest infestations, and toxic chemicals may be the only homes within budget of those who were recently displaced. An unhealthy home environment can lead to higher risks for asthma, cancers, injuries, and lead exposure.[49]

Furthermore, residential displacement and gentrification may lead to housing insecurity and homelessness, greatly jeopardizing health. Since the Forced Shrinkage policies in the 1970s, studies have quantified and tracked how unstable housing can contribute to the spread of disease and found that individuals experiencing homelessness, or are at-risk of experiencing homelessness, are highly likely to engage in risky behaviors such as exchanging money for sex or using intravenous drugs which may result in contracting HIV, or other communicable

terminal diseases. Researchers have also used this housing instability predictor for assessing the risk for tuberculosis, and found a causal link.[33,34] There is a range to housing instability, but even those who find housing with friends and family by "doubling up"[47] may experience adverse health consequences from living in an overcrowded unit such as respiratory illnesses and diseases, and increased emotional distress from living with others who may also be experiencing economic turmoil.[47]

Unstable housing is not only a risk factor for disease, but it is also one of the largest barriers to accessing health and prevention services. The unhoused or unstably housed population is one of the hardest to reach for clinical providers and public health professionals.[47] The loss of these protective factors stemming from community cohesion in conjunction with the compounded effects of physical displacement has conclusively been proven to be detrimental to health.

E. Section Two Summary

It is undeniable that all forms of displacement cause poor health, and poor people of color are disproportionately displaced due to racist and classist practices and policies that have always been present in the United States. The health of a society can thrive only when inequities and injustices are eliminated, affording every individual within that society an opportunity to thrive. The question now is, how do we stop systemic displacement and begin to make past wrongs right through equitable development? The following section discusses equitable development, a neighborhood investment strategy that proactively combats displacement, with this question in mind.

Section Three: Defining and Understanding Equitable Development

A. Section Three Overview

Section Three discusses and defines **equitable development**, a strategy that prioritizes keeping long-standing residents and businesses in place so they benefit from incoming public and private investments in their neighborhoods. Fullilove and Wallace conclude their article on serial forced displacement with recommendations to end the removal of minority communities.[12]

- Dismantle policies and practices that remove people of color from their communities
- Rebuild strong families and communities
- Rebuild community networks in devastated neighborhoods
- Bring manufacturing jobs back to the United States
- Improve the education system in general, and in schools serving students of color in particular
- Rebuild low-income housing
- End mass criminalization of minority and poor people

Fullilove and Wallace's recommendations are the outputs and outcomes Seattle's Equitable Development Initiative is striving to achieve, and this section offers strategies and tactics to repair communities that have been harmed by policies and practices meant to disenfranchise them, and also to prevent future forced displacement. This section will also discuss the City of Seattle's Race and Social Justice Initiative (RSJI), Equitable Development Initiative (EDI), and what the City and its community partners are doing to combat displacement of Seattle's people of color. This section serves as the connection between this project's main deliverables and the historical, social, and political background of the forced removal of minority communities to argue that the EDI is a necessary step towards mending the harm done to communities and individuals of color.

B. What is Equitable Development and How Do You Develop Equitably?

The City of Seattle defines equitable development as:

"Public and private investments, programs, and policies in neighborhoods taking into account past history and current conditions to meet the needs of marginalized populations and to reduce disparities so that quality of life outcomes such as access to quality education, living wage employment, healthy environment, affordable housing

and transportation, are equitably distributed for the people currently living and working here, as well as for new people moving in."[3]

The goal of equitable development is to invest in neighborhoods without displacing original community members so that long-time residents can benefit from and contribute to these investments. One goal of the EDI is to mitigate the harmful effects of the desirability threshold that occurs during neighborhood change. This threshold often triggers gentrification and a lack of affordability in previously underinvested neighborhoods that are experiencing a rapid influx of development, eventually resulting in displacing residents, businesses, and cultural or community centers. The community's culture also shifts as long-time residents are priced out or no longer feel connected to their changing community as newcomers enter the neighborhood with their own agendas, expectations, and desires.

However, those working to implement equitable development strategies argue that it is possible to invest and not displace, and ultimately avoid this desirability tipping point.[51] Equitable development is complex work, and often requires different combinations of strategies and varying dosages of tailored strategies to meet community needs and promote neighborhood and community efficacy.

Internal Strategies for Equitable Development

There is no precise equitable development formula, however, there are prescribed best practices for the private, public, and community-based sectors for effective equitable development planning and implementation. I compiled the following strategies from existing research on promising practices for equitable development work.[3,49,51] Investors, community planners, and other stakeholders from outside of the community must keep the following *Internal Strategies for Equitable Development* in *Table 2* at the forefront of their work with communities throughout the public and private investment processes. Equitable development requires the use of all of these strategies, and each community will require a different degree of each strategy or an entirely new strategy altogether. Simply put, these internal strategies are necessary, but not always sufficient for equitable development work.

Table 2. **Internal Strategies for Equitable Development**[3,49,51]
Purpose: *Internal strategies are meant for government agencies, large non-profits and foundations, private developers, and other actors creating neighborhood change through development. These entities should have these internal strategies in place prior to beginning any development work. These promising practices provide guidance around being culturally responsive and sensitive with the goal of building power in affected communities through the equitable development process.*
▪ Respect the cultural and historical context of the neighborhood.

- Address historic and current inequities across race, age, economic status, ability, sexual orientation, religion, etc. of the neighborhood throughout the development and investment process.
- Ensure transparency and accountability from decision makers to guarantee that policies and investments advance public interest.
- Invest in community participation and voice.
- Balance input from community members, technical experts, and data.
- Strengthen opportunities for asset-building among community members.
- Prioritize the economic and mobility needs of low- to moderate-income community members via affordable and adequate housing, accessible transit options, economic opportunities, quality education, healthy living resources, and mechanisms to build wealth.
- Use a multi-disciplinary and multi-sectoral approach to planning and development.

These internal strategies require a deep relationship between communities and external partners built on trust and collaboration to foster a shared leadership model for equitable development. Relationship building between communities and outside parties desiring to invest in a neighborhood is often a slow-moving, non-linear process. Practicing cultural and historical humility and exercising caution when in a position of power are key to the equitable development process, considering the history of violent displacement over time and how new development could cause more forced removal within a neighborhood. Chapter Three, Part I includes an extensive review of the literature on best practices for grantmaking in a community development context, which will cover these internal strategies in-depth.

External-Facing Tools for Equitable Development

The Nathalie P. Voorhees Center for Neighborhood and Community Improvement and the Urban Institute each compiled a toolkit for community planners and communities to combat the harmful effects of gentrification and neighborhood change for long-time residents.[52] Both resources categorize which anti-displacement tools may be most useful depending on the stage–early, middle, late–in which a neighborhood is experiencing gentrification. Although far from an exhaustive list, these tools begin to provide an idea of existing approaches to mitigate displacement and repair harm in communities that have experienced serial forced displacement throughout the 20th and 21st centuries. In addition to implementing the internal strategies listed in *Table 2*, public, private, and non-profit sectors can partner with communities using the these equitable development tools in *Table 3*.

Table 3. External-Facing Tools for Equitable Development[3,49,51-52]

***Purpose**: External-facing strategies are meant to be conducted in partnership with affected communities, ideally after Internal Strategies (see Table 2) are in place.*	
Proactive tools, prior to investment or gentrification, that promote equitable development	▪ *Coalition building:* Sharing information and collaborating for a common cause, political participation, and/or legal services. ▪ *Right to Purchase*: Current tenants or non-profit developers have the right to purchase property before it is offered to a for-profit developer. This is most cost-effective prior to gentrification or rising property values. ▪ *Community Land Trusts*: Land acquisition and stewardship by a community organization, or the community itself, to secure residential or commercial property for community members. ▪ *Inclusionary Zoning*: Requires developers to designate a percentage of below-market-rate housing units for low-income residents, or "pay into the pot" for future affordable housing projects. Seattle's Mandatory Housing Affordability and Livability Agenda (HALA) is an example of inclusionary zoning.
Tools to promote equitable development in mid-stage gentrification or investment	▪ *Renter Protections:* Some examples of protection are rent control for low-income residents, just cause eviction control, and enforced maintenance of a building to ensure it is up to code. ▪ *Tax Abatement*: A mechanism to cap property taxes as property values increase. ▪ *Rehabilitation & Preservation*: Preservation or rehabilitation of older buildings can provide an ample supply of affordable housing or commercial units. This method is much more cost-effective and faster than constructing entirely new buildings.
Tools to promote equitable development in late-stage gentrification or displacement	▪ *Housing Levies*: Money generated from property taxes to fund affordable housing trust funds or specific projects pertaining to housing for people with low-incomes. ▪ *Addressing NIMBYism*: Conduct education, outreach, and relationship-building with community members prior to building affordable housing units in a neighborhood.

C. How the City of Seattle is Addressing Access to Opportunity & Racialized Displacement

The City of Seattle's Race and Social Justice Initiative (RSJI)

The City of Seattle established the Race and Social Justice Initiative (RSJI) in 2004. In its early days, the RSJI focused internally and worked to address the City's role in institutional racism through developing tools and a common language targeting racism, as well as hosting a series of trainings for City employees. On April 3, 2014, Mayor Edward Murray signed Seattle's Race and Social Justice Initiative into legislation to apply racial equity across all City services, programs, and initiatives. The City identified equitable development, education, and criminal justice as its top RSJI priorities.[55] The RSJI committee authored a three-year plan in 2015 with the goal of advancing racial equity beyond the scope of government programs and initiatives.[56]

Recognizing that development and displacement often go hand-in-hand, the City created its first *Equitable Development Implementation Plan* in 2016[57] and incorporated equity principles into Seattle's 2035 Comprehensive Plan update.[3] These efforts provide a policy and planning framework that prioritizes racial equity across all City departments. Seattle's governing bodies must make major strides to meet its racial equity vision, and the Office of Planning and Community Development's (OPCD) Equitable Development Initiative (EDI) is one concrete strategy to make Seattle a more welcoming, livable, and affordable city for people of color.

OPCD was a newly established office in 2016 meant to support long-range plans for neighborhoods and communities as Seattle continues to grow. OPCD strives to work alongside communities, neighborhoods, businesses, and other government entities with the goal of creating a cohesive vision for resource prioritization and city plan implementation. Racial equity is central to the values of OPCD and its work to create a Seattle that is more, "...inclusive, affordable, vibrant, interconnected, and innovative."[58] OPCD houses the Equitable Development Initiative (EDI) in partnership with the Office of Civil Rights, and is one way in which the office is working towards its vision for Seattle, "...where everyone thrives."[58] OPCD is tasked with creating and implementing an equitable development monitoring program to capture indicators for displacement and community well-being annually, which will guide policy and budget decision-making.[57]

Seattle's Equitable Development Initiative's (EDI) Vision & Goals

The Equitable Development Initiative (EDI) has two overarching goals: To create (1) "Strong communities and people"[3] and (2) "[g]reat places with equitable access."[3] The Growth and Equity element details several strategies to achieve this vision:

> "Equitable growth will be achieved when Seattle is a city with people of diverse cultures, races and incomes and all people are thriving and able to achieve their full potential regardless of race or means. Seattle's neighborhoods will be diverse and will include the community anchors, supports, goods, services, and amenities people need to lead healthy lives and flourish."[3]

OPCD is not the only City department working to achieve this vision of equitable development, and there are several components to the EDI such as the EDI Fund.[59] Citywide targeted strategies such as the Housing Affordability and Livability Agenda, Commercial Affordability Initiative for small businesses, and the Equity and Environment Agenda, in addition to smaller, crucial neighborhood and community initiatives are what propel the EDI.[57] Meaningful and sustainable equitable development will take the work of all City and County departments collaborating with communities and the private sector to foster asset building, robust transportation networks, healthy neighborhoods, and access to opportunity centers.

D. Introduction to the Equitable Development Initiative Fund

The purpose of the Equitable Development Initiative (EDI) is to mitigate displacement and increase access to opportunity for Seattle's historically marginalized communities, and the impetus for the EDI came from community organizations calling for additional tools to successfully design and implement their work as displacement pressures continue to rise in Seattle. The **EDI Fund** was born in response to this need to create a funding program that partners with existing organizations to strengthen organizational effectiveness and contribute to social impact investing in the city. The EDI Fund grants $5 million annually to organizations serving Seattle's communities that are most severely affected by displacement.

In 2016, the City signed an agreement to transfer the funds from the sale of the Civic Square property next to Seattle's City Hall for $16 million to establish an EDI Implementation Fund. This agreement launched the EDI Fund's efforts with $16 million for community organizations in the first two funding cycles. Since then, the EDI Fund has partnered with 15 organizations to support a range of anti-displacement and access to opportunity projects including affordable housing and commercial spaces, community and cultural centers, childcare, entrepreneurship and talent development, building rehabilitation, and land acquisition, specifically for communities of color. Additionally, Seattle's City Council approved a portion of Seattle's short-term rental tax revenue as a permanent EDI funding source in 2017.[60]

The EDI Fund team is committed to working towards the community control of land and building power to support programs led by those who are directly affected by displacement.[61] As such, the team is advised by 12 individuals from various community and non-profit organizations that serve communities of color in Seattle.[57] Furthermore, the EDI has an Interdepartmental Team of seven other local City departments to create comprehensive and cohesive strategies for equitable development.[57] The EDI Fund released its third round of funding beginning in April of 2019 with $5 million in grant funds.

The EDI Fund's Current Challenges

The scale of racialized displacement in Seattle outweighs resources that are currently available. Furthermore, political and economic market forces continue to work against equitable development that keeps long-standing communities of color in mind as Seattle continues to grow. The EDI's mission is to disrupt this status quo. This government initiative lives within a larger political and economic system that is inherently racist, and therefore, all assumptions about how the EDI Fund should operate will need to be routinely and systematically questioned and evaluated to ensure the EDI Fund is making steady progress

towards racial equity in the midst of urban growth and development. Simply put, people of color continue to be pushed out of Seattle due to economic, physical, and cultural displacement, which means communities' needs are far from being met.[61]

E. The EDI Fund Process Improvement Plan

In summer 2018, the City of Seattle's Office of Planning and Community Development commissioned University of Washington Master's of Public Health and Master's of Urban Planning concurrent degree student, Elise Rasmussen, to design a **process improvement plan** for the EDI Fund to determine how they could structure the Fund's outreach, **Request for Proposal (RFP)**, and grant implementation processes to prioritize racial justice and refine support systems for EDI Fund applicants and grantees. EDI Fund applicants and grantees are community-based organizations that mitigate displacement and provide greater access to opportunity for marginalized populations in Seattle.

The EDI team, consisting of six full-time OPCD staff, is striving to dismantle the status quo within a larger bureaucracy. To do so, they are collaborating with local government departments, community leaders and stakeholders, and other funders, to build on existing expertise to improve racial equity in Seattle through outcomes-oriented grantmaking and investing with the following questions in mind:

1. How can the EDI Fund reconcile increasingly powerful pressures that force those who are most vulnerable out of the city while still working within a system that expects public tax dollars to contribute to concrete outcomes for those who have been undervalued by society?
2. How can the EDI address the tension between equity and efficiency to achieve the EDI Fund's purpose of social impact investing?
3. How must the EDI evolve to effectively bolster access to opportunities in underinvested communities while keeping residents, small businesses, and cultural enclaves in place in the current Seattle context?

As the first of its kind, the EDI Fund Process Improvement Plan will not comprehensively answer each of these questions, but it aims to put the EDI and the EDI Fund on a path toward identifying Seattle-specific solutions to enhance how it serves communities of color. The EDI team and I worked together to create a focused plan will provide concrete and actionable areas for improvement with respect to the EDI Fund's grantmaking, capacity building, and impact investing policies and practices that prioritize Seattle's communities of color in the upcoming RFP and beyond. In order to do so, this EDI Fund Process Improvement Plan Focuses on this overarching question:

How Can the EDI team improve its outreach, application, and grant implementation processes to increase racial equity throughout the EDI Fund process?

Chapter Two: Methods

A. Overview of Process Improvement Plan Methodology

This report has two main deliverables:

1. **Chapter Three, Part I of this report is a comprehensive review of the literature** authored by experts in racial justice-oriented grantmaking, capacity building, and impact investing in the community development context. The purpose of this literature review is to provide the EDI team with a set of current promising policies and practices for grantmaking to end racialized displacement and provide increased access to opportunity for people of color in Seattle. The literature review also guided which questions to include in the focus groups and surveys. I will discuss this process in greater detail in this Chapter Three.
2. **Chapter 3, Part II of this report a Process Improvement Plan** that includes three data collection tools to target specific racially equitable policy and programming alternatives for the EDI Fund: community interviews, a community survey, and eight stakeholder focus groups. I will discuss how the interview findings informed the implementation and data analysis timeline and plan for the community survey and focus groups both in Chapter Two and Three.

B. Data Collection Methods

Literature Review

I used the following selection criteria in a systematic and comprehensive review of nearly 50 white papers on grantmaking, philanthropy, capacity building, impact investing, and racial justice. All selected articles had:

- *Explicit language defining and contextualizing what racial justice means within a grantmaking or an impact investing context*
- *Most promising practices and policies for grantmaking, philanthropy, or impact investing rooted in racial justice*
- *Examples and definitions of shared leadership between funders and grantees or applicants Strategies to address power imbalances and/or strategies to build funder-grantee relationships*
- *Community-driven and/or community-informed processes for grantmaking, philanthropy, or impact investing*
- *Critiques of common grantmaking, philanthropy, or impact investing practices and policies*
- *Strategies, tools, and examples that were relatable and relevant to the mission, vision, and goals of the EDI Fund*

I qualified which articles or reports met the last criterion for relevant research by attending monthly EDI Interim Advisory Board meetings, EDI team meetings, and conducting semi-structured interviews with the EDI team to understand the EDI Fund's current priorities stemming from the vision, mission, and goals of the program. These meetings and interviews also provided a deeper understanding of the EDI Fund's current conditions and unresolved issues, which I used to develop a targeted set of questions to guide the literature review. Based on this information, selected articles fitting these criteria were broken into three categories, which later became the three main sections of the literature review: racial justice-oriented grantmaking, capacity building, and impact investing.

Community Interviews

In the summer and fall of 2018 EDI staff conducted 16 semi-structured interviews with unfunded EDI applicants to understand barriers and limitations during the EDI Fund's second funding cycle which took place in the spring and summer of 2018. Interview questions focused on the outreach, application, and RFP review process, as well as the EDI's current funding requirements. EDI staff used community-generated ideas from these interviews to identify possible tasks and implementation options, which were put into four main categories for program improvement: RFP design, technical assistance processes, review panel processes, and EDI values. Each category contained a subset of tasks and implementation options, which can also be thought of as a programming or funding alternative, that was derived from these interview findings. After staff concluded all interviews, they quantified consistent interview themes by calculating the frequency in which interviewees stated their desire for particular funding or programming alternatives. For example, multiple interviewees asked for grantwriters to assist with the grant application, or a multistage request for proposal (RFP) process.

I then worked with EDI staff to rank the priority level for each implementation option using the respondent frequency data and the feasibility of creating and implementing that option as key measures. I asked three EDI staff, including the manager of the EDI team, to complete the following exercises:

1. Rank the priority of each implementation option articulated by communities on a scale from one to three, one being a high priority and three being a low priority.
2. Categorize each implementation option according to its estimated implementation timeframe: short-term or long-term. Short term was defined as an implementation option that the EDI team could feasibly implement during the 2020 RFP process. Long-term implementation options were defined as being implemented in funding rounds after the 2020 RFP.

I used staff prioritization rankings and estimated implementation timeframes derived from community interview findings to inform the focus areas for the EDI Process Improvement Plan, which I detail in the deliverables portion of this report in chapter three.

Grantmaking often includes several mutually exclusive options for how to construct a funding program. Organizations' differing opinions are highly contextual and often all options have merit. The findings from the community interviews demonstrated that community organizations have opposing preferences for EDI Fund policy and programming alternatives. I designed the survey and focus group questions to capture the spectrum of community preferences using three major themes derived from interviews:

- **Single or multi-stage RFP Process:** The survey and focus groups aim to identify the effectiveness and desire for a multistage application process to lower the barrier to initially apply for a large grant, or to provide flexibility for how an organization would like to articulate their project. Examples include a letter of intent as in initial stage, or site visits and informational interviews as later stage in the application process. Staff from other organizations stated an opposing preference in that they would prefer a more traditional RFP that does not require them to continually work on the application process after the initial RFP submission.
- **Structured or flexible RFP Process:** The survey and focus groups aim to understand how the open-ended and flexible nature of the RFP helps or hinders organizations during the RFP process. Some interviewees stated their appreciation for the range of projects that could fit into the scope of EDI funded work. However, other interviewees stated that this same flexibility resulted in a lack of application structure and guidance making the process more difficult and unwieldy for them. Organizations that needed more structure said they had trouble identifying which elements of their projects they should include in the RFP to ensure they were effectively articulating the need for their work in a way that would address the review committee's evaluation metrics.
- **Use EDI funds for projects or invest in support systems:** Interviewees stated a need for more technical assistance and support throughout the application and project implementation processes. With limited funds, the EDI team is seeking community input about whether the EDI staff should invest EDI grant money in third-party evaluators, technical assistance providers, ethnic media outlets for outreach purposes, and other support systems to work towards a more inclusive and equitable grantmaking process. Conversely, if the EDI staff make these investments, that means fewer dollars going directly to organizations to decide how to best use funds for their own communities.

Community Survey

I worked with EDI staff to determine the scope and focus of the survey questions using the recommendations from the literature and the themes identified during the analysis of the 16 community interviews. In many instances the literature demonstrated that experts unanimously agree on how to design and implement specific strategies for racially equitable grantmaking, capacity building, and impact investing. I did not include community-generated ideas for implementation options in the survey when three or fewer interviewees stated a desire for an implementation option that directly contradicted recommendations stated in the literature. These instances were generally attributed interviewees stating implementation options that would directly benefit their organizations, but may not be beneficial to the majority of potential EDI applicants. Regardless, the EDI staff and I cataloged all community preferences for future reference or use.

Programming alternatives derived from community interviews that either coincided with, or did not directly contradict, expert literature shaped both the focus group and survey questions. Implementation options that interviewees most frequently stated pertained to the EDI Fund RFP process and the best uses of EDI Funds, which comprise the main sections of the survey. I created the third section of the survey, organizational demographics, for data analysis purposes so the EDI team could disaggregate community preferences for implementation options based on organization attributes.

I collaborated with EDI staff to create a survey that would clearly articulate community priorities for the upcoming 2020 RFP outreach and application processes. With this in mind, survey questions focus on short-term, high to medium priority tasks and implementation options that the EDI staff identified from interview themes. Furthermore, tasks and implementation options had to have concrete outcomes to be included in the survey. Broader or more nuanced tasks and implementation options were included in the focus group questions, prompts, and probes.

I designed survey questions to generate mostly quantitative responses in order to measure the sample population's preferences for particular implementation options, and to be able to efficiently disaggregate data by organization demographics. However, each survey question has at least one opportunity to provide additional qualitative data should a respondent choose to elaborate on their quantitative response. EDI staff and other internal City funders reviewed several iterations of this survey for content clarity and compliance with City privacy law mandates.

Focus Groups

I used the literature review to design the focus group probes and prompts in the same manner as I used the literature to design the survey questions. I cataloged and then omitted

low-frequency implementation options that contradicted best practices in the literature from the set of focus group probes or prompts.

Table 8 in Chapter Three: Part II outlines the eight relevant community or stakeholder groups for a total of eight focus groups identified by EDI staff to provide a comprehensive range of perspectives to answer the overarching process improvement question:

How can the EDI team improve its outreach, application, and grant implementation processes to increase racial equity throughout the EDI Fund process?

I designed focus groups to provide complementary qualitative data to the quantitative responses from the survey to provide the EDI team more nuance or explanation about the rationale behind why specific communities or organizations may prefer some implementation options over others.

I also included objectives for each focus group based on the EDI team's rationale for hosting that focus group in *Appendix F*. I identified these objectives using my notes from informal interviews with EDI staff from EDI Interim Advisory Board meetings. In addition to the overarching and process questions included in *Table 6*, I created a specific set of prompts and probes for each focus group that was also derived from community interviews. Focus group questions, as opposed to survey questions, target implementation options and tasks that rely on qualitative data to understand community preferences due to numerous contextual nuances depending on an organization's characteristics (e.g. size, age, target population, industry, etc.).

I collaborated with EDI staff to incorporate diversity within and among focus groups to ensure the data collection process would incorporate a broad range of opinions, perspectives, and positions of power. The purpose of diversity within a focus group is to identify and discuss complexities within each implementation option while understanding that individual opinions about an implementation option may shift throughout the course of a focus group after discussing and listening to multiple perspectives, while diversity among focus groups will provide a comprehensive landscape of diverging and converging priorities and preferences among communities and stakeholders. The focus group timeline is in *Appendix A*, which I created by consulting with EDI staff about their individual work plans and timelines for various projects to create a feasible focus group implementation timeline

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Chapter Three: EDI Fund Improvement Plan Deliverables

A. Chapter Three Overview

The purpose of this chapter is to explain the project deliverables and how to implement the **EDI Fund Process Improvement Plan**. Part I of Chapter Three is the literature review which highlights best practices for racial justice-oriented grantmaking, capacity building, and impact investing. The literature review includes my recommendations, derived from the literature, for the EDI Fund in each of these three focus areas. Part II of this chapter is specific to the EDI Fund's Process Improvement Plan and covers the sampling frame, purpose, implementation timeline and protocol, ethics, data analysis plan, and limitations for both the survey and focus groups.

B. The Necessity for the EDI Fund Process Improvement Plan

As the literature review in Part I of this Chapter will demonstrate, philanthropic organizations, more often than not, establish their own precedent for excellence without asking for input about the grantmaking process from the communities they are funding. Prior to establishing the Fund, EDI staff were cognizant of existing philanthropic barriers that burden non-profit organizations throughout the grantmaking process, and are currently working to incorporate a shared leadership model for the Fund between the City and the communities the EDI Fund serves. From the start of the EDI Fund, the EDI team had always planned to design and implement an equity analysis of their grantmaking process to cater to specific community needs in order to dismantle this philanthropic status quo that often prioritizes funders' preferences over the preferences or needs of organizations. This process improvement plan was designed to systematically measure barriers to equity with the current grantmaking process, and identify feasible and more equitable alternatives for the future of the Fund.

Once implemented, the findings from the EDI Fund Process Improvement Plan will support the EDI team with:

1. *Identifying barriers and challenges throughout the grantmaking process*
2. *Understanding community needs and preferences during the grantmaking process, and identifying ways the EDI team can feasibly cater to communities throughout outreach, application, and grant implementation processes*
3. *Reconciling mutually exclusive community preferences within the grantmaking process with concrete rationale and data from the literature review, interview, survey, and focus group findings*
4. *Providing EDI staff with specific recommendations about how to appropriately and adequately support communities during the outreach, application, and implementation phases of the grantmaking process. These recommendations will*

be derived from the literature review and survey, focus group, and interview findings.

5. *Ensuring that the EDI team adequately supports grantees during project implementation, and to address any community capacity challenges*
6. *Developing a strategic plan, complete with measurable program outputs, outcomes, and objectives to monitor progress toward a shared vision between the City and communities for the Fund*

The EDI Process Improvement Plan aims to improve racial justice throughout the grantmaking process by assisting the EDI team in refining their mission and program priorities to serve communities of color. The EDI team will use the recommendations from the literature review and the findings from the survey and focus groups to dismantle norms within philanthropy that often caters to funders' needs and desires over communities' needs and desires. According to the literature, racial justice-oriented grantmakers strongly emphasize the importance of community input and shared power, and the EDI team is working to identify strategies to improve their capacity building, and eventually impact investing work with communities by first refining and improving the EDI Fund's grantmaking process.

Chapter Three, Part I: Review of the Literature

A. Literature Review Introduction

As a part of a larger effort to meet communities' needs, the **Equitable Development Initiative Fund** (EDI) **Fund** is working to strengthen its outreach, grant application, and grant implementation support. More specifically, the EDI staff is undergoing an extensive community engagement process to improve the Fund's grantmaking, capacity building, and impact investing process with the goal of incorporating more racially equitable policies and practices in future funding cycles beginning with the 2020 **Request for Proposal (RFP)**. A review of the existing literature authored by grantmaking experts on racially equitable grantmaking, capacity building, and impact investing will inform programmatic decisions to ensure that this initiative is making good use of public funds by more effectively partnering with organizations committed to anti-displacement and access to opportunity work in Seattle.

This document seeks to answer the following questions:

1. *What are the best equity practices for grantmaking and capacity-building in the community development context?*
2. *What equitable development outcomes should the EDI strive to achieve in partnership with communities?*
3. *How can the EDI Fund formalize a co-design process with the community to fulfill their needs?*
4. *According to the literature, what policy and programming options would contribute to the EDI Fund's mission to work towards racial equity?*

This literature review is one component of the EDI Fund's Process Improvement Plan that also relies heavily on community input to pinpoint ways in which the EDI Fund can have a more equitable grantmaking process rooted in racial justice outcomes specifically for Seattle's communities of color. This literature review provides an opportunity to learn from experts who have already evaluated social impact grantmaking programs to bolster racial justice work. The goal of the **EDI Fund Process Improvement Plan** is to reconcile stakeholder feedback with equitable best practices for racially equitable grantmaking identified in the literature. This process will culminate key findings to inform specific policy and programming recommendations that focus on racial justice-oriented grantmaking.

Purpose, History, and Accomplishments of the EDI Fund

The purpose of the Equitable Development Initiative (EDI) is to mitigate displacement and increase access to opportunity for Seattle's historically marginalized communities, and the impetus for the EDI came from community organizations calling for additional tools to successfully design and implement their work as displacement pressures continue to rise in Seattle. The **EDI Fund** was born in response to this need to create a funding program that partners with existing organizations to strengthen organizational effectiveness and contribute to social impact investing in the city. The EDI Fund grants $5 million annually to organizations serving Seattle's communities that are most severely affected by displacement.

In 2016, the City signed an agreement to transfer the funds from the sale of the Civic Square property next to Seattle's City Hall for $16 million to establish an EDI Implementation Fund. This agreement launched the EDI Fund's efforts with $16 million for community organizations in the first two funding cycles. Since then the EDI Fund has partnered with 15 organizations to support a range of anti-displacement and access to opportunity projects including affordable housing and commercial spaces, community and cultural centers, childcare, entrepreneurship and talent development, building rehabilitation, and land acquisition, specifically for communities of color. Additionally, Seattle's City Council approved a portion of Seattle's short-term rental tax revenue as a permanent EDI funding source in 2017.[60]

The EDI Fund team is committed to working towards the community control of land and building power to support programs led by those who are directly affected by displacement.[61] As such, the team is advised by 12 individuals from various community and non-profit organizations that serve communities of color in Seattle.[57] Furthermore, the EDI has an Interdepartmental Team of seven other local City departments to create comprehensive and cohesive strategies for equitable development.[57] The EDI Fund released its third round of funding beginning in April of 2019 with $5 million in grant funds.

The EDI Fund's Current Challenges

The scale of racialized displacement in Seattle outweighs resources that are currently available; we owe communities of color much more than $5 million a year to repair the damage caused by serial forced displacement in communities of color. Furthermore, political and economic market forces continue to work against equitable development that keeps long-standing communities of color in mind as Seattle continues to grow. The EDI's mission is to disrupt this status quo. This government initiative lives within a larger system that is inherently racist, and therefore, all assumptions about how the EDI Fund should operate will need to be routinely and systematically questioned and evaluated to ensure the EDI Fund is making steady progress towards racial equity in the midst of urban growth and development. Simply put,

people of color continue to be pushed out of Seattle due to economic, physical, and cultural displacement, which means communities' needs are far from being met.[61]

1. Racial Justice-Oriented Grantmaking

A. Grantmaking Literature Overview

This portion of the literature review identifies best equity practices for grantmaking in the community development context, followed by steps for grantmakers to strengthen their justice-oriented work, and policy recommendations specific to the EDI Fund's grantmaking process.

The grantmaking section will address the following questions:

1. *What are the best equity practices for grantmaking in the community development context?*
2. *How can the EDI Fund lead with racial and social justice throughout the grantmaking process?*
3. *How can the EDI Fund improve access to funding and support throughout the funding process?*
4. *What are concrete ways in which the EDI Fund can improve its RFP process so that community organizations have both clarity and flexibility?*

B. Why Racial Justice-Oriented Grantmaking Matters

Power imbalances exist between the grantmaker and potential grantees within all grantmaking processes. This disproportionate distribution of power is especially apparent among organizations serving communities that have been systematically disenfranchised. Recognition of this uneven power structure is crucial, but how can a funder begin to reconcile and correct the funding process to share this power with communities?

First, grantmakers must have a shared definition of racial and social justice, and how justice differs from equity when working with communities to design justice-oriented outcomes. **Racial equity** often revolves around where people of color are currently positioned in society and their lack of access to power, whereas **racial justice** includes a reparative piece that requires answers to *why* communities of color lack power to then inform power building interventions.[9]

> "Justice entails action and a demand for accountability. You can't just say 'justice' and not imply that something must be done and must be done now. Equity is a good tool for analysis and understanding of where inequity exists, but good justice commands that there must be action and you must participate in that action to get there." Justice entails action and a demand for accountability.
> -Black Program Officer of a national foundation[9]

The EDI is working toward racial and social justice, and also has limited resources for historically underserved neighborhoods and communities. These same communities are now, as a result of intentional underinvestment by both the public and private sectors, are facing time-sensitive challenges as displacement pressures increase. The EDI must strategically approach how to equitably distribute funds across multiple organizations conducting effective anti-displacement and community power-building work in their respective communities. Grantmaking with a justice lens requires the grantmaker to strike a balance between a deep understanding of how an organization's project plan meets community needs without abusing power through an overly arduous and oppressive grantmaking process. Identifying this balance is at the crux of racial and social justice-oriented grantmaking.

C. Steps for Grantmakers to Strengthen Justice-Oriented Work

Step One: *Have a shared definition, understanding, and commitment to racial justice*

Organizational buy-in to the vision for racial justice-oriented grantmaking is at the heart of any social impact grantmaking work. Grantmakers that have a long history of leading with racial justice may still find it challenging to work as a united front when it comes to implementing their vision for racial equity. A systematic racial equity analysis ensures that racial justice principles are clear and consistent for funders, intermediaries, and grantees. Consensus building around desired racial justice outcomes and the steps to achieve these outcomes limits the possibility for assumptions and provides clarity for all parties involved.

Furthermore, this shared definition, understanding, and plan of action towards racial justice must be routinely reviewed and revised in order to maintain relevance within this complex and constantly evolving work. Consensus about what racial justice looks like and sounds like will also allow for grantmakers to approach racial justice beyond funding projects. A shared definition, understanding, and commitment to racial justice mean a more streamlined the RFP review process by creating an RFP document that asks for organizations' commitment to racial justice in a specific and clear way so funds can be applied to organizations that contribute to this shared definition and vision of racial justice. This consensus will also allow for funding human capital such as organizational staff or board members implementing racial justice-oriented strategies within an organization.[62,63] A unified vision for defining racial justice in the equitable development context, and the steps it will take to achieve this vision, is a crucial first step to working towards a more just grantmaking program.[9]

Step Two: *Increase funding to support a healthy racial justice ecosystem*

Funding builds power for both social issues (e.g. residential displacement and decriminalization) and strategies (e.g. community organizing and affordable housing). Limited resources often make it difficult to invest in all parts of a racial justice ecosystem. Funders must strategize how to effectively use their resources to support both community-specific and multiracial spaces. In contexts where resources are scarce, funders can think through how to support organizations that tie different constituencies together in meaningful ways. These "connectors" often have the tools to work through ideas and conflicts, and can also do long-term coalition building.[3]

The desired outcome for all grantmaking efforts is to build power among grantees. *Delta Vision*, a coalition of non-profit organizations that provide capacity building services in the Puget Sound region, created the "Delta Vision Cake"[64] framework to envision and specifically name the components of a racial justice-oriented grantmaking and capacity building system. The cake has three layers, each layer representing the critical role that organizations, communities, and systems play in building capacity. The cake is also sliced into three wedges to highlight how people, practices, and places contribute to increased power in communities of color. Power is the main ingredient in this cake, and is the primary driver influencing social change toward racial justice. The "Delta Vision" advocates for, "Fund[ing] the whole cake, rather than just a layer."[65]

Figure 4. Delta Vision Cake

"When baking a cake, you need to put all of the ingredients together. Eggs, flour, sugar. You cannot have a cake without all the elements. Yet funders keep funding one ingredient at a time and wondering why capacity building is not working. People, stable office and program space, culturally-responsive practices — all of these components and more must simultaneously be funded. And we need to talk more about power. Without power, we can't build capacity."

- Vu Le Executive Director of Rainier Valley Corps[64]

The EDI is addressing a highly complex problem: *racialized displacement and a lack of access to opportunity for communities of color in Seattle.* This is a wicked problem, and it sits at the crux of social, political, and economic dilemmas that no one agency can solve alone. **Collective Impact**, a strategy that rests on the theory that multi-issue problems, and the need to change the system creating these problems, requires multi-sector and multi-agency

coordination.[2] The key to effective collective impact work is to bring together a diversity of opinions, experiences, strategies, and strengths to understand the broader view of the problem and then collaborate to identify and implement creative solutions. The EDI recognizes the need for collective impact work in order to successfully fund the "whole cake" to work alongside communities of color to increase access to opportunities and to stop racialized displacement.

Key considerations for effective collective impact work:

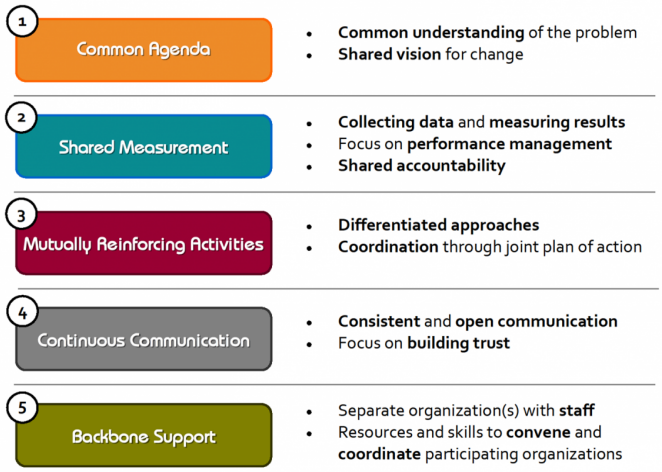
- **Create a stakeholder analysis or a power map.**[62,63] Successful collective impact work requires the full range of perspectives about an issue at the table, including opposing parties. Creating a stakeholder analysis is often the best place to start when contemplating which players must be at this table to create high-level systems change.

- **Data-driven strategies and interventions:** Data is at the heart of collective impact work. First, it is crucial to have a deep understanding of the problem, which includes disaggregating data to pinpoint inequities and injustices in the system. In the case of the EDI, the monitoring team is working to understand which populations are most at risk for displacement, which populations have the least access to opportunity in Seattle, and the extent to which those populations overlap.[3] Data should inform which intervention to use when, or which intervention might be most successful for specific populations. Aside from quantitative or spatial data, community perspectives via storytelling or other qualitative data collection methods are imperative to social impact work. Community members are experts and critical partners in identifying both problems and solutions. Furthermore, progress monitoring is crucial to understanding how effective collective interventions are, and where or when a collective impact strategy or implementation plan must pivot to achieve desired results. Those involved in collective impact work may consider hiring external evaluators to conduct a formal needs assessment, process evaluation, and program evaluation to measure progress throughout the program's design and implementation.

Five Conditions that Must be in Place for Collective Impact

Collective impact work is inherently difficult because it demands collaboration among players who may have a common goal, but also may have differing opinions about tactics, tools, and strategies to achieve this goal. The following five conditions are central to ensuring that collective impact efforts are successful.[66]

Figure 5. Five Conditions for Collective Impact[66]



1. **Common agenda:** All players have a shared understanding of the problem and agree on the approach to solving the said problem.
2. **Shared measurement system:** All stakeholders agree on indicators for success and the methods used to measure and report progress. This shared measurement system also implies shared accountability for all stakeholders.
3. **Mutually reinforcing activities:** Use the strengths among a diverse set of stakeholders to coordinate differentiated activities to implement and reinforce the intervention plan.
4. **Continuous communication:** Stakeholders must trust each other to do the job, which requires frequent and structured lines of communication. Effective communication can also bolster a common motivation to tackle the problem.
5. **Backbone support:** Rely on each organization's strengths for collective impact. Identify staff and organizations that can create the vision and strategy, organize the affected communities, advance policy, establish shared measurement practices, or other necessary components to support the whole "cake."[65]

Step Three: *Identify unintended consequences of supporting a large network of organizations, including the proliferation of new organizations. Create strategies and tools and funders to reduce harm and optimize benefits*

Examining the scope, nature, and quality of the anti-displacement and anti-poverty organizations in Seattle to effectively measure they are efficiently meeting community needs will minimize the likelihood for potential negative indirect impacts stemming from siloed networks with shared goals. More is not always better, and a lack of coordination and collaboration often leads to inefficiencies because a larger network also means more expenses

and undesired competition among like-minded organizations. Furthermore, a growing nonprofit infrastructure may create barriers for smaller or newer organizations, especially those with experimental strategies and tactics.

The current grantmaking system fosters competition among organizations, especially those serving communities of color. Funders must prioritize opportunities to build relationships and collaborate to support these organizations' shared goals and efforts in a way that also allows each organization to strengthen its own capacity. This requires funders and community leaders to think creatively and have challenging conversations about how to design a new system that is more equitable and less competitive.[65] Funders must also be attuned to differential access to power as funder demographics continue to shift toward more people of color transitioning from community organizations or campaigns to leadership or grantmaking roles, for example. Power dynamics between grantees and funders may be difficult to navigate when funders are former nonprofit leaders or organizers.

Step Four: *Define what appropriate funder leadership entails*

Community organizers and activists are demanding that funder leadership more explicitly address racial justice throughout their funding policies and practices, but exactly does this look like? Some funders interpret this to mean redeveloping or creating new initiatives, holding grantee convenings before developing a new initiative, or exploring and implementing new resources or tools to support grantees. Although good intentions exist behind these efforts, these newly developed strategies can add competing priorities to grantees' lengthy list of time-sensitive action items. These programs may require an enormous amount of time and resources that some grantees may not be equipped to handle. Furthermore, organizations may not feel comfortable providing truly honest feedback about the value of these initiatives due to existing power imbalances, especially if they are heavily reliant on a grantmaker's funds. Unfortunately, the trend in the last decade has shown an increase in the number of more directive programs that treat grantees as contractors to provide a service for funders' own strategies. Funders are a responsible party; they must be aware of how their programming and policies influence the effectiveness of the grantmaking process and work tirelessly to ensure that each policy and practice has a clear set of goals and specified impacts leading to racial justice to ensure that the community's time and resources are well spent.[9]

> "Our role as philanthropy is not to direct our grantee partners in what we will support and tell them what they should do, or create programs that we make them fit into. Our job is to listen, provide resources and provide a space for people to come together and hear from each other and learn and understand one another better..."
> -Latinx Foundation President[9]

Funders must hold themselves accountable to the communities they are funding, which includes working with communities to ensure that their needs, and potential solutions to these needs, are identified properly. Through this process, funders must also evaluate and question their own policies and practices' influence on equity and justice to understand areas for growth in the continual learning process to strengthen and support racial justice work. Explicit conversations among grantmakers about how institutional racism, inequitable distribution of power, white fragility, and current RFP processes can harm the very communities they are working to serve is crucial in understanding how to right the ship toward racial justice outcomes.[64] Advocating for systems and policy change takes time, dedication, and collaboration, but it is possible if organizations, communities, and systems leaders work together to think critically about how the non-profit sector can fulfill its purpose of action-oriented advocacy work and policy change.

Step Five: *Understand the role of white-led institutions in racial justice work*

Every successful grantmaking program heavily invests in relationship building and identifies where it can cede control and foster trust. Proactively addressing power dynamics in a patient, flexible, and genuine way lends itself to greater community buy-in. One method way to address this inherent power imbalance between the government and people of color-led organizations is to simply be present in the community and understand how to amplify the collective community resources, or how to fill existing resource gaps identified by communities. Second, understand how a white-led institution, like the government, fits into the large community landscape. The only way to ensure that a white-led institution is truly serving a community organization is to first build relationships and trust among the individuals within the community and the individuals within community organizations and institutions.[63]

Racial justice requires diverse stakeholders to collaborate and advocate on behalf of a racially equitable distribution of power and privilege, and this includes involving white-led institutions or foundations that are predominately white. Although there has been societal progress in the number of majority white entities to incorporate more racially equitable practices into their work, these entities must also be mindful of the potential for colonizing the work of people of color by funding or subcontracting the work to POC-led organizations and then repackaging it as their own. This practice feeds directly into the power imbalance between funders and grantees. A more equitable approach would be to increase diversity and inclusion efforts within funding entities and even shift the governance structure to a shared leadership model between white directors and directors of color. These changes will create a conducive environment for revamped mission statements and explicit approaches to racial justice work that amplifies the power that already exists within communities to directly combat these deeply rooted power differentials.

Step Six: ***Identify the indicators of success for each racial justice strategy***

Funding institutions must prioritize understanding how to strategically build power in a way that promotes long-term change; this requires establishing indicators for success beyond community participation and policy change. The vision for racial justice is large and nebulous, making it difficult to measure. While it is still important to track representation and resource distribution, funders must work toward a deep understanding of what racial justice looks like and how they can best contribute toward this vision, which also includes creating measurable steps to achieve this vision within their respective scopes of work. This process will take cooperative strategic thinking and a willingness to revise as an entity builds this understanding of what power building looks like for the communities it is serving and their role in that work.

A clear and relevant theory of change is a vital step in defining racial justice goals and measuring progress toward these goals. Having short and long-term desired outcomes for how people, practice, and place can influence organizations, communities, and systems are the building blocks to any racial justice program. A strong theory of change involves stakeholder consensus around necessary activities, outputs, and short and long term outcomes. The sum of all these parts serve as a roadmap for the winding and bumpy road path toward racial justice.[65]

> "Justice is where we're living a world free from harm, where people have the ability to reach their own potential and be self-actualized. I think that's harder to measure than equity."
> -Black grantmaker and former practitioner[9]

D. Finding Clarity in Grantmaking with a Racial Justice Lens

The aforementioned steps to grantmaking serve as the path toward racial justice oriented outcomes, however, this winding path can often lead to dead ends or reroutes. In situations where there seems to be no clear path forward, the bottom line is that ideas and consistency matter most. The Philanthropic Initiative for Racial Equity's (PRE) *Guide for Grantmaking with a Racial Justice Lens*[9] includes a table with four crucial elements for applying a *racial equity* lens to grantmaking and then includes two more elements to elevate the conversation towards applying a racial justice lens.

Figure 6. Elements of Racial-Justice Oriented Grantmaking

Our original guide describes four key elements of a racial equity lens. Each of these elements is preserved with a racial justice lens.	**It requires analyzing data and information about race and ethnicity.**
	It requires understanding disparities and the reasons they exist.
	It looks at the structural, root causes of problems.
	It names race explicitly when talking about problems and solutions.
But we would add these elements to raise the stakes toward racial justice.	**An explicit focus on power building in multiple forms, centered on those people who are most impacted**
	An emphasis on transformative, high leverage systemic advances, including fundamental changes in policies, establishing new norms, or designing alternative systems

This table can serve as a checklist for the EDI team to ensure the program is on the path toward racial justice. Simply turning these elements into questions (e.g. How is the EDI looking at the structural, root causes of problems?) can be a successful launching pad to ensure that the EDI is prioritizing the crucial aspects of anti-displacement and anti-poverty work for communities of color in Seattle. These six elements outlined in PRE's table must be paired with practices and policies specific to the EDI's programming and policies, as well as the historical and current contexts of Seattle, to work towards racial justice-oriented grantmaking.

E. Grantmaking Recommendations for the EDI Fund

Grantmaking Recommendation 1: *Ensure that the EDI team has a shared understanding of racial and social justice and a clear plan and set of objectives for how the EDI Fund, as well as external consultants and technical assistance providers, will work toward racial and social justice.*

- **Suggested Implementation Action:** Create a theory of change for the EDI Fund with clearly defined outcomes for how the program can best serve the communities of color in Seattle. This report includes a theory of change in *Appendix I* as a starting place for the program.
- **Suggested Implementation Action:** Refine the EDI Equity drivers to match the outcomes identified by the theory of change. The EDI Equity drivers must also be measurable with an established plan to track the Fund's progress toward desired outcomes.
- **Suggested Implementation Action:** Understand that funding people of color-led organizations is not synonymous with funding racial justice. Racial justice-oriented

grantmaking requires that grantees also have a shared definition of racial justice and are in alignment about how to achieve their organization-specific outcomes.

- **Suggested Implementation Action:** Ensure that all EDI documents include explicit racial justice language. The program must be unafraid to identify and dismantle all levels of racism in order to execute its mission.
- **Suggested Implementation Action:** Ensure that technical assistance providers and external progress monitors have their own frameworks for dismantling institutional and structural racism. Identify trusted technical assistance providers and progress monitors in partnership with community organizations.

Grantmaking Recommendation 2: *Fund a healthy racial justice ecosystem through collective impact.*

- **Suggested Implementation Action:** Conduct a stakeholder analysis and begin to build a coalition of funders aligned with the EDI's vision.
- **Suggested Implementation Action:** Use the stakeholder analysis to identify other grantmakers who have a shared understanding of racial justice to engage in collective impact work that goes beyond funding projects. Funding the "whole cake" includes investing in human capital (e.g. leadership and mentorships), racial justice-oriented technical assistance providers, data analysis, and policy change.
- **Suggested Implementation Action:** Coordinate a collective impact model using the guidelines and best practices identified in the literature.
- **Suggested Implementation Action:** Partner with Delta Vision and engage in their grantmaker training, coaching, and peer learning opportunities for both the EDI team and EDI grantees to address inherent imbalances in power and dismantle racism within grantmaking.
- **Suggested Implementation Action:** Continue to lean on and support the strengths that exist within communities in a meaningful and authentic way. Racial justice-oriented grantmaking requires the EDI team and partner funders deepen their understanding around how to support communities in owning their own work. Understanding community needs through the equity survey and focus groups will provide clarity around how to support existing strengths.

Grantmaking Recommendation 3: *Revise and improve the EDI Fund's grantmaking to ensure that the RFP and the review process are centered around racial justice.*

- **Suggested Implementation Action:** Create a mechanism for identifying racial diversity among staff and leadership within an organization during the RFP process. This might include requiring organizational diversity forms to identify an organization's racial

makeup of its staff and board, explicit racial justice-oriented questions as a part of the RFP, or an opportunity to share how a project will directly address racial justice work. With this said, keep in mind: diversity within an organization's power structure is necessary, but not sufficient to achieve racial justice outcomes.

- **Suggested Implementation Action: Use** the *EDI Equity Analysis Survey* to continue tracking demographic data from grantees and organizations that have not yet received funding to ensure that the program knows who it is working to serve and also to identify potential community or sector gaps.
- **Suggested Implementation Action:** If the EDI incorporates technical assistance providers, ask grantees to share their level of satisfaction with providers anonymously. The EDI must be vigilant in exclusively contracting work with third-party providers who embrace and practice racial justice in their work.
- **Suggested Implementation Action:** Use the Exponent Philanthropy document to guide this work. Specifically, look at the "Assessing Portfolio Reflection Questions" and the "Examining a Specific Grant to Determine Its Racial Justice Potential" sections within the references in this document.
- **Suggested Implementation Action:** Create a consistent RFP system for racial justice across all programs (e.g. capacity building and capital projects). This system must set clear expectations and accountability indicators for racial justice work. Require all partner entities to identify and demonstrate the ways in which they incorporate anti-racist practices and policies into their work.
- **Suggested Implementation Action:** Ensure that convenings for grantees and other organizations are driven by community needs and have distinct outcomes and objectives rooted in the EDI's theory of change. A successful convening also means that the EDI team has a clear understanding of where it needs to provide more support and guidance. Measure a convening's success through an entry and exit questionnaire using the following questions:
    - *Did organizations conclude the convening with a set of resources (including relationships or networking resources), skills, tools, or strategies that they can apply to their work both immediately and longer-term?*
    - *If applicable, did unfunded organizations gain a better understanding of how to become an EDI grantee, as well as a grantee of other funding opportunities?*

2. Racial Justice-Oriented Capacity Building

A. Capacity Building Literature Overview

This section builds the case to continue prioritizing **capacity building** efforts as a part of the EDI Fund's mission. Existing literature and research for grantmaking unanimously supports investing in building capacity. This section will provide best equitable practices and processes using the framework adopted from Grantmakers for Effective Organizations (GEO) to support organizations by making grants *Contextual*, *Continuous*, and *Collective*,[67] while also addressing the challenges to successful capacity building. The section will conclude with recommendations specific to the EDI Fund for how to proceed with capacity building in the Seattle context.

The capacity building section will address the following questions:

1. *What are the best equity practices capacity-building in the community development context?*
2. *What is the funding amount and timeline limit? How long should the EDI Fund continue to support capacity building projects as other projects are added to the pipeline?*
3. *How can the EDI Fund effectively support capacity building projects in making progress towards its goals in addition to other projects its supporting?*
4. *What are alternatives to monetary support that also promote capacity building? How can the EDI Fund build effective programming alternatives to monetary support?*

B. Why Capacity Building Matters

Capacity building is, "...any activity -- such as strategic planning, board development, operational improvements, and technology upgrades -- that strengthens the ability of a nonprofit to achieve greater performance and impact."[68] Capacity building is the bridge connecting grantmaking to impact investing; organizations must invest in capacity building to cross the bridge from being activities-oriented to outcomes-oriented. Existing literature and research on achieving long-term impact unanimously and enthusiastically support investing in capacity building, and even classifies capacity building as an impact investing measure.[67] Increased capacity results in a higher likelihood for desired outcomes and sustained change within an organization.[67] Capacity building strengthens an entity's ability to successfully achieve its overarching mission and goals by ensuring greater efficiency, improved leadership and management, more opportunities for collaboration, and streamlined access to tools and resources.[1]

Although a direct link from investing in new equipment, training, or facility renovations to achieving long-term outcomes may not always be apparent, organizations that have been

able to prioritize capacity building have also been better suited to effectively use impact investing dollars. First investing in building capacity is imperative to an organization's ability to thrive as it launches future projects.[67] In a 2014 survey conducted by GEO found that 77 percent of staffed foundations in the United States offer at least one form of capacity building support to grantees, and 27 percent of these foundations have increased their capacity building support in the previous three years.[67]

Among GEO's survey respondents who support capacity building:

- 91 percent support governance or leadership capacity
- 81 percent support financial capacity
- 77 percent support capacity through evaluation for learning and improvement[1]

> "We recognize that the only way we can achieve our mission and vision is if we have strong grantee partners. Because the work we are collectively doing may take many years, and our grantees need to be resilient and effective over time, long-term capacity investments are a key part of our outcome map."
> --Paul Beaudet, Associate Director, Wilburforce Foundation[68]

C. Addressing Capacity Building Challenges

While existing literature and research has unwavering support for capacity building, grantmakers often feel uncertainty around best practices for effectively supporting capacity building among their grantees. The following section acknowledges the challenges grantmakers face when working to support capacity building efforts and also provides specific measures to consider when determining an organization's readiness to participate in a long-term capacity building initiative.

Grantmakers must consider the following questions in *Table 4* when weighing how to much to emphasize capacity building, or when thinking through what kind of capacity building efforts might be best suited for a particular organization. Keep in mind that the answers to the following questions may change over time due to shifts in community, political, or economic priorities and agendas. As such, grantmakers should revisit these questions and considerations often.

Table 4. Questions and Considerations for Grantmakers	
Questions for Grantmakers[68]	**Considerations**[68]
What proportion of funding or other resources should go towards capacity building?	Grantmakers must weigh communities' needs with what resources are available.
Does the grantmaking entity have the internal capacity and expertise to manage long-term capacity building, including providing technical assistance and organizational evaluations?	If the answer is no, consider external capacity builders, unrestricted grants, or combined capacity building and programming support.
Are grantees already receiving quality technical assistance?	If the answer is no, consider grants or contracts to other local capacity building entities to support with technical assistance.
Is the aim to strengthen specific organizations or support capacity building across organizations?	If the grantmakers have a specific focus, it may not need a stand-alone capacity building program. If the grantmaker is interested in addressing capacity building more broadly, it may be useful to create a stand-alone grant program.
Does the grantmaker want to build a specific	Define priorities and necessary steps to

area of expertise?	achieve desired outcomes. Is it more important to remain broad or instead focus on leadership, fundraising, or technical assistance, etc.?

D. Calculated Capacity Building: Necessary Considerations for Effectiveness

An organization must be ready to accept capacity building assistance, which often means having a clearly defined mission and vision, as well as specific goals, strategies, and tactics to achieve its mission and vision. This structure will allow the organization to prioritize what it hopes to accomplish through capacity building investments, and will also provide guidance to the grantmaker about how to provide the most appropriate resources to work towards reaching the organization's desired outcomes.

The following checklist, adapted from the *TCC Group* that leverages both the private and non-profit sectors to invest in social impact work addressing complex social problems, is meant to assist grantmakers in assessing an organization's readiness to engage with capacity building work. An organization does *not* need to meet all checklist criteria, as each opportunity for capacity building work is unique. Grantmakers must decide which of the following aspects of readiness are most important based on the grantmaking entity's priorities, available resources to dedicate to promote capacity building efforts, and the knowledge about needs pertaining to specific organizations to leverage long-term capacity building efforts.

Readiness Checklist of a Nonprofit Organization to Participate in Effective Capacity Building[69]

- ❑ Organization's staff have a clear understanding of the change management process and are focused on capacity building and meeting its metrics for success
- ❑ Organization's staff/board have time to devote to building capacity
- ❑ Organization has stable leadership with little-to-no recent leadership turnover
- ❑ Organization itself is stable and/or not in crisis
- ❑ Organization has established programs and services
- ❑ Organization has systems and processes in place to streamline work (e.g. data-driven decision making, fundraising, human resource management, etc.)
- ❑ Organization has some experience in capacity building work
- ❑ Organization's leadership can clearly communicate the needs and priorities of the organization, as well as a plan to build capacity and/or implement change management

- ❏ Organization has sufficient funds and resources (e.g. staff) to conduct and sustain a portion of the capacity building work it seeks to accomplish
- ❏ Organization's staff/board have a shared desire to self-reflect and learn
- ❏ Organization's staff/board are motivated to make necessary changes
- ❏ Organization's staff/board are committed to building effectiveness and capacity

Organizations and grantmakers must ultimately work together to determine readiness for capacity building efforts. Successful grantmakers have mechanisms in place to promote organizational readiness when organizations are not yet prepared to conduct long-term capacity building efforts.

E. Five Common Capacity Building Practices

Once the grantmaker has determined what level of capacity building support it can provide and which organizations it would be most successful supporting, a funder can transition toward implementing a capacity building structure that embraces a single practice, or a combination of the following five common capacity building practices.

1. ***Unrestricted support or general operating grant***:[67,70]
    a. **Definition:** Funding to make the organization's work more efficient; very broad funding guidelines
    b. **Benefits:** Provides the greatest amount of flexibility and allows the organization to apply funds to their greatest needs or highest priorities, and may allow grantees to more quickly address capacity building work.
    c. **Limitations:** It may be difficult to measure impact and some organizations may still find it difficult to prioritize capacity building amid other competing priorities.
2. ***Organizational capacity building grants***[67,70]
    a. **Definition:** Funding for specific capacity building endeavors (e.g. leadership, fundraising, collaboration, etc.). Ideally, these grants should complement program grants.
    b. **Benefits:** Grantmakers can provide targeted support in areas of expertise. This grant type can often be the foundation for future organizational growth and development due to its structured nature.
    c. **Limitations:** Grantmakers may not agree on funding priorities, and it may be difficult to align grant timing with an organization's readiness to conduct specific capacity building work.

3. ***Organizational capacity building grants with technical assistance***[67,70]
    a. **Definition:** Funding focused on specific capacity building work along with technical support from a consultant or grantmaker such as organizational assessments or training.
    b. **Benefits:** Grantmakers can provide targeted support in areas of expertise. Furthermore, grantmakers can work alongside funded organizations to thoughtfully design custom technical assistance suited for the organization and the grant can fund the technical assistance implementation or monitoring. An external observer such as a grantmaker or and consultant can offer an objective perspective.
    c. **Limitations:** Grantmakers may not agree on funding priorities, and it may be difficult to align grant timing with an organization's readiness to conduct specific capacity building work. Grantmakers may not have the expertise, time, or resources necessary to identify qualified consultants or design technical assistance programs themselves that are tailored to the organization's needs. Moreover, heavily funder-driven technical assistance may be ineffective and actually harmful to the organization.
4. ***Grants for collective capacity building***[67,70]
    a. **Definition:** Build capacity among a group of grantees or networks.
    b. **Benefits:** Multiple actors work together toward shared goals and address complex social issues which can strengthen the collaboration among grantees, as well as between grantees and grantmakers.
    c. **Limitations:** Varied interests and needs may result in unclear outcomes and may also complicate the structure of support. Grantmakers must have the capacity to make commitments over multiple years to ensure the support is meaningful.
5. ***Grants to intermediaries -- building capacity among capacity builders***[67,70]
    a. **Definition:** Build capacity among technical service providers, intermediaries, or researchers to building capacity among capacity-builders with the goal of developing the education and expertise in the field.
    b. **Benefits:** Organizations will have increased access to quality service providers to support in their capacity building, and service providers can offer the expertise that the grantmaker may not have.
    c. **Limitations:** Grantmakers may not have the knowledge to appropriately select which intermediaries will be most beneficial to community organizations, some qualified or useful service providers may never be

considered because they may not be aligned with the grant guidelines, technical assistance alone may not be as helpful to organizations without funding.

F. Best Equitable Practices for Capacity Building: Contextual, Continuous, and Collective

Capacity building requires great flexibility from the grantmaker; there is no one right way to build capacity and no concrete set of best practices simply because each organization, and the people and resources within that organization, will have different needs. Grantmakers must cater to these needs on a case by case basis. However, *all* capacity building efforts can follow GEO's "three C" framework for *Contextual, Continuous, and Collective* capacity building.[68]

Contextual Capacity Building

Questions for grantmakers to consider while building a contextual capacity building model:[67]

1. *How do you discover what grantees need, specifically at this time?*
2. *How do you ensure that grantee relationships are open and honest?*
3. *How do you tailor capacity building support specific to the needs of an organization?*

Effective capacity building support cannot be done without a grantmaker's deep understanding of an organization's current conditions. Capacity building support relies on strong relationships for two reasons. First, capacity building must be tailored to meet specific needs, and those needs may likely remain unknown or misunderstood if the relationship between the grantmaker and the grantee is weak. Second, organizations must feel secure enough to entrust grantmakers with their biggest organizational and structural problems. If the relationship is lacking, organizations will be less willing to share these details, making it difficult to address real-time challenges and root causes of an organization's inefficiencies.

Often grantmakers believe that hosting capacity building workshops will meet grantees needs, however, workshops are often designed by the grantmaker resulting in an inevitable mismatch between what the grantmaker believes an organization needs and what an organization needs at that specific time. Contextual grantmaking requires that the grantmaker conduct an assessment of programmatic strengths, areas for improvements, and needs to then develop work plans that will address capacity building goals.

Continuous Capacity Building

"Sticking with grantees is more important than anything, There is a connection between the stability of an organization's funding stream and the quality of programs and ability to retain strong leaders. We want to provide the critical organizations in our community funding that is predictable, multiyear and of significant scale."
– Katie Merrow, Vice President of Community Impact, New Hampshire Charitable Foundation[67]

Questions for grantmakers to consider while building a continuous capacity building model:[67]

1. *How long does your investment cycle for capacity building typically last?*
2. *Is your investment cycle sufficient for all grantees?*
3. *How are you monitoring whether you meet grantees' needs throughout the change process?*

Grantmakers must have a long-term approach with multiple steps either within a single organization or across a portfolio. One year of support or a one-time workshop likely will not result in significant capacity changes. Rather, funders must stay connected to grantees throughout the capacity building process, which is where the relationships between the grantmaker and the grantees mentioned in the contextual portion of this work come in handy. A funder may choose to partner with other grantmakers they are not able to be a continuous support system for the grantee. The surrogate grantmakers in this situation must also understand the current conditions for the funded organizations, and the organizations must also be willing to build a relationship with the surrogate grantmaker.

Collective Capacity Building

Questions for grantmakers to consider while building a collective capacity building model:[67]

1. *How will you strengthen collective leadership within organizations and networks you are working to support?*
2. *What opportunities exist to collaborate with other grantmakers to better support organizations?*
3. *How can you accurately assess an organization's progress toward long-term organizational strength?*
4. *How can you improve as a grantmaker to build long-term capacity and collective strength within an organization and across a network?*

One step towards collective capacity building is to harness the skills and strengths of multiple levels of leadership within an organization. To effectively support an organization by meeting its specific needs, it is imperative to go beyond the executive director or other formalized management roles. Deeper leadership across skill sets and competencies within organizations often results in streamlining capacity building investments. Additionally, pooling resources from multiple grantmakers through collective impact work to coordinate support is crucial to capacity building. The overarching theme for Collective capacity-building is that single organizations alone will not be able to address complex social issues. Capacity-building relies on grantmakers and organizations alike to pay attention to the capacity of all actors within a specific geographic area or issue area.

G. Capacity Building Recommendations for the EDI Fund

Implementation Options to Achieve a More Equitable EDI Fund

- **Suggested Implementation Option:** Create separate application processes for capacity-building projects and capital projects. These two grant categories require very different support mechanisms, the RFP process must cater to correctly and accurately assessing whether the EDI can support a specific capacity-building project based on an organization's "readiness" to build capacity. Second, create a system and application process for organizations applying for both capacity building and capital projects.
- **Suggested Implementation Option:** Conduct a formal process evaluation specifically around the EDI's capacity building efforts to date to identify areas for improvement.
- **Suggested Implementation Option:** Identify other areas for capacity building support aside from monetary assistance. Work with technical assistance or organizational effectiveness providers, hold convenings that focus on grantees' missions and goals, make referrals, or find subsidized services that also contribute to building power alongside organizations.

Implementation Options to Achieve Contextual Capacity Building

- **Suggested Implementation Option:** Work with applicants to identify feasible and context-specific progress monitoring metrics as a part of the RFP process. All reviewed literature on capacity building cites the importance of organizational assessments. Working closely with organizations to identify specific progress monitoring

measurements will provide a better understanding of the current context and goals for an organization, and will also aid in the RFP review process. Furthermore, working with organizations prior to their submission of the RFP means more opportunities for relationship building. This work could manifest in the form of interviews or more structured meetings as a part of a multi-stage RFP process to ensure that potential grantees are able to voice their respective needs specific to their organization.

- **Suggested Implementation Option:** Follow up with organizations at specified checkpoints identified in the application process once organizations are funded.
- **Suggested Implementation Option:** Institutionalize a method to ensure that organizations have the time and space to express their most pressing needs without jeopardizing funding opportunities, even prior to being funded. The EDI team will first need to build rapport with potential grantees and address inherent power imbalances between funders and grantees in order to have open and honest conversations.
- **Suggested Implementation Option:** Invest early in relationship building. In addition to the EDI convenings that take place at different points throughout the year, find ways to engage in community events that are not necessarily attached to specific EDI deliverables. Find ways to be present in communities solely for the purpose of spending time with community members and understanding their stories, viewpoints, and concerns. Relationship building is key to understanding how to bolster capacity once the RFP process is in motion.
- **Suggested Implementation Option:** The EDI team must do an intensive review of its own financial, human, and programmatic resources. Identifying the EDI team's current abilities and gaps will inform which capacity building projects the EDI team can effectively support independently, and the projects in which the team may need to partner with other funders for support.

Implementation Options to Achieve Continuous Capacity Building

- **Suggested Implementation Option:** Embrace the power of collective impact. Continue to build relationships and pool resources with other grantmaking entities such as the Department of Neighborhoods, Only Seattle, Office of Sustainability and Ecology, Office of Arts and Culture, Office of Housing, the Seattle Department of Transportation, the Office of Civil Rights, and external philanthropy foundations. Having a robust network of grantmakers will ensure a greater depth in skill sets, competencies, and relationships allowing for continuous capacity-building.
- **Suggested Implementation Option:** Work closely with each grantee to identify a reasonable timeframe to achieve their capacity-building goals and metrics. Thoughtfully designed work plans ensure that the timeline is manageable for a particular project

given the grantee's current capacity. With this said, the EDI team must still consider specific contexts that may require some deadline flexibility.

- **Suggested Implementation Option:** Work with organizations to clearly identify various steps or benchmarks to reach their long-term visions for capacity within their organizations. Check in periodically with funded organizations about their progress towards each benchmark.

Implementation Options to Achieve Collective Capacity Building

- **Suggested Implementation Option:** Continue to build relationships and support networks with other funding entities and high-capacity organizations for collective impact work specifically to support the monetary and non-monetary aspects of capacity building. A more thorough explanation for how to execute the collective impact model, complete with suggested collective impact partners, is located in the subsequent Impact Investing section of this literature review.

3. Racial Justice-Oriented Impact Investing

A. Impact Investing Literature Overview

The final section of this literature review focuses why funders must prioritize impact investing, and the processes, strategies, measures, and considerations funders have to manage internally to successfully invest in external-facing outcomes. An **impact investing**, or an outcomes-oriented investing, system invests in, "...the ultimate good we seek to generate, in contrast with the activities or outputs we undertake to get there."[6] Instead of funding activities and outputs, funders who are devoted to high-impact investing, invest in desired outcomes for social good. Measures to assess impact will vary depending on a program's desired outcomes, and thus impact investing has varying meanings depending on the funder. High impact might look like reaching more people or places, prevention work, a longer-lasting effect, attaining political leverage, or combination of all of these and more.[71] The key takeaway from the literature is that funders should infuse community input throughout their work, but successful impact investing requires funders to refine their internal processes by conducting organizational assessments, developing strategic plans, and creating clear indicators of organizational progress before they can serve their target communities by investing in desired outcomes.

This section addresses the following questions:

1. *What equitable development outcomes should the EDI strive to achieve in partnership with communities?*
2. *How can the EDI team strategically fund outcomes-oriented work that serves communities of color?*

B. Why Impact Investing Matters

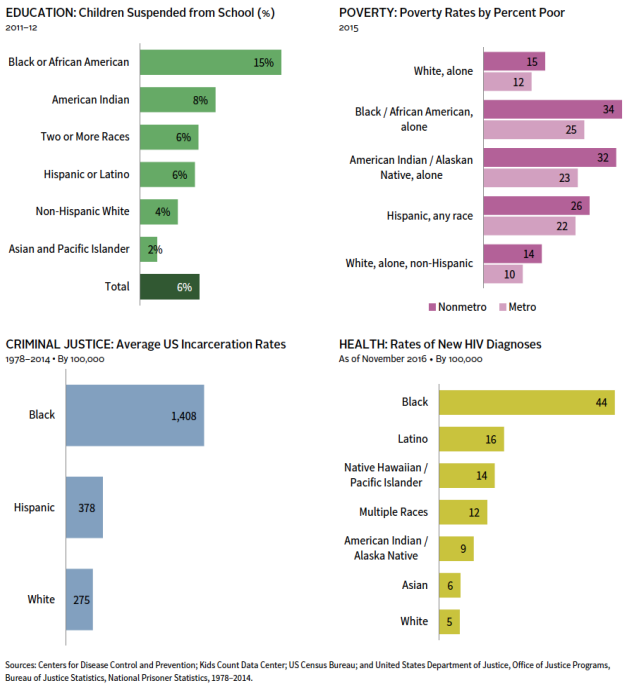
Racial economic inequities in the U.S. are a cost burden to the entire country. Low economic status is directly linked to housing instability, involvement in the criminal justice system, lower educational attainment, and overall poorer health outcomes, all of which directly affect American taxpayers. The WK Kellogg Foundation conducted a study on the cost of economic inequities by race for the U.S. population and found that equalizing the average income between people of color and white Americans would generate $1 trillion in earnings. Furthermore, the study estimated that racial inequities in access to health care alone result in $93 billion in excess medical expenses and $42 billion in lost productivity each year. These costs are expected to rise due to the increasing racial and ethnic diversity in the United States.[72]

In the United States, we continue to prioritize paying for the negative effects stemming from systemic and institutional failures instead of investing in more effective social services. This status quo is not only costly, but it also takes a toll on *all* our emotional and physical health outcomes.[42] Investing in outcomes instead of outputs will take a major philosophical shift for this country: namely, we need to invest in our population's overall health and well-being, instead of investing in punishing poor Americans and Americans of color when systems and institutions designed to fail them are successful in doing so.[6]

The social sector made up of public agencies, nonprofits, and private companies investing in social impact work often invests in activities and outputs instead of investing in results and outcomes. For example, a hospital may pay a homeless shelter for the number of shelter beds a shelter provides (an output), as opposed to paying the shelter for upstream strategies that work to end homelessness (an outcome). Solely investing in outputs will only yield downstream results that never directly target the root causes of the social problem, and output-oriented investments also limit organizational innovation due to contractual obligations that mandate how organizations must spend grant funds. To continue with the previous example, if the homeless shelter must focus on providing a high number of shelter beds in order to get funding from the hospital, that translates to less time and money devoted to wrap around services leading to transitional or permanent housing. If framed correctly, investing in outcomes instead of inputs lends itself to a bipartisan approach to social impact work because it encourages efficient government spending to solve big and costly societal problems.

There are several pressing issues that call for impact investing, and many of these issues are either directly or indirectly related to the public's health. Investing to advance racial equity addresses a multitude of poor health outcomes that, again, are a nationwide cost burden[72] and greatly contribute to the U.S.' declining health status.[42] We know that the Black populations in the United States have the highest rates of student suspension, poverty, interaction with the criminal justice system, and new HIV cases, while the white population has among the lowest rates in all four categories (*Figure 7*). Unfortunately, these outcomes are intentional due to

Figure 7. Social Inequities by Race[72]



Sources: Centers for Disease Control and Prevention; Kids Count Data Center; US Census Bureau; and United States Department of Justice, Office of Justice Programs, Bureau of Justice Statistics, National Prisoner Statistics, 1978–2014.

the persisting racist policies and practices that this country has defended generation after generation. The silver lining is that these policies and practices are well studied, so there is hope that we can take accountability as a country to reverse our mistakes with the same vigor we used to create unjust systems and institutions. Many public agencies around the country, Seattle included, are focused on racial justice work as a method of addressing the root cause that burdens all social equity work.[72]

C. Processes for Successful Impact Investing

Table 5 includes shared qualities across several high-impact investment programs, along with questions to aid the funder's program design. These qualities are in the suggested chronological order to address during program design.

Table 5. Promising Practices for High-Impact Investing[71]

Shared qualities across high-impact investments[71]	Questions for funders to consider during program design[71]
Create clear outcome goals	How will you know the program is successful in achieving impact? Will you use quantitative or qualitative data, or will it be a mixed-methods approach? Must the program have short, intermediate, and long-term goals?
Have a deep understanding of the focus area	How will you know which needs are the most urgent? What are the existing opportunities to change current and historical trends? Who are the key players in this work?
Prioritize effective and coordinated strategies	Do your strategies match your goals? Are your strategies rooted in grantmaking strategies that are proven to be successful? Do your strategies also amplify the work of the organizations you are funding (e.g. holding convenings, creating opportunities for collaboration and knowledge-building)?
Fold learnings into	How are you incorporating your learnings into improving the

practice	program's strategies?

Each funder organization has a unique history, leadership, priorities, capacity, goals, and restrictions, resulting in a new puzzle to solve each time a funder is working to elevate its impact. Achieving high impact through investments is challenging, and funders will face a different set of obstacles in each phase of their journeys to high impact work. *Exponent Philanthropy* identified five common stages that most funders work through to build a high-impact program, and also created a self-diagnostic tool for funders to assess their obstacles to high impact in each stage.[71]

- *Stage one:* Dynamics and readiness
- *Stage two:* Planning and focus
- *Stage three:* Capacity and implementation
- *Stage four:* Context and collaboration
- *Stage five:* Learning and adaptation

Figure 8 is the portion of the assessment targeting Stage one: Dynamics and readiness, as an example of what this assessment entails. The purpose of this tool is to identify current and potential future challenges with impact investing. *Exponent Philanthropy's* Toolkit also includes targeted strategies to improve low-scoring areas identified in the self-diagnostic.[71]

Figure 8. Example Section of Self-Assessment for Impact Investing Readiness[71]

DYNAMICS & READINESS	STRONGLY DISAGREE				STRONGLY AGREE
You actively seek to understand what nonprofits are achieving with your funding.	1	2	3	4	5
You speak openly about the importance of creating more impact.	1	2	3	4	5
You are willing to set aside personal agendas to create a more focused strategy.	1	2	3	4	5
You are open to learning and adjusting your expectations about the causes of and solutions to problems.	1	2	3	4	5
You have appropriate and necessary governance structures and practices in place for effective decision making.	1	2	3	4	5

D. How to Move Towards Investing in Outcomes

This section addresses three components for successful high-impact investing: collective impact efforts, investing in improving health outcomes, and building capacity. Achieving high impact is about finding the most effective and efficient way to assemble all of the most promising practices in this review of the literature.

Investing in Collective Impact to Invest in Outcomes

The grantmaking section of the literature review highlights the importance of collective impact work. **Collective impact** is key to outcomes-oriented work. Big problems such as

increasing access to opportunities while still keeping communities in place will not be solved by one program, one intervention, or even one agency. Furthermore, collective impact allows more room for delivery organizations to innovate through collaboration and shared use of collective resources with the goal of crafting interventions specifically designed to support long-term success in target communities.[63]

Collaboration is difficult and it relies on all players being transparent and accountable with partners and community members about progress toward clear and measurable goals. Each contributing organization has the responsibility to accomplish and communicate about its own set of measurable goals, strategies, and tactics. Service providers that communicate regularly about their progress, results, day-to-day operations and responsibilities, and internal culture, are the most likely to have highly effective collective impact. Releasing control, to a certain extent, and fighting resistance to change are also necessary elements to successful collective impact. Adhering to these practices with fidelity by investing time and resources into collective impact is the initial step in moving away from outputs and moving towards sustained desired outcomes for target communities.[6]

The EDI team already has strong relationships with the following funding entities in the region, and I suggest holding a focus group during the course of the EDI Process Improvement Plan with these funders to explore opportunities for collective impact. After holding a focus group, the EDI team work with these funders to identify any other potential partners, and begin to strategize about collaborations that are both feasible and transformational. I would like to especially call attention to the potential partnership with Communities of Opportunity due to their alignment with the EDI's goal of improving access to opportunity, and also because this program is housed in the Public Health Department. In order for collective impact to achieve long term desired outcomes such as a world where health outcomes are not determined by race or place, the EDI team will need to partner with public health departments and funders focused on health outcomes.

a. Only in Seattle
b. Department of Neighborhoods
c. Office of Sustainability and Environment
d. City's IT Department
e. Office of Arts and Culture
f. Office of Housing
g. Office of Civil Rights
h. Seattle Foundation's Civic Commons (You Belong Here)
i. Health Funders (if possible)
j. Communities of Opportunity (Public Health Seattle and King County)
k. South Core
l. Onboard Othello
m. Rainier Beach organizations
n. White Center organizations

Investing in Health to Invest in Outcomes

Investing in health outcomes can promote agency collaboration by working together to proactively invest in specific desired outcomes instead of reactively paying for the negative effects of failure. The United States spends the most on health care per capita of any country in the world, and yet this country's average life expectancy continues to decline.[42] Truly investing in health means creating a new recipe for integrating social services to create a comprehensive and efficient welfare system than our current recipe where health care outputs are the main ingredients. Early in program development, staff must think critically about the outcomes they are collectively working to achieve.

> "...place-based anti-poverty support has largely been project specific, built on the premise that one program or another—a housing development, a child care service center, a great school—would be enough to move the dial on poverty…doing these things individually is like singing the notes of a song in random fashion. The result will not be music, but cacophony. To produce results (music, in this analogy) we need to organize and coordinate the inputs, so they produce the outcomes we want."[6]

Working closely with a public health entity is imperative to impact investing. Public health practitioners can captain the ship by identifying and connecting the pathways that contribute to improved health outcomes. High-impact work is reliant on breaking down silos, and often the best way to speak a shared language is orienting outcomes toward health-focused goals, strategies, and interventions for communities. Fortunately, the sectors that focus on population health and well-being are abundant. Galvanizing teachers, affordable housing developers, employers, community organizations, social workers, and other social service connectors around improving the social determinants of health for communities can aid in organizing social services in a manner that leads to sustaining desired outcomes.

Systematically funding anti-poverty programming and policies are central to improving the health, not the health care, of a population. The literature has identified three important levers that directly targets poverty:[6]

1. *Affordable mixed-income housing in healthy, diverse communities and neighborhoods*
2. *Early childhood development and learning programming and services that focus on school readiness*
3. *Excellent accessible and affordable education designed to provide a pipeline to well-paid careers*

Grantmakers that are committed to outcomes-oriented solutions to poverty focus on supporting entities that work to integrate these three elements, rather than focusing on funding specific projects. These funders tend to coordinate with community "quarterbacks" that have a vision, mission, and strategic plan for their own collective impact model specific to their respective communities. By nature, this is a longer funding commitment--often close to a decade--in which funders, community quarterbacks funded by grantmakers, and community efforts carrying out specific projects supported by community quarterbacks must be aligned.

This requirement for strategic alignment will exclude several organizations or projects, often smaller, newer, or less funded efforts. The funding entity must consider this tradeoff when making funding decisions; having a clear mission, vision, and theory of change will aid grantmakers in deciding whether it is a priority to fund a more immediate output or a longer-term outcome.

Investing in Capacity Building to Invest in Outcomes

The private and public sectors have collectively underinvested in human services organizations for several decades. Much of the investment focus has been on directly funding programming without funding operations or infrastructure to set these programs up for success to achieve their intended outcomes. Funders know they cannot solely invest in outcomes and expect the desired results because they have seen this system fail repeatedly, yet funders often continue to ignore organizational capacity needs. Investing in outcomes means investing responsibly in capacity building efforts as well.

Grantmakers focused on outcomes have measures to determine why an organization did not deliver on outcomes. Was the grantee ineffective and incapable of change, or did the grantee lack resources to demonstrate and track progress toward desired outcomes? Furthermore, effective outcomes-oriented grantmakers have systems to reward high-achieving organizations as well as systems to aid other organizations in adapting to outcomes-oriented funding to ensure that community investments are made equitably.

A systemic transformation requires resources and human capital on a large scale. Grantmakers are often focused on the organizations that are already "ready" to make outcomes happen, and while transformation may happen at a community or neighborhood level, we cannot expect a subset of organizations to achieve a sustainable outcome on a larger scale. Instead, thousands of organizations must move up on this continuum of readiness, and capacity building is the way to work towards readiness.

E. Impact Investing Recommendations for the EDI Fund

Impact Investing Recommendation One: *Continue to have regular "Deep-Dive" meetings to identify areas for program improvement and to assess progress toward achieving desired outputs and outcomes.*

- **Suggested Implementation Option:** Complete *Exponent Philanthropy's Self-Diagnostic* tool with the EDI team and EDI Interim Advisory Board to identify current and future obstacles for the EDI. Incorporate the suggested strategies to address barriers in low-scoring areas.
- **Suggested Implementation Option:** Identify "community quarterbacks" through a stakeholder analysis that are working to integrate and coordinate multiple anti-poverty or access to opportunity projects in their communities. Then connect with stakeholders to understand how to best support their efforts. The following anti-poverty projects are most consistently linked to high-impact outcomes, and identifying community quarterbacks coordinating these three project types should be a top EDI Fund impact investing priority:
    - Affordable mixed-income housing in healthy, diverse communities and neighborhoods
    - Early childhood development and learning programming and services that focus on school readiness
    - Excellent accessible and affordable education designed to provide a pipeline to well-paid careers

Impact Investing Recommendation Two: *Continue to invest in building capacity with the long-term goal of supporting organizational readiness for outcomes-oriented work across a larger body of organizations.*

- **Suggested Implementation Option:** Identify the appropriate balance between funding organizations ready to make outcomes-oriented change and funding promising organizations that will be ready to create transformational change with more capacity building or organizational effectiveness support.

Impact Investing Recommendation Three: Invest in people and places by investing in health *to achieve sustained transformational change.*

- **Suggested Implementation Option:** Apply the Social Determinants of Health or other health-related frameworks when planning for short, intermediate, and long-term outcomes.
- **Suggested Implementation Option:** Systematically fund anti-poverty programming and policies central to improving health, not the health care, of a population through a collective impact model.
- **Suggested Implementation Option:** Create a system to track resident health in a community to both measure the impact of funded projects and identify areas for future investment.

Impact Investing Recommendation Four: *Use data to measure progress toward desired immediate, intermediate, and long-term outcomes, and also to identify areas for process improvement to ensure the EDI Fund is reaching specified outcomes.*

- **Suggested Implementation Option:** Coordinate data strategies and resources between the EDI Fund and EDI Monitoring work.
- **Suggested Implementation Option:** Partner with community and local government entities already collecting data points that indicate increased access to opportunity such as: third-grade reading and math scores, health and well-being measured by community perceptions, community safety measured by community perceptions, home market values by neighborhood, etc. Track changes in these data over time to inform investments and EDI Fund support structures.
- **Suggested Implementation Option:** Work closely with organizations that may not have the capacity to internally track and report on outcomes to identify methods for support, especially in contexts where outcomes may not be easily measured.

4. Literature Review Summary

This literature review synthesized conclusions and main findings from nearly 50 reports on racial justice-oriented grantmaking, capacity building, and impact investing to assist the EDI team with making measurable progress toward answering these guiding questions:

1. *What are the best equity practices for grantmaking and capacity-building in the community development context?*
2. *What equitable development outcomes should the EDI strive to achieve in partnership with communities?*
3. *How can the EDI Fund formalize a co-design process with the community to fulfill their needs?*
4. *According to the literature, what policy and programming options would contribute to the EDI Fund's mission to work towards racial equity?*

A strong plan incorporates proven best practices and necessary adjustments to appropriately and adequately address current challenges. The EDI Process Improvement Plan does this by infusing the expert literature with community preferences, captured by community interviews, surveys, and focus groups. This plan is expert-informed *and* community-led and will create a strong foundation for the EDI team to serve communities of color with improved EDI Fund processes, programs, and policies that prioritize racial justice throughout the grantmaking process.

Overall, I recommend that the EDI team seriously consider each recommendation derived from the expert literature by first, prioritizing each recommendation by current feasibility, then, consulting with community members and other key stakeholders to determine the sequence and urgency of recommendation implementation.

Chapter Three, Part II: EDI Fund Community Survey & Focus Group Design

A. Chapter Three: Part II Overview

Part II of Chapter Three builds on the recommendations from the literature review with the design of the EDI Fund Process Improvement Plan. The literature review findings directly informed the design of this process improvement plan and the data collection tools the plan employs. Part II is complete with the sampling frame, purpose, implementation timeline and protocol, ethics, data analysis plan, and limitations for both the survey and focus groups.

B. EDI Fund Process Improvement Plan Introduction & Purpose

The goal of the **EDI Fund Process Improvement Plan** is to learn from community experts and grantmaking experts about ways the EDI team can assist with power building in communities of color in Seattle by investing in their anti-displacement and access to opportunity work. The design of the EDI Fund Process Improvement Plan is specific to the current context of the EDI Fund, EDI staff, and community members and stakeholders connected to the EDI Fund.

The EDI team is committed to community shaping the future of the Fund, so this plan incorporates several opportunities for community input via community leader interviews, a community survey, and eight focus groups with diverse stakeholders in addition to the extensive review of the literature authored by experts in racial justice-oriented grantmaking, capacity building, and social impact investing. The implementation goal for the EDI Process Improvement Plan is to marry communities' priorities with the recommendations derived from the literature review to create specific and actionable next steps for the EDI Fund beginning with the 2020 **Request for Proposal** (RFP) process.

C. EDI Fund Improvement Plan Goal Statement & Guiding Process Improvement Questions

The following questions in *Table 6* are designed to guide the EDI Fund Process Improvement Plan with the goal to create a more racially just EDI Fund program. These questions shaped the literature review methods and the design and implementation of the data collection tools.

Table 6. Goal Statement & Guiding Process Improvement Questions		
EDI Fund Improvement Plan Goal Statement: *The EDI Fund Process Improvement Plan will provide specific and actionable steps for the EDI team to improve EDI Fund resources, programming, and policies to serve and support communities of color with their anti-displacement and access to opportunities work in Seattle.*		
Overarching Process Improvement Question: *How can the EDI team improve its outreach, application, and grant implementation processes to increase racial equity throughout the EDI Fund process?*		
	Question	**Timeframe**
Process Question 1	How can the EDI team improve its support systems for potential applicants throughout the outreach process?	*Timeframe:* Before the RFP application is released.
Process Question 2	How can the EDI team improve its support systems for applicants throughout the RFP process?	*Timeframe:* From the day the RFP is released to the day when the next round of EDI Fund grantees is publicly announced.
Process Question 3	How can the EDI team improve its support systems throughout the grant implementation process for grantees?	*Timeframe:* During the project implementation for EDI Fund grantees.

D. Target Sample Population & Sampling Frame for All Data Collection Methods

The EDI Fund Process Improvement Plan prioritizes community engagement and aims to provide community members and stakeholders several opportunities to provide their input about how the EDI Fund can improve its approach to racial justice-oriented funding. EDI staff

will take a convenience sample of the following populations for both survey and focus group participation:

- **Organizations:** Staff and leadership from community organizations serving people of color in Seattle and the surrounding areas to mitigate racialized displacement and/or increase access to opportunity (both funded and unfunded organizations)
- **Funders:** Staff and leadership from local foundations or local government agencies funding the same communities in Seattle area as the EDI Fund
- **Key Stakeholders:** Local politicians, the Interim EDI Advisory Board, and the Race and Social Justice Taskforce, the EDI Interdepartmental Team

All participants must have a connection to Seattle, which is defined as either currently or formerly living, working, or consistently engaging with a community (e.g. at a place of worship). Eligible participants may formerly have a connection to Seattle, but do not currently work, live, or spend significant time in the city due to previously being displaced.

Table 7 is an overview of the data collection methods, participation population, and implementation timeframe for the process improvement plan. I include more detail about data collection in Chapter 3: Part II and across all Appendices.

Table 7. Overview of Data Collection Methods

Data Collection Method	Data Collected	Participant Population	Implementation Timeframe
Literature Review	Qualitative	N/A	N/A
16 Interviews	Qualitative	Unfunded applicants of the 2019 RFP	Fall of 2018
Survey	Qualitative & Quantitative	Staff/leadership from relevant community organizations (funded and unfunded) Staff/leadership from relevant funding entities Other relevant stakeholders (e.g. City staff, politicians)	Fall of 2019
Eight Focus Groups	Qualitative	Staff/leadership from relevant community organizations (funded and unfunded)	Summer & Fall of 2019

		Staff/leadership from relevant funding entities Other relevant stakeholders (e.g. City staff, politicians)	
More detail pertaining to each data collection method is included in the implementation plan in chapter three. Refer to Appendix A for a detailed implementation timeline.			

E. Community Survey Implementation and Data Analysis

Survey Purpose

Surveying the target population made up of relevant community organizations, funders, and stakeholders will provide the EDI team with quantitative and qualitative measures for community preferences about how to refine and reform EDI Fund outreach, grant application, and grant implementation processes to achieve greater racial equity. The ultimate goal of this survey is to create a clear pathway forward for selecting particular programming or policy alternatives based on community preferences.

Survey findings will guide the 2020 RFP process. Quantitative survey data will be complementary to the qualitative data gathered during focus groups and will provide a ten to fifteen-minute opportunity for input as opposed to participating in a 60 to 90-minute focus group. Lowering this time commitment barrier, in theory, will allow for input from more individuals and will ideally capture a representative sample of the EDI Fund's population. The EDI team aims to get between 100 and 150 survey respondents, or two to three staff members from each of the 50 community organizations the EDI team works closely with, to measure preferences for community-generated ideas identified during interviews with unfunded EDI applicants.

Survey Timeline & Participant Recruitment

The EDI team and EDI Interim Advisory Board members will recruit the target survey sample population during EDI convenings with grantees and applicants, via the EDI Fund listserv, and emails or phone calls to relevant funding entities or stakeholders from June to September of 2019. I recommend that EDI staff explore options for providing incentives or compensation for survey respondents during the summer of 2019. The survey will be open from September 1 to October 1, 2019, and survey data analysis will take place during October

2019. Refer to *Appendix A* for a Gantt chart with a timeline of survey participant recruitment and other implementation responsibilities.

Conducting the Survey

The survey will be administered through the online survey platform, Survey Monkey, and will be disseminated via email to local grantmakers, and stakeholders within City government, in addition to at least 50 community organizations the EDI staff have identified as working on projects relevant to the EDI, regardless of their current funding status. The EDI staff aims to provide incentives or compensation for survey participants. A Microsoft Word version of the survey instrument is in *Appendix B*. EDI staff may considering bringing paper copies of the survey to community outreach events during the month the survey is open, and then manually entering survey data using Survey Monkey. The survey will be open for one month, from September 1 to October 1, 2019, or until after the 2019 EDI Fund grantees are announced publicly to avoid any opportunity for conflict of interest.

Survey Data Collection Ethics

All survey responses will be anonymous so respondents can provide their opinions in an uninhibited manner without fear of jeopardizing potential funding. EDI staff will open the survey after the 2019 RFP awards have been publicly announced to avoid any potential conflict of interest. EDI staff want to ensure that survey respondents are participating solely because they desire to do so, and not because they feel obligated to do so to receive EDI Funds in subsequent funding rounds. The survey tool includes the City's privacy laws and informs all participants that responses are subject to public disclosure.

Survey Data Analysis Plan

I collaborated with City staff to design a survey that will provide the frequency of various programming and policy alternatives in order to identify community preferences. *Appendix C* contains a comprehensive table for survey data analysis with the guiding process improvement questions, survey questions, response types, examples of response types, and a data analysis suggestion for each survey question. In many instances, survey questions measure respondents' preferences for mutually exclusive options (e.g. the EDI Fund should cap the dollar amount per project to fund more projects, or the EDI Fund should be flexible with capital spending to meet grantees' monetary needs). Questions that require participants to indicate their preferences on a mutually exclusive implementation alternative use a semantic differential (SD) scale. The EDI team will calculate the frequency, range, mean and mode of SD

scale responses. Other questions trigger categorical data responses, most of which allow participants to choose all applicable options. Last, some survey questions are open-ended to capture qualitative data if respondents would like to qualify or clarify their responses to multiple choice selections.

EDI staff may further disaggregate data based on responses to the organizational characteristic questions included in the survey to identify any existing trends or discrepancies based on organization's size, annual expenses (a proxy for the annual budget), length of time in the community, etc. I created a skeleton table located in *Appendix D* to aid with quantitative data tabulation once the EDI team collects survey data. I recommend the EDI staff begin the data analysis process with descriptive statistics by populating the skeleton table, and then using the driving process evaluation questions included in *Table 6* to identify next steps for data analysis. Likewise, I suggest populating the Qualitative Data Analysis Tool in *Appendix G* for the survey's open-ended responses as one of the initial survey data analysis steps. EDI staff will also populate the Qualitative Data Analysis Tool with focus group data. The last section of this tool includes a cross-tabulation spreadsheet to identify common themes in the qualitative data among the survey and eight focus groups.

F. Focus Group Implementation and Data Analysis

Focus Group Purpose

The purpose of conducting focus groups is largely similar to the purpose of the survey in that they will provide clarity for EDI staff about how to make the EDI Fund outreach, grant application, and grant implementation processes more racially equitable. Qualitative data from focus groups will complement the survey data and are designed to provide more insight as to *why* communities have certain preferences, whereas the survey will mostly indicate *what* communities' preferences are. The focus group findings will also directly inform the 2020 RFP process, as well as subsequent funding cycles.

Focus Group Timeline & Participant Recruitment

Focus group participant recruitment methods mirror that of the survey recruitment methods. Focus groups will be conducted from June to November 2019, and recruitment will begin no later than one month prior to the focus group date. I recommend the EDI staff explore options for providing incentives or compensation for focus group participants during the summer of 2019. Refer to *Appendix A* for a Gantt chart with a timeline of focus group participant recruitment and other implementation responsibilities. *Table 8* outlines suggested

participants to ensure the EDI team engages with all relevant community groups and stakeholders in a timeframe that is both feasible and takes ethical considerations into account, which are outlined in the "Ethic Pertaining to Focus Groups" section.

Table 8. Proposed Focus Group Participants and Dates		
Focus Group	**Participants**	**Focus Group Timeframe**
Focus Group A	Round one and two grantees	Summer 2019
Focus Group B	EDI Interim Advisory Board, Race and Social Equity Taskforce, and EDI Fund Review Committee	Summer 2019
Focus Group C	Potential collective impact partners, funders in the region	Summer 2019
Focus Group D	New grantees from the 2019 funding cycle	October 2019 (after funding decisions are announced)
Focus Group E	Unincorporated King County Community Organizations	October/November 2019
Focus Group F	Electeds (this might be a focus group or a briefing, but must meet open meeting requirements)	October/November 2019
Focus Group G	Original interview participants	November 2019

The timeline for implementation is informed by consulting with EDI staff about the timelines of various projects and tasks to create a feasible implementation timeline. Focus group qualitative data analysis will occur within the same week the focus group is held in order to accurately capture participant responses.

Conducting Focus Groups

A Focus Group Facilitation Guide is in *Appendix F* and includes best practices for facilitating focus groups,[73] focus group materials, staff roles, notetaking protocol, and a

scripted introduction for the facilitator to state at the beginning of each focus group. The purpose of the Focus Group Facilitation Guide is to achieve consistency across focus groups and to make sure all focus group participants have the same information before beginning to share information with the City. At least three EDI staff are needed at each focus group. One staff member will be the designated facilitator, another staff member will be the designated notetaker, and the third staff member will float between notetaking and facilitating as needed. All participating staff will meet immediately after focus groups to debrief notes, discuss key themes, and critique the process to improve for the following focus group using the Qualitative Data Analysis tool in *Appendix G*.

Focus Group Data Analysis Plan

Each data collection tool has an implementation and data analysis plan that is informed by best practices identified in academic literature for how to design, implement, and analyze surveys and focus groups. The Qualitative Data Analysis Tool located in *Appendix G* can be used to identify and prioritize the major themes that come to light during focus groups. This tool also has a cross-tabulation table that will aid in identifying the challenges, strengths, and unresolved issues identified across all eight focus groups. The Qualitative Data Analysis Tool also incorporates observational data to monitor body language and group dynamics during focus groups. Observational and thematic data will be paired to inform which improvements must be prioritized for the EDI Fund.

Ethics Pertaining to Focus Groups

Focus groups with potential EDI Fund grantees will be held after the 2019 RFP round so potential participants do not feel obligated to join a focus group in order to receive funding and to avoid any conflict of interest. Responses will not be able to be anonymous, however, EDI staff will state that responses must be confidential and confined to EDI staff and other focus group participants before beginning focus group questioning, per the recommended script in the Focus Group Facilitation Guide in *Appendix E*. EDI staff will inform participants that all data are subject to public disclosure according to the City's privacy laws.

G. Data Collection & Analysis Limitations

Time and Resource Constraints

The EDI team must have clear policy and programming alternatives by the end of 2019 in order to prepare and vet the revised 2020 RFP process. This timeline requires a quick

turnaround between data collection, data analysis, and finalizing findings for a staff of six that are also working on several projects related and unrelated to the EDI Fund. I recommend EDI staff identify opportunities for compensation, or at a minimum, incentives for survey and focus group participation, however, the local government often has limited funds or extensive bureaucracy that making these options difficult to provide to participants.

Accessibility

All data collection methods require English literacy proficiency. Furthermore, the survey will be administered online, so respondents must have access to a computer and the internet. The survey asks complex questions that assume respondents have an in-depth understanding of the grantmaking process, so much so that they can critique and provide suggestions for improvement pertaining to subtle nuances with the current EDI Fund process. Not all respondents will have the opportunity to provide input in person through a focus group, and therefore, not all individual perspectives will be comprehensively or equitably represented during the community engagement process.

Power Imbalances

This process improvement plan cannot avoid several distinct power dynamics throughout the data collection process. First, it is crucial to recognize that the government is asking for time, expertise, and input from communities it has purposely and systematically disenfranchised for generations. As such, it is plausible that some individuals may not want to engage with this process, and therefore responses may not include the full range of perspectives in the focus groups and surveys. Furthermore, many community organizations are working tirelessly to fund their programs in order to pursue their missions and serve their communities, and the entity with the power and funds is asking for critical feedback. This request coming from the government may not be met because organizations that are willing to engage may not be willing to be honest about the EDI Fund process and risk jeopardizing a funding source. This power dynamic may be most apparent during face-to-face interactions such as focus groups and interviews.

Colonization of Data[74]

I designed this process improvement plan in a Eurocentric academic setting and it is crucial to acknowledge that there are many ways of "knowing." It is imperative that community stories and perspectives that come out of the focus groups are held with as much value as the quantitative data findings from the survey. Communities will drive the EDI Fund Improvement

Plan, but due to time constraints, I consulted with a limited number of community members and leaders about how the EDI staff would collect data and what data they would collect. Furthermore, City staff will be analyzing the data and likely will not have the ability to closely consult with communities about their preferences around how to interpret and communicate the data.

Chapter Four: Conclusion

Conclusion and Overarching Recommendations for the EDI Program

A. Chapter Four Overview

I conclude this report with overarching recommendations for the Equitable Development Initiative that are related to the Fund and the overall EDI. These recommendations come from my observations having worked with this team for almost a year. In addition to listening carefully and taking notes during formal meetings or informal conversations, I have done extensive research on program capacity and development. I would like to pass along what I have learned with the hope that it will benefit the EDI team and the communities they serve. I end the report with a brief conclusion to give my sincere gratitude for the EDI team for their support and for their trust in me and my work.

B. Overarching Recommendations for the EDI Program

Recommendation One: Implement the EDI Fund Process Improvement Plan with fidelity, and at the same time, question the process if a component of the plan may be incompatible with the current context.

Recommendation Two: As planned, consult with communities after implementing the EDI Fund Process Improvement Plan but before concretely changing EDI Fund policies or programs. Conduct a final round of community engagement by sharing the findings from the improvement plan, and suggested policy and program alternatives with the interview, survey, and focus group participants to confirm their preferences before moving forward with any changes to the 2020 RFP.

Recommendation Three: Meet as a team to discuss the policy and programming recommendations I derived from the literature authored by funding experts by:

1. Identifying feasible recommendations, and which recommendations to put on hold for the time being.
2. Categorizing recommendations short-term (one year), intermediate (two to four) years), and long-term (three to five years) given the trajectory in which the EDI is going.
3. Conducting a stakeholder/power analysis to Identify which stakeholders or community partners the EDI team can partner with to execute selected recommendations. It may also be helpful to meet with individuals or organization that may slow, or even oppose, the EDI's work to understand the complete landscape of who the EDI team will have to consider as the program moves forward.

Recommendation Four: Continue to hold monthly EDI Deep Dive meetings. Use that time to develop a strategic plan, a theory of change, and program objectives that incorporate the recommendations derived from the literature for the EDI and the EDI Fund.

Recommendation Five: Design and implement a process evaluation for both the EDI and EDI Fund programs. I have included a brief overview explaining what a process evaluation is, why it is beneficial, and the steps in a process evaluation in *Appendix H*. Continue to build on the momentum of May's EDI Deep Dive meeting where we discussed how to identify and analyze the EDI and EDI Fund's evolutions by creating measures for success for the EDI and EDI Fund. What should these programs accomplish in a year? In three years? In five years?

Now is the perfect time to design a process evaluation for the EDI Fund to measure the ways in which the EDI Fund Improvement Plan was successful in improving its approach to racial justice-oriented grantmaking. The EDI team can use this process evaluation as a pilot for a more complex process evaluation of the larger EDI program.

Recommendation Six: Identify program objectives through the process of creating a strategic plan and theory of change, and use those objectives to design and implement a program evaluation for both the EDI and EDI Fund programs. I recommend the EDI team design a program evaluation once program objectives are solidified, and then implement the evaluation when both programs are unlikely to change in fundamental ways. Perhaps start with the questions you, the EDI team, posed to me at the beginning of this project to create program objectives:

- *How can the EDI Fund reconcile increasingly powerful pressures that force those who are most vulnerable out of the city while still working within a system that expects public tax dollars to contribute to concrete outcomes for those who have been undervalued by society?*
- *How can the EDI address the tension between equity and efficiency to achieve the EDI Fund's purpose of social impact investing?*
- *How must the EDI evolve to effectively bolster access to opportunities in underinvested communities while keeping residents, small businesses, and cultural enclaves in place in the current Seattle context?*

C. Conclusion

Implementing the Equitable Development Initiative Fund Improvement Plan is the beginning of a long and exciting journey to ensure that the EDI Fund is adequately serving Seattle's communities of color in the ways the program intends. Having worked with the EDI team for nearly a year, I am confident the team will continue to build on existing meaningful partnerships with communities of color, and execute this improvement plan with these

partnerships at the forefront of their minds. Other City departments, funders, and community organizations are looking to the EDI team as a shining example of how to lead with racial justice in local government. The EDI team is comprised of individuals who are unafraid to challenge the status quo for the good of Seattle and *all* of its residents. It has been my sincere pleasure to work with each individual on the team. Thank you, Michael, Ubax, Katie, Bo, Patrice, David, and Owen. You are all inspiring, and I look forward to following in your footsteps as a civil servant devoted to serving.

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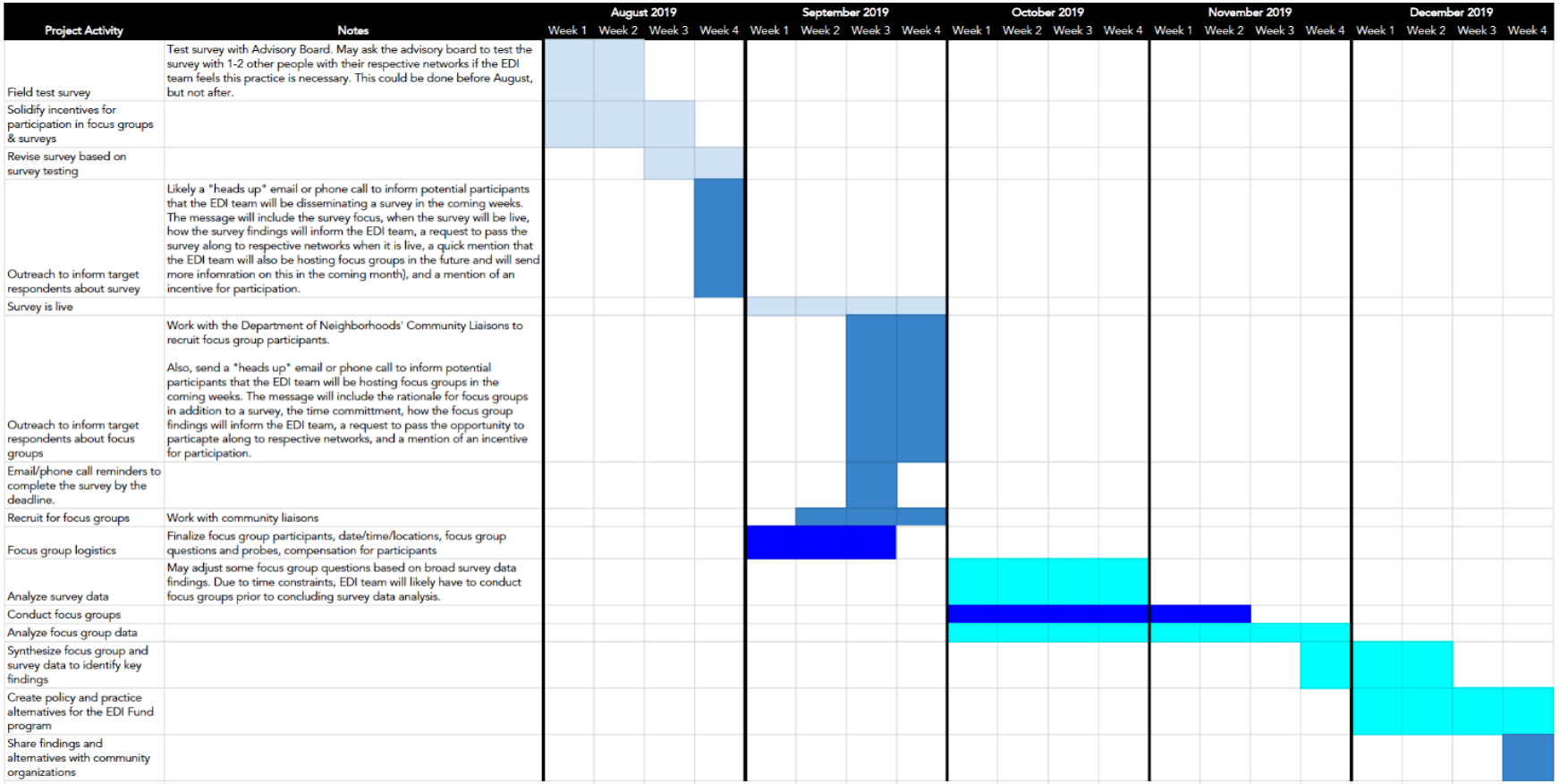
Appendices

Appendix A. EDI Fund Equity Analysis Implementation Timeline

Project Activity	Notes
Field test survey	Test survey with Advisory Board. May ask the advisory board to test the survey with 1-2 other people with their respective networks if the EDI team feels this practice is necessary. This could be done before August, but not after.
Solidify incentives for participation in focus groups & surveys	
Revise survey based on survey testing	
Outreach to inform target respondents about survey	Likely a "heads up" email or phone call to inform potential participants that the EDI team will be disseminating a survey in the coming weeks. The message will include the survey focus, when the survey will be live, how the survey findings will inform the EDI team, a request to pass the survey along to respective networks when it is live, a quick mention that the EDI team will also be hosting focus groups in the future and will send more infomration on this in the coming month), and a mention of an incentive for participation.
Survey is live	
Outreach to inform target respondents about focus groups	Work with the Department of Neighborhoods' Community Liaisons to recruit focus group participants. Also, send a "heads up" email or phone call to inform potential participants that the EDI team will be hosting focus groups in the coming weeks. The message will include the rationale for focus groups in addition to a survey, the time committment, how the focus group findings will inform the EDI team, a request to pass the opportunity to particapte along to respective networks, and a mention of an incentive for participation.
Email/phone call reminders to complete the survey by the deadline.	
Recruit for focus groups	Work with community liaisons
Focus group logistics	Finalize focus group participants, date/time/locations, focus group questions and probes, compensation for participants
Analyze survey data	May adjust some focus group questions based on broad survey data findings. Due to time constraints, EDI team will likely have to conduct focus groups prior to concluding survey data analysis.
Conduct focus groups	
Analyze focus group data	
Synthesize focus group and survey data to identify key findings	
Create policy and practice alternatives for the EDI Fund program	
Share findings and alternatives with community organizations	



**Note: EDI Fund team is working to hold 2-3 focus groups in June for entities that will not be receiving 2019 funding.

Compete Focus Group Sampling Frame and Timeline

June 2019:

1. Round one and two grantees (about 16 individuals) -- *Some organizations are applying for the 2019 funding cycle.*
    - June/July 2019
    - This is content discussion, not process discussion
2. Advisory Board + Race and Social Equity Taskforce (RSET) + EDI Fund Review Committee (a lot of overlap →about 15 people)
    - After making funding decisions
    - 6 individuals from this group are also round one and/or two grantees
    - Process discussion, not content discussion
3. Collective Impact/Funders
    a. Department of Neighborhoods
    b. Only in Seattle
    c. Office of Sustainability and Environment
    d. City's IT Department
    e. Office of Arts and Culture
    f. Office of Housing
    g. Office of Civil Rights
    h. Seattle Foundation's Civic Commons (You Belong Here)
    i. Health Funders (if possible)
    j. Communities of Opportunity (Public Health Seattle & King Co.)
    k. South Core
    l. Onboard Othello
    m. Rainier Beach organizations
    n. White Center organizations

The EDI team would like to speak to this group about their outreach strategies, and overall grantmaking methods. For the City Funders, understand opportunities for collaboration and collective impact. Include the findings from the literature review.

(After grantees are selected) October and early November of 2019:

I. New grantees from 2019 funding cycle
II. Elected officials – pending upcoming Council elections
    - This could be a Council presentation or a conversation with the Council. Has to meet open meeting requirements.
III. Unincorporated King County Community Organizations
    - Skyway Solutions
    - White Center Community Development Association

Appendix B. EDI Fund Community Survey Tool

Survey to Improve Racial Equity for the Equitable Development Initiative Fund

Purpose:

The purpose of this survey is to gather community-generated ideas and perspectives for a more equitable RFP process for all potential EDI Fund applicants. The findings from this survey will directly inform the 2020 EDI RFP process.

All responses are anonymous, and you may decline to answer any question.

Privacy Notice:

Information that you provide below will become part of a record that is subject to public disclosure. The Office of Planning and Community Development (OPCD) will not publish this information, but we are legally bound to provide it upon request. For more information, see the Public Records Act, RCW Chapter 42.56. To learn more about how we manage your information, see our Privacy Statement at http://www.seattle.gov/privacy.

Survey Content:

EDI RFP Process

The following section focuses on specific elements of the EDI RFP process. These questions are derived from suggestions made by community leaders and community-based organization staff for how to improve various stages of the RFP process.

1. **What are the characteristics of trusted, accountable, and representative community organizations in communities of color (check all that apply)?**
    - ❑ Published demographic data on Board members
    - ❑ By-laws/Articles: Specifically set aside Board of Director slots for impacted community
    - ❑ Mission statement is centered around people of color
    - ❑ Organization is led by people of color
    - ❑ Letters of support from community partners also serving communities of color
    - ❑ Other (please elaborate) _____

2. **What assistance would be helpful as your organization applies for EDI funding (check all that apply)?**

❑ EDI hiring grantwriters to support small-staffed organizations

❑ EDI setting aside funds to contract with a technical assistance provider for applicants

❑ EDI staff asking questions of applicants to clarify details included in the RFP

❑ Other (please elaborate) _____

3. **Please indicate on a scale from 1 to 5 how strongly you feel about including or excluding the following RFP elements during the EDI RFP process.**

3a. Should the EDI Fund have a separate RFP for capacity building projects?

1	2	3	4	5
(No change to current RFP) Same application for both capacity building and capital projects		Neutral		Have a separate application for capacity building projects

3aa. **Any additional comments regarding separate RFP processes?** _____

3b. Should the EDI Fund have a multi-stage RFP?

(Examples of stages: 1 page letter of intent in the first round of reviews, informal interviews with a staff member, informal interviews with community partners, site visits, letters of support from community partners, vetting process with the Department of Neighborhoods Community Liaisons).

1	2	3	4	5
(No change to current RFP) RFP has one process for all applicants		Neutral		Have a multi-stage RFP process

3bb. **If you would like multiple stages, which of these would be of value as your organization describes its project (check all that apply)?**

❑ 1-page letter of intent in the first round of reviews

❑ Informal interviews with a staff member

❑ Informal interviews with community partners

- ❑ Site visits with EDI review committee
- ❑ Letters of support from community partners
- ❑ Vetting process with the Department of Neighborhoods' Community Liaisons
- ❑ Other (please elaborate) _____
- ❑ I do not want multiple stages

3bbb. **Any additional comments regarding a multi-stage RFP process?**

_____

3c. Should the EDI Fund have funding caps on capital projects?

1	2	3	4	5
(No change to current RFP) Maintain the $1 million limit for capital projects		Neutral		Flexible with capital funding (no stipulated minimum or maximum dollar amount)

3cc. Any additional comments regarding funding caps on capital projects?

_____

3d. Other element that you would like to include or exclude during the RFP process (please elaborate)? _____

3e. Other element that you would like to include or exclude during the RFP process (please elaborate)? _____

3f. Other element that you would like to include or exclude during the RFP process (please elaborate)? _____

4. In what ways should the RFP process adapt to accommodate a broad range of project types (check all that apply)?

- ❏ Dedicate certain funding minimums to certain project types (e.g. ensure $1 million goes to cultural spaces)
- ❏ Award bonus points to project that applied in previous rounds.
- ❏ Ask the review committee to create priorities each year that would help direct applicants and could intentionally address gaps from previous rounds.

Best Uses for EDI Funds

The goal of the EDI Fund is distribute the greatest amount of funds to communities in the most equitable ways possible. In order to do this, the EDI Fund is considering making the following investments. In the immediate future, these investments would come directly from EDI grant funds, and would reduce the availability of funds for funding applications through the RFP. EDI staff will use the findings from this survey and future focus groups, and will also seek guidance from the EDI Interim Advisory Board to thoroughly understand how communities want to use EDI funds. Your input will directly guide the programming and policy decision-making process around how to best use EDI funds to improve the program.

5. Please indicate on a scale from 1 to 5 how strongly you feel about using, or prohibiting the use of EDI funds for specific programmatic investments.

5a. Should the EDI use EDI grant funds for more extensive outreach prior to the RFP? *(Examples of possible outreach strategies: Invest in advertising using community-based media, hire Community Liaisons from the Department of Neighborhoods).*

1	2	3	4	5
(No change to current RFP) Do not use EDI funds for outreach efforts		Neutral		Use EDI funds for more extensive outreach

5aa. **Any additional comments regarding funding outreach efforts?**

_____

5b. Should the EDI use EDI grant funds to contract technical assistance providers throughout the outreach, RFP application, and implementation processes?

1	2	3	4	5

(No change to current RFP) Do not hire TA providers	Hire TA providers for 1 out of 3 processes	Neutral	Hire TA providers for 2 out of 3 processes	Use EDI funds to hire TA providers for all 3 processes: outreach, RFP application, and implementation

5bb. **If you would like to use EDI funds to hire technical assistance providers, which phase(s) of the grant process would you like technical assistance (check all that apply)?** _____

- ❑ Outreach
- ❑ RFP application
- ❑ Implementation (if you are/become an EDI grantee)

5bbb**. Do you know of trusted technical assistance organizations that could provide support as organizations prepare for the RFP process?**

_____

5bbbb. **Any additional comments regarding using EDI funds to hire technical assistance providers?** _____

5c. Should the EDI use EDI grant funds to contract third-party progress monitors for grantee capacity-building support?

1	2	3	4	5
(No change to current RFP) Do not use EDI funds to hire progress monitors		Neutral		Use EDI funds to hire progress monitors

5cc. **Any additional comments regarding using EDI funds to hire third-party progress monitors?** _____

5d. Should the EDI use EDI grant funds to create (and if created, later replenish) an emergency fund? *(Emergency fund would be used to support organizations that are in immediate risk of displacement).*

1	2	3	4	5
(No change to current RFP) Do not use EDI funds for an emergency fund		Neutral		Use EDI funds to create/replenish an emergency fund

5dd. **Any additional comments regarding using EDI funds to create/replenish an emergency fund?** _____

Individual and Organizational Demographics

The Seattle Office of Planning and Community Development (OPCD) has a Commitment to Racial Equity, and we would like to know how we are reaching historically underrepresented neighborhoods, organizations, and communities in Seattle. Answers are being collected for internal assessment and evaluation to make the EDI Fund process more racially equitable in subsequent funding rounds. If you prefer not to state, please leave the question blank.

Reminder of Privacy Notice:

Information that you provide below will become part of a record that is subject to public disclosure. The Office of Planning and Community Development (OPCD) will not publish this information, but we are legally bound to provide it upon request. For more information, see the Public Records Act, RCW Chapter 42.56. To learn more about how we manage your information, see our Privacy Statement at http://www.seattle.gov/privacy.

Individual information

6. What is your organization's affiliation with the EDI Fund (check all that apply)?

- ❏ EDI Fund Grantee (funded)
- ❏ Previous EDI Fund applicant, but not funded
- ❏ Have not applied for an EDI grant
- ❏ City employee
- ❏ Other (please elaborate) _____

7. What is your role within your organization (check all that apply)?

- ❏ Executive Director of community-based organization
- ❏ Board member of community-based organization
- ❏ Leadership and/or manager position at a community-based organization
- ❏ Community-based organization staff (non-manager position)
- ❏ City employee
  - ❏ Name of City Department _____
- ❏ Other (please elaborate) _____

8. What sectors do you represent (check all that apply)?

- ❑ Real estate
- ❑ Affordable housing
- ❑ Food justice
- ❑ Arts & culture
- ❑ Economic development
- ❑ Services for senior citizens
- ❑ Other (please elaborate) _____

Organizational Mission, Vision, and Goals

9. My organization addresses the needs of the following particular people of color (POC) or non-POC groups (check all that apply).

- ❑ Asian/Asian American/Asian diasporic
- ❑ Black/African American/African diasporic
- ❑ Latinx/Hispanic/Latinx diasporic
- ❑ Middle Eastern/North African diasporic
- ❑ More than one racial identification
- ❑ Native/Alaskan Native/Indigenous
- ❑ Native Hawaiian/Samoan/other Pacific Islander
- ❑ White or European
- ❑ Decline to state
- ❑ Different Identity (please elaborate) _____

10. My organization includes an emphasis on women, non-binary and gender non-conforming persons, disabled, or seniors/elders. Specifically, my organization focuses on the following (check all that apply):

- ❑ Women and non-binary and/or gender non-conforming persons
- ❑ Queer communities
- ❑ Transgender communities
- ❑ People with disabilities
- ❑ Seniors/Elders
- ❑ We do not focus on any of the above populations in our mission statement
- ❑ Unsure
- ❑ Decline to state

Leadership in paid and unpaid positions

11. To the best of our knowledge, our organization is comprised of the following percentage of people of color (POC) in paid and unpaid positions of staff and board leadership (check only one box):

_ 0%
_ 1% to 25%
_ 26% to 50%

_ 51% to 75%
_ 76% to 100%
_ Decline to state

Reporting

These are areas of reporting for OPCD to know the size and capacity of the organizations we're funding.

12. What year was your organization founded? _____

13. What are your total annual organizational expenses for your most recently completed fiscal year (do not include capital expenditures); (check only one option)? _____

_ $50,000 and under
_ $50,001 to $100,000
_ $100,001 to $250,000
_ $250,001 to $500,000
_ $500,001 to $1,000,000
_ $1,000,001 to $2,000,000
_ $2,000,001 to $3,000,000
_ $3,000,001 to $10,000,000
_ $10,000,0001 to $15,000,000
_ $15,000,001 and above
If needed, please elaborate more about your expenditures_____

Conclusion

Thanks again for your time and input! Your responses will shape the trajectory of the EDI Fund to ensure that the application, review, and implementation processes are as equitable to make progress toward our shared vision for racial and social justice in Seattle.

Appendix C. Proposed Data Analysis Plan

Process Improvement Question & Timeframe	Survey Question	Category	Implementation Option	Survey Question (all responses are optional)	Response Type	Example of Response Type	Data Analysis Suggestion
How can the EDI team improve their support systems throughout the outreach process? *Timeframe: Processes to promote a receptive and informed environment that happens before the RFP is released.*	5a	Technical Assistance	Fund outreach efforts using EDI funds	Should the EDI use EDI grant funds for more extensive outreach prior to the RFP?	Semantic differential (SD) scale	(No change to current RFP) Do not use EDI funds for outreach efforts = 1 on SD scale Neutral = 3 on SD Scale Use EDI funds for more extensive outreach = 5 on SD scale	Calculate range and mean for the SD scale Calculate frequency (n, %) for the SD scale distribution Could disaggregate by individual or organizational demographics
	5aa	Technical Assistance	Fund outreach efforts using EDI funds	Any additional comments regarding funding outreach efforts?	Qualitative write in	Qualitative responses to provide nuance/explanation for response	Qualitative: frequency of alternative responses (use Qualitative Data Analysis Tool for Open-Ended Survey Responses)
	5b (also applies to RFP and grant implementation processes)	Technical Assistance	EDI contracts out technical assistance	Should the EDI use EDI grant funds to contract technical assistance providers throughout the outreach, RFP application, and implementation processes?	Semantic differential (SD) scale	(No change to current RFP) Do not hire TA providers = 1 on SD scale Hire TA providers for 1 out of 3 processes = 2 on SD scale Neutral = 3 on SD Scale Hire TA providers for 2 out of 3 processes = 4 on SD scale Use EDI funds to hire TA providers for all 3 processes: outreach, RFP application, and implementation = 5 on SD scale	Calculate range and mean for the SD scale Calculate frequency (n, %) for the SD scale distribution Could disaggregate by individual or organizational demographics
How can the EDI team improve their support systems throughout the RFP process? *Timeframe: Support during the RFP process, including support for organizations who do not receive funding (e.g. feedback on RFP).*	1	EDI Values	Require accountability measures as a part of the RFP process	What are the characteristics of trusted, accountable, and representative community organizations in communities of color (check all that apply)?	Categorical (check all that apply) Qualitative write-in option	Select as many categories as applies Write in an alternative option	Categorical: frequency (n, %) Qualitative: frequency of alternative responses (use Qualitative Data Analysis Tool for Open-Ended Survey Responses)
	2	Technical assistance	EDI identifies technical assistance opportunities based on community preferences and needs	What assistance would be helpful as your organization applies for EDI funding (check all that apply)?	Categorical (check all that apply) Qualitative write-in option	Select as many categories as applies Write in an alternative option	Categorical: frequency (n, %) Qualitative: frequency of alternative responses (use Qualitative Data Analysis Tool for Open-Ended Survey Responses)
	3a	RFP Design	Clarify Capacity vs. Capital applications	Should the EDI Fund have a separate RFP for capacity building projects?	Semantic differential (SD) scale	No change (same application for both project types) = 1 on SD scale Neutral = 3 on SD Scale Separate application for capacity building projects = 5 on SD scale	Calculate range and mean for the SD scale Calculate frequency (n, %) for the SD scale distribution Could disaggregate by individual or organizational demographics
	3aa	RFP Design	Clarify Capacity vs. Capital applications	Any additional comments regarding separate RFP processes?	Qualitative write in	Qualitative responses to provide nuance/explanation for response	Qualitative: frequency of alternative responses (use Qualitative Data Analysis Tool for Open-Ended Survey Responses)
	3b	RFP Design	Have a multi-stage RFP process	Should the EDI Fund have a multi-stage RFP?	Semantic differential (SD) scale	No change to RFP design (A multi-stage RFP process would not be useful to my organization) = 1 on SD scale Neutral = 3 on SD Scale A multi-stage application process would be extremely useful to my organization = 5 on SD scale Qualitative responses to provide nuance/explanation for response	Calculate range and mean for the SD scale Calculate frequency (n, %) for the SD scale distribution Could disaggregate by individual or organizational demographics
	3bb	RFP Design	Have a multi-stage RFP process	If you would like multiple stages, which of these would be of value as your organization describes its project (check all that apply)?	Categorical (check all that apply) Qualitative write-in option	If yes to Q 3b, then respondent answers this question Select as many categories as applies Write in an alternative option	Categorical: frequency (n, %) Qualitative: frequency of alternative responses (use Qualitative Data Analysis Tool for Open-Ended Survey Responses)
	3bbb	RFP Design	Have a multi-stage RFP process	Any additional comments regarding separate RFP processes?	Qualitative write in	Qualitative responses to provide nuance/explanation for response	Qualitative: frequency of alternative responses (use Qualitative Data Analysis Tool for Open-Ended Survey Responses)
	3c	RFP Design	Increase capital project funding flexibility	Should the EDI Fund have funding caps on capital projects?	Semantic differential (SD) scale	No change to current RFP (Maintain the $1 million limit for capital projects) = 1 on SD scale Neutral = 3 on SD Scale Flexible with capital funding (no stipulated minimum or maximum dollar amount) = 5 on SD scale	Calculate range and mean for the SD scale Calculate frequency (n, %) for the SD scale distribution Could disaggregate by individual or organizational demographics
	3cc	RFP Design	Increase capital project funding flexibility	Any additional comments regarding funding caps on capital projects?	Qualitative write in	Qualitative responses to provide nuance/explanation for response	Qualitative: frequency of alternative responses (use Qualitative Data Analysis Tool for Open-Ended Survey Responses)
	3d	General comments about RFP	n/a	Other element that you would like to include or exclude during the RFP process (please elaborate)?	Qualitative write in	Qualitative responses to provide nuance/explanation for response	Qualitative: frequency of alternative responses (use Qualitative Data Analysis Tool for Open-Ended Survey Responses)
	3e	General comments about RFP	n/a	Other element that you would like to include or exclude during the RFP process (please elaborate)?	Qualitative write in	Qualitative responses to provide nuance/explanation for response	Qualitative: frequency of alternative responses (use Qualitative Data Analysis Tool for Open-Ended Survey Responses)
	3f	General comments about RFP	n/a	Other element that you would like to include or exclude during the RFP process (please elaborate)?	Qualitative write in	Qualitative responses to provide nuance/explanation for response	Qualitative: frequency of alternative responses (use Qualitative Data Analysis Tool for Open-Ended Survey Responses)
	4	Review Panel	Accommodate a broad range of project types	In what ways should the RFP process adapt to accommodate a broad range of project types (check all that apply)?	Categorical (check all that apply)	Select as many categories as applies	Categorical: frequency (n, %) Could disaggregate by individual or organizational demographics
	5b (also applies to outreach and grant implementation processes)	Technical Assistance	EDI contracts out technical assistance	Should the EDI use EDI grant funds to contract technical assistance providers throughout the outreach, RFP application, and implementation processes?	Semantic differential (SD) scale	(No change to current RFP) Do not hire TA providers = 1 on SD scale Hire TA providers for 1 out of 3 processes = 2 on SD scale Neutral = 3 on SD Scale Hire TA providers for 2 out of 3 processes = 4 on SD scale Use EDI funds to hire TA providers for all 3 processes: outreach, RFP application, and implementation = 5 on SD scale	Calculate range and mean for the SD scale Calculate frequency (n, %) for the SD scale distribution Could disaggregate by individual or organizational demographics
	5bb	Technical Assistance	EDI contracts out technical assistance	If you would like to use EDI funds to hire technical assistance providers, which phase(s) of the grant process would you like technical assistance (check all that apply)?	Categorical (check all that apply)	Select as many categories as applies	Categorical: frequency (n, %) Could disaggregate by individual or organizational demographics
	5bbb	Technical Assistance	EDI contracts out technical assistance	Do you know of trusted technical assistance organizations that could provide support as organizations prepare for the RFP process?	Qualitative write in	Qualitative responses to provide nuance/explanation for response	Qualitative: frequency of alternative responses (use Qualitative Data Analysis Tool for Open-Ended Survey Responses)
	5bbbb	Technical Assistance	EDI contracts out technical assistance	Any additional comments regarding using EDI funds to hire technical assistance providers?	Qualitative write in	Qualitative responses to provide nuance/explanation for response	Qualitative: frequency of alternative responses (use Qualitative Data Analysis Tool for Open-Ended Survey Responses)
	5d	RFP Design	Create an emergency fund	Should the EDI use EDI grant funds to create (and if created, later replenish) an emergency fund?	Semantic differential (SD) scale	(No change to current RFP) Do not use EDI funds for an emergency fund = 1 on SD scale Neutral = 3 on SD Scale Use EDI funds to create/replenish an emergency fund = 5 on SD scale	Calculate range and mean for the SD scale Calculate frequency (n, %) for the SD scale distribution Could disaggregate by individual or organizational demographics
	5dd	RFP Design	Create an emergency fund	Any additional comments regarding using EDI funds to create/replenish an emergency fund?	Qualitative write in	Qualitative responses to provide nuance/explanation for response	Qualitative: frequency of alternative responses (use Qualitative Data Analysis Tool for Open-Ended Survey Responses)
How can the EDI team improve their support systems throughout the grant implementation process to cater to the needs of each grantee? *Timeframe: Support after the RFP process for grantees*	5b (also applies to outreach and RFP processes)	Technical Assistance	EDI contracts out technical assistance	Should the EDI use EDI grant funds to contract technical assistance providers throughout the outreach, RFP application, and implementation processes?	Semantic differential (SD) scale	(No change to current RFP) Do not hire TA providers = 1 on SD scale Hire TA providers for 1 out of 3 processes = 2 on SD scale Neutral = 3 on SD Scale Hire TA providers for 2 out of 3 processes = 4 on SD scale Use EDI funds to hire TA providers for all 3 processes: outreach, RFP application, and implementation = 5 on SD scale	Calculate range and mean for the SD scale Calculate frequency (n, %) for the SD scale distribution Could disaggregate by individual or organizational demographics
	5c	Technical Assistance	EDI contracts out technical assistance	Should the EDI use EDI grant funds to contract third-party progress monitors for grantee capacity-building support?	Semantic differential (SD) scale	(No change to current RFP) Do not use EDI funds to hire progress monitors = 1 on SD scale Neutral = 3 on SD Scale Use EDI funds to hire progress monitors = 5 on SD scale	Calculate range and mean for the SD scale Calculate frequency (n, %) and mode for the SD scale distribution Could disaggregate by individual or organizational demographics
	5cc	Technical Assistance	EDI contracts out technical assistance	Any additional comments regarding using EDI funds to hire third-party progress monitors?	Qualitative write in	Qualitative responses to provide nuance/explanation for response	Qualitative: frequency of alternative responses (use Qualitative Data Analysis Tool for Open-Ended Survey Responses)
Individual and Organizational Demographics							
Individual Information	6	n/a	n/a	What is your organization's affiliation with the EDI Fund (check all that apply)?	Categorical (check all that apply)	Select as many categories as applies	Categorical: frequency (n, %)
	7	n/a	n/a	What is your role within your organization (check all that apply)?	Categorical (check all that apply)	Select as many categories as applies	Categorical: frequency (n, %)
	8	n/a	n/a	What sectors do you represent (check all that apply)?	Categorical (check all that apply)	Select as many categories as applies	Categorical: frequency (n, %)
Organizational Mission, Vision, and Goals	9	n/a	n/a	My organization addresses the needs of the following particular people of color (POC) or non-POC groups (check all that apply).	Categorical (check all that apply)	Select as many categories as applies	Categorical: frequency (n, %)
	10	n/a	n/a	My organization includes an emphasis on women, non-binary and gender non-conforming persons, disabled, or seniors/elders. Specifically, my organization focuses on the following (check all that apply):	Categorical (check all that apply)	Select as many categories as applies	Categorical: frequency (n, %)
Leadership in paid and unpaid positions	11	n/a	n/a	To the best of our knowledge, our organization is comprised of the following percentage of people of color (POC) in paid and unpaid positions of staff and board leadership (check only one box):	Categorical (choose only one option)	Select one option	Categorical: frequency (n, %)
Reporting	12	n/a	n/a	What year was your organization founded?	Qualitative write in	Qualitative responses to provide nuance/explanation for response	Qualitative responses, but may choose to categorize reponses into organizational age groups
	13	n/a	n/a	What are your total annual organizational expenses for your most recently completed fiscal year (do not include capital expenditures)?	Categorical (choose only one option)	Select one option	Categorical: frequency (n, %)

Appendix D. Skeleton Table

Table 1. Sample Characteristics		
	n	%
Organization's Affiliation with EDI Fund		
EDI Fund Grantee		
Previous EDI Fund applicant, but not funded		
Have not applied for an EDI grant		
City employee		
Other		
Individual's role within their organization		
Executive Director of community-based organization		
Board member of community-based organization		
Leadership and/or manager position at a community-based organization		
Community-based organization staff (non-manager position)		
City employee		
Other		
Sectors represented		
Real estate		
Affordable housing		
Food justice		
Arts & culture		
Economic development		
Services for senior citizens		
Other		
Racial demographics the organization serves		
Asian/Asian American/Asian diasporic		
Black/African American/African diasporic		
Latinx/Hispanic/Latinx diasporic		
Middle Eastern/North African diasporic		
More than one racial identification		

Native/Alaskan Native/Indigenous			
Native Hawaiian/Samoan/other Pacific Islander			
White or European			
Decline to state			
Different Identity			
Other demographics the organization serves			
Women and non-binary and/or gender non-conforming persons			
Queer communities			
Transgender communities			
People with disabilities			
Seniors/Elders			
We do not focus on any of the above populations in our mission statement			
Unsure			
Decline to state			
Percent POC in paid and unpaid positions of leadership			
0%			
1% to 25%			
26% to 50%			
51% to 75%			
76% to 100%			
Decline to state			
Annual organizational expenses for most recent fiscal year			
$50,000 and under			
$50,001 to $100,000			
$100,001 to $250,000			
$250,001 to $500,000			
$500,001 to $1,000,000			
$1,000,001 to $2,000,000			
$2,000,001 to $3,000,000			
$3,000,001 to $10,000,000			
$10,000,0001 to $15,000,000			
$15,000,001 and above			

Appendix E. Focus Group Facilitation Guide

Contents:

1. Focus group best practices
2. Focus group materials
3. Staff roles (including guide to notetaking)
4. Facilitator introduction to begin focus groups

Focus Group Best Practices:

1. Focus groups should be between six and twelve participants to allow for diversity in perspectives while still being manageable and affording all participants speaking opportunities.
2. Each focus group needs a primary facilitator to lead the discussion, and a second facilitator to address any issues, outstanding questions during the discussion, or take additional notes for the session's scribe.
3. The focus group should be diverse (e.g. from small and large organizations, from new and old organizations, from City funders and external funders, etc.).
4. The facilitator(s) must work to hear from everyone in the group. An off-script question, or directly asking an individual for their input may help.
5. Give participants time to respond. Silence is okay.
6. Be considerate of participants' time by setting a time limit for the focus group.
7. Questions should be easy to say, clear, and short. Keep questions open-ended.
8. Each focus group has its own set of objectives. All staff should keep these objectives in mind throughout the focus group.
9. Watch and take note of non-verbal communication and/or body language (space provided in notetaking sheet).
10. The suggested duration for a focus group is 60-90 minutes.

Materials Prep:

- ❏ Print focus group objectives and questions corresponding to the correct focus group
- ❏ Print notetaking sheet
- ❏ Print City sign-in sheet (if bringing one)
- ❏ Flip chart for focus group participants to see notes (if staff decides to take notes in this manner)
- ❏ Compensation for focus group participants' time

- ❏ Flip chart paper with focus group norms
- ❏ Flip chart paper with focus group objectives
- ❏ Food/beverages
- ❏ Nametags
- ❏ Pens
- ❏ Notebook or laptop for notetaking

Staff Roles:

- ❏ One focus group lead facilitator
- ❏ One assistant facilitator, also doubling as a note taker (can opt to take notes on flip chart)
- ❏ One notetaker

Note on Notetaking:

Notetakers track the probes and prompts that the facilitator uses. For the first focus group with a specific set of participants (e.g. participants in organizations vs. participants from funding entities), you may choose to have one staff member focused solely on probes in order to add these probes in future focus groups. Immediately following the focus group, all staff will complete the data analysis tool together to make sure information is captured while it is still fresh in the staff's minds. Capture direct quotes when possible.

Note on Facilitating:

The goal of every focus group is to create an inclusive environment by inviting every participant to share their perspectives. The facilitator(s) must stay as objective as possible in their line of questioning to get honest feedback and data for how the EDI program can improve. If more clarification is needed, try using the following prompts:

- What you share an example of ____?
- Would you say more?
- Is there anything else you would like to share?
- I don't know if I understood exactly what you mean. Could you tell me more?
- Are there any other points of view?
- Has anyone had a different experience?
- Tell me more about _____?
- How do you see _____?
- Why do you like/not like that?
- How does this effect ____?
- Why is that?

Introduction by Facilitators:

[Facilitators and notetakers introduce themselves.]

"Thank you for taking the time to join us today. We are staff at Seattle's Office of Planning and Community Development. We primarily work on the Equitable Development Initiative and are interested in learning from you all about how to improve this program. The findings from this focus group will directly inform the 2020 EDI RFP process. All responses will be kept confidential, your level of participation is completely voluntary, and your opinions of the process will not impact future project funding decisions in any way.

More specifically, we are interested in learning:

- ***Overarching Improvement Plan Question: How might the EDI Fund improve its resources designated to bolster the anti-displacement and access to opportunities work of communities of color in Seattle?***
    - *Sub-Process Question 1: How can the EDI team **improve our support systems** throughout the **outreach** process before the RFP is released?*
    - *Sub-Process Question 2: How can the EDI team **improve our support systems** throughout the **RFP process**? (RFP Process Timeframe = From the day the RFP is released to the day when the next round of EDI grantees is publicly announced)*
    - *Sub-Process Question 3: How can the EDI team **improve our support systems** throughout the **grant implementation** process for grantees?*

We have questions prepared that get to each stage of the grantmaking process, as well as specific questions within each stage that will help guide the future policy and programming decisions.

The objectives for this focus group are: [refer to "Focus Group Objectives" document]
(EDI Staff may choose to write these objectives on flip chart paper)

To make sure this is a productive and inclusive environment, we've created the following focus group norms we'd like your input on prior to starting: (EDI Staff may choose to write these norms on flip chart paper)

- *Speak from your own experiences, we'd like to hear your specific story.*
- *Step up, step back -- we have a shared responsibility for equitable participation*
- *Respect confidentiality*

- *Listen generously -- with the intent to understand, rather than to argue*
- *EDI Staff will be sure to respect your time by ending promptly*
- *Others?*

Any questions?

We're excited to learn from you!"

[Transition to the focus group questions document to begin asking specified focus group questions.]

Appendix F. Focus Group Objectives and Question Guide

Acronym Key: Questions (Q)

Staff Focus Group Prioritization Key

EDI staff ranked the level of importance for getting community input for 49 unique implementation options (IO). The ranking was on a scale from one to three, one being the highest priority for data collection, and three being the lowest priority. Only the highest average ranking implementation options with an average staff prioritization score between 1 and 2.3 were selected for this round of data collection. See the "Color Key" table for a detailed explanation of this focus group question prioritization method.

Question Color Key

Question Color	Significance	Calculation
Green	All staff rated highest priority	Average prioritization score = 1
Yellow	2 staff rated the highest priority, 1 staff rated medium priority	Average prioritization score = 1.3
Black	More than one staff rated medium priority	Average prioritization score from 1.6 to 2.3
***low priority options with an average priority score between 2.6 to 3 were not considered for this round of data collection*		

Focus Group A: Round one and two grantees

Focus Group Date: TBD

Focus Group A Objectives
1. Understand the perceptions of the current RFP process for community organizations that were awarded EDI grant funds, and identify areas for improvement for the RFP process for future funding cycles.

2. Understand the perceptions of support from the EDI team during the project implementation process for grantees, and identify areas for improvement going forward.
3. Get input and insight to guide future programming alternatives for the EDI Fund.

Focus Group A Questions

Question 1. What's your name, the organization you're affiliated with, and the project you are supporting with the EDI Fund?

Question 2. How can the EDI team improve their support systems throughout the **outreach** process, meaning **before** the RFP is released?

Further Questions & Probing Prompts for Question 2

How does the EDI change if it incorporates a restorative justice focus by supporting those who have already been displaced from Seattle?

- **Probe:** Is there a way to balance supporting projects created by those who have been displaced with supporting those who are working to preserve existing communities, considering the limited resources the EDI Fund has?
- **Probe:** What would this support look like? Would it be consistent throughout each funding cycle?

What are the considerations to keep in mind when funding capacity building projects?

- Probe: Is there a "sweet spot" for the number of capacity building projects the EDI should fund?
- Probe: Evaluating whether or not an organization is "ready" to take on capacity building measures is often specific to the organization. How have your grantmaking programs found success in determining whether or not you can support an organization build capacity?

Listen for the following comments pertaining to question 2

- Whether or not the EDI should spend funds on outreach efforts, and how to spend those funds (e.g. what types of outreach support, how much of the funds should be devoted to outreach)
- Who is not participating in the EDI Fund, but should be (e.g. more focus on organizations doing restorative justice work, or more multicultural organizations, etc)
- How much to support capacity building projects (e.g. readiness of an organization to receive a capacity building grant -- how much the EDI should invest in organizations that are not quite "ready")

Question 3. How can the EDI team improve their support systems throughout the **RFP process**? *(RFP Process Timeframe = From the day the RFP is released to the day when the next round of EDI grantees is publicly announced)*

Further Questions & Probing Prompts for Question 3

Q: How involved should EDI staff (City staff) be in the RFP selection process? (Will need to explain the current role EDI staff have in the RFP selection process prior to asking this question)

- **Probe:** If EDI staff should be involved, in what specific ways should they or shouldn't they be involved?

Should the EDI seriously consider eliminating the funding cap on capital projects?

- **Probe for focus groups with organizations:** There are very clear tradeoffs in terms of the number of projects the EDI is able to fund, what are the benefits and drawbacks for flexible spending for your projects?
- **Probe for focus groups with other grantmakers:** There are very clear tradeoffs in terms of the number of projects the EDI is able to fund, aside from this, what are the benefits and drawbacks for flexible spending in your experience as a grantmaker?
- **Probe for focus groups with organizations:** How would eliminating the funding cap affect your work?

Q: Should the City require organizations to demonstrate how they are serving their communities at large?

- **Probe (ask ONLY if members of the focus group respond "yes" to the overarching question):** What would this requirement look like?

- **Probe (ask ONLY if members of the focus group respond "yes" to the overarching question):** What are the key considerations the City must keep in mind if this becomes a requirement?
- **Probe (ask ONLY if members of the focus group respond "yes" to the overarching question):** How would the EDI Fund review committee prioritize these organizations in an equitable way that does not disenfranchise organizations with a niche focus and/or community?

Q: What is the role of EDI with respect to ensuring organizations are accountable to their own communities?

- **Probe:** Should the EDI require organizations to demonstrate the depth of their relationships with their respective communities? (The idea is that no organization should operate as an island).
- **Probe:** What would this requirement look like?
- **Probe:** How would this requirement account for up-and-coming organizations that have not yet established themselves in the community, but have great potential to do so?

Q: Would organization to organization mentorships or coworking opportunities be beneficial to your organization?

- **Probe:** Why or why not?
- **Probe:** When would these mentorships be most beneficial to your organization (during the RFP process, after receiving/not receiving funding, etc.)?
- **Probe:** Have you seen/participated in successful mentorship models in a grantmaking context? What made these models successful?
- **Probe:** If mentorships would be beneficial, how can the EDI best support these mentorships so they are beneficial for both mentors and mentees?
- **Probe:** If mentorships would be beneficial, what should EDI team/review committee keep in mind during the review process?

Listen for the following pertaining to question 3

- Ideas and opportunities to improve support for organizations throughout the RFP process
- Ways in which the EDI can be more flexible with capital that still gets funds out to communities in the most equitable ways possible
- Methods to create authentic mentorship or collaboration opportunities among organizations

- Methods to authentically measure "depth of relationship" between community organizations and their respective communities
- Methods to ethically and equitably measure community organizations' accountability to their respective communities

Question 4. How can the EDI team improve their support systems throughout the **grant implementation process for grantees**?

Q: What is the role of EDI with respect to ensuring grantees are accountable to their own communities?

Q: Should the EDI consider developing organization to organization mentorships or coworking opportunities for EDI grantees?

- **Probe:** Why or why not?
- **Probe:** Have you seen/participated in successful mentorship models in a grantmaking context? What made these models successful?
- **Probe:** If mentorships would be beneficial, how can the EDI best support these mentorships so they are beneficial for both mentors and mentees?

Q: Would joint capacity building trainings be beneficial to your organization?

- **Probe:** Why or why not?
- **Probe:** Have you seen/participated in successful joint capacity building trainings in a grantmaking context? What made these models successful or not?
- **Probe:** If joint capacity building trainings would be beneficial, how can the EDI best support so these trainings so are beneficial?

Listen for the following pertaining to question 4

- Ideas and opportunities to improve support for organizations throughout the grant implementation process
- Methods to create authentic mentorship or collaboration opportunities among organizations
- Methods to ethically and equitably measure community organizations' accountability to their respective communities

Focus Group B:

Interim Advisory Board + Race and Social Equity Team (RSET) + EDI Fund Review Committee
Focus Group Date: Spring 2019 retreat

Focus Group B Objectives
1. Understand the perceptions of how the EDI upholds its core values, and identify areas for improvement to hold the EDI accountable to its values. 2. Understand the perceptions of the current EDI Fund review process, and identify areas for a more equitable review process. 3. Get input and insight into the EDI Fund's progress toward high-impact investment work, and identify areas for programmatic improvements to the EDI that leverage high impact work among grantees. 4. Understand the perceptions of the current RFP process for community organizations that were awarded EDI grant funds, and identify areas for improvement for the RFP process for future funding cycles. 5. Understand the perceptions of support from the EDI team during the project implementation process for grantees, and identify areas for improvement going forward. 6. Get input and insight to guide future programming alternatives for the EDI Fund.

Focus Group B Questions

Question 1. What's your name and the organization you're affiliated with?

Question 2. How can the EDI team improve their support systems throughout the **outreach** process, meaning **before** the RFP is released?
Further Questions & Probing Prompts for Question 2 **How does the EDI change if it incorporates a restorative justice focus by supporting those who have already been displaced from Seattle?** • **Probe:** Is there a way to balance supporting projects created by those who have been displaced with supporting those who are working to preserve existing communities, considering the limited resources the EDI Fund has?

- **Probe:** What would this support look like? Would it be consistent throughout each funding cycle?

Listen for the following comments pertaining to question 2

- Whether or not the EDI should spend funds on outreach efforts, and how to spend those funds (e.g. what types of outreach support, how much of the funds should be devoted to outreach)
- Who is not participating in the EDI Fund, but should be (e.g. more focus on organizations doing restorative justice work, or more multicultural organizations, etc)

Question 3. How can the EDI team improve their support systems throughout the **RFP process**? *(RFP Process Timeframe = From the day the RFP is released to the day when the next round of EDI grantees is publicly announced)*

Further Questions & Probing Prompts for Question 3

Should the EDI seriously consider eliminating the funding cap on capital projects?

- **Probe for focus groups with organizations:** There are very clear tradeoffs in terms of the number of projects the EDI is able to fund, what are the benefits and drawbacks for flexible spending for your projects?
- **Probe for focus groups with other grantmakers:** There are very clear tradeoffs in terms of the number of projects the EDI is able to fund, aside from this, what are the benefits and drawbacks for flexible spending in your experience as a grantmaker?
- **Probe for focus groups with organizations:** How would eliminating the funding cap affect your work?

Q: Should the City require organizations to demonstrate how they are serving their communities at large?

- **Probe (ask ONLY if members of the focus group respond "yes" to the overarching question):** What would this requirement look like?

- **Probe (ask ONLY if members of the focus group respond "yes" to the overarching question):** What are the key considerations the City must keep in mind if this becomes a requirement?
- **Probe (ask ONLY if members of the focus group respond "yes" to the overarching question):** How would the EDI Fund review committee prioritize these organizations in an equitable way that does not disenfranchise organizations with a niche focus and/or community?

Q: What is the role of EDI with respect to ensuring organizations are accountable to their own communities? *(Also asked in question 4)*

- **Probe:** Should the EDI require organizations to demonstrate the depth of their relationships with their respective communities? (The idea is that no organization should operate as an island).
- **Probe:** What would this requirement look like?
- **Probe:** How would this requirement account for up-and-coming organizations that have not yet established themselves in the community, but have great potential to do so?

Q: Should the EDI consider developing organization to organization mentorships or coworking opportunities for EDI applicants?

- **Probe:** Why or why not?
- **Probe:** When would these mentorships be most beneficial (during the RFP process, after receiving/not receiving funding, etc.)?
- **Probe:** Have you seen/participated in successful mentorship models in a grantmaking context? What made these models successful?
- **Probe:** If mentorships would be beneficial, how can the EDI best support these mentorships so they are beneficial for both mentors and mentees?
- **Probe:** If mentorships would be beneficial, what should EDI team/review committee keep in mind during the review process?

Listen for the following pertaining to question 3

- Ideas and opportunities to improve support for organizations throughout the RFP process
- Ways in which the EDI can be more flexible with capital that still gets funds out to communities in the most equitable ways possible
- Methods to create authentic mentorship or collaboration opportunities among organizations

- Methods to authentically measure "depth of relationship" between community organizations and their respective communities
- Methods to ethically and equitably measure community organizations' accountability to their respective communities

Question 4. How can the EDI team improve their support systems throughout the **grant implementation process for grantees**?

Further Questions & Probing Prompts for Question 4

Q: What is the role of EDI with respect to ensuring grantees are accountable to their own communities?

Q: Should the EDI consider developing organization to organization mentorships or coworking opportunities for EDI grantees?

- **Probe:** Why or why not?
- **Probe:** Have you seen/participated in successful mentorship models in a grantmaking context? What made these models successful?
- **Probe:** If mentorships would be beneficial, how can the EDI best support these mentorships so they are beneficial for both mentors and mentees?

Listen for the following pertaining to question 4

- Ideas and opportunities to improve support for organizations throughout the grant implementation process
- Methods to create authentic mentorship or collaboration opportunities among organizations
- Methods to ethically and equitably measure community organizations' accountability to their respective communities

Focus Group C:

Collective Impact/Funders

Focus Group Date: June of 2019

Focus Group C Objectives

1. Learn from other local grantmakers about their respective grantmaking processes and how they support the same/similar network of community organizations in order to inform future equity improvements to the EDI Fund program.
2. Identify areas for future partnerships to bolster collective impact opportunities.
3. Understand the perceptions of how the EDI upholds its core values, and identify areas for improvement to hold the EDI accountable to its values.
4. Understand the perceptions of the current EDI Fund review process, and identify areas for a more equitable review process.
5. Get input and insight into the EDI Fund's progress toward high-impact investment work, and identify areas for programmatic improvements to the EDI that leverage high impact work among grantees.
6. Identify ways in which the EDI team can improve its support and programming for grantees during the project implementation process.
7. Get input and insight to guide future programming alternatives for the EDI Fund.

Focus Group C Questions

Question 1. What's your name, the organization you're affiliated with, and your interest in participating in this conversation about the EDI and the EDI Fund?

Question 2. How can the EDI team improve their support systems throughout the **outreach** process, meaning **before** the RFP is released?

Further Questions & Probing Prompts for Question 2

Q: What are the considerations to keep in mind when funding capacity building projects?

- Probe: Is there a "sweet spot" for the number of capacity building projects the EDI should fund?
- Probe: Evaluating whether or not an organization is "ready" to take on capacity building measures is often specific to the organization. How have your grantmaking programs found success in determining whether or not you can support an organization build capacity?

Listen for the following comments pertaining to question 2

- Who is not participating in the EDI Fund, but should be (e.g. more focus on organizations doing restorative justice work, or more multicultural organizations, etc)
- How much to support capacity building projects (e.g. readiness of an organization to receive a capacity building grant -- how much the EDI should invest in organizations that are not quite "ready")

Question 3. How can the EDI team improve their support systems throughout the **RFP process**? *(RFP Process Timeframe = From the day the RFP is released to the day when the next round of EDI grantees is publicly announced)*

Further Questions & Probing Prompts for Question 3

Should the EDI seriously consider eliminating the funding cap on capital projects?

- **Probe for focus groups with organizations:** There are very clear tradeoffs in terms of the number of projects the EDI is able to fund, what are the benefits and drawbacks for flexible spending for your projects?
- **Probe for focus groups with other grantmakers:** There are very clear tradeoffs in terms of the number of projects the EDI is able to fund, aside from this, what are the benefits and drawbacks for flexible spending in your experience as a grantmaker?
- **Probe for focus groups with organizations:** How would eliminating the funding cap affect your work?

Q: How involved should EDI staff (City staff) be in the RFP selection process? (Will need to explain the current role EDI staff have in the RFP selection process prior to asking this question)

- **Probe:** If EDI staff should be involved, in what specific ways should they or shouldn't they be involved?

Q: Should the City require organizations to demonstrate how they are serving their communities at large?

- **Probe (ask ONLY if members of the focus group respond "yes" to the overarching question):** What would this requirement look like?
- **Probe (ask ONLY if members of the focus group respond "yes" to the overarching question):** What are the key considerations the City must keep in mind if this becomes a requirement?

- **Probe (ask ONLY if members of the focus group respond "yes" to the overarching question):** How would the EDI Fund review committee prioritize these organizations in an equitable way that does not disenfranchise organizations with a niche focus and/or community?

Listen for the following pertaining to question 3

- Ideas and opportunities to improve support for organizations throughout the RFP process
- Ways in which the EDI can be more flexible with capital that still gets funds out to communities in the most equitable ways possible
- Methods to create authentic mentorship or collaboration opportunities among organizations
- Methods to authentically measure "depth of relationship" between community organizations and their respective communities
- Methods to ethically and equitably measure community organizations' accountability to their respective communities

Question 4. How can the EDI team improve their support systems throughout the **grant implementation process for grantees**?

Further Questions & Probing Prompts for Question 4

Q: What is the role of EDI with respect to ensuring grantees are accountable to their own communities?

Q: Should the EDI consider developing organization to organization mentorships or coworking opportunities for EDI grantees?

- **Probe:** Why or why not?
- **Probe:** Have you seen/participated in successful mentorship models in a grantmaking context? What made these models successful?
- **Probe:** If mentorships would be beneficial, how can the EDI best support these mentorships so they are beneficial for both mentors and mentees?

Q: Should the EDI consider developing capacity building trainings specifically for EDI grantees?

- **Probe:** Why or why not?
- **Probe:** Have you seen/participated in successful joint capacity building trainings in a grantmaking context? What made these models successful or not?
- **Probe:** If joint capacity building trainings would be beneficial, how can the EDI best support so these trainings so are beneficial?

Listen for the following pertaining to question 4

- Ideas and opportunities to improve support for organizations throughout the grant implementation process
- Methods to create authentic mentorship or collaboration opportunities among organizations
- Methods to ethically and equitably measure community organizations' accountability to their respective communities

Focus Group D

New Grantees from 2019 funding cycle

Focus Group Date: October 2019

Focus Group D Objectives
1. Understand the perceptions of the current RFP process for community organizations that were awarded EDI grant funds, and identify areas for improvement for the RFP process for future funding cycles. 2. Understand the perceptions of support from the EDI team during the project implementation process for grantees, and identify areas for improvement going forward. 3. Get input and insight to guide future programming alternatives for the EDI Fund.

Focus Group D Questions

Question 1. What's your name, the organization you're affiliated with, and the project you are supporting with the EDI Fund?

Question 2. How can the EDI team improve their support systems throughout the **outreach** process, meaning **before** the RFP is released?

Further Questions & Probing Prompts for Question 2

How does the EDI change if it incorporates a restorative justice focus by supporting those who have already been displaced from Seattle?

- **Probe:** Is there a way to balance supporting projects created by those who have been displaced with supporting those who are working to preserve existing communities, considering the limited resources the EDI Fund has?
- **Probe:** What would this support look like? Would it be consistent throughout each funding cycle?

What are the considerations to keep in mind when funding capacity building projects?

- Probe: Is there a "sweet spot" for the number of capacity building projects the EDI should fund?
- Probe: Evaluating whether or not an organization is "ready" to take on capacity building measures is often specific to the organization. How have your grantmaking programs found success in determining whether or not you can support an organization build capacity?

Listen for the following comments pertaining to question 2

- Whether or not the EDI should spend funds on outreach efforts, and how to spend those funds (e.g. what types of outreach support, how much of the funds should be devoted to outreach)
- Who is not participating in the EDI Fund, but should be (e.g. more focus on organizations doing restorative justice work, or more multicultural organizations, etc)
- How much to support capacity building projects (e.g. readiness of an organization to receive a capacity building grant -- how much the EDI should invest in organizations that are not quite "ready")

Question 3. How can the EDI team improve their support systems throughout the **RFP process**? *(RFP Process Timeframe = From the day the RFP is released to the day when the next round of EDI grantees is publicly announced)*

Further Questions & Probing Prompts for Question 3

Q: How involved should EDI staff (City staff) be in the RFP selection process? (Will need to explain the current role EDI staff have in the RFP selection process prior to asking this question)

- **Probe:** If EDI staff should be involved, in what specific ways should they or shouldn't they be involved?

Should the EDI seriously consider eliminating the funding cap on capital projects?

- **Probe for focus groups with organizations:** There are very clear tradeoffs in terms of the number of projects the EDI is able to fund, what are the benefits and drawbacks for flexible spending for your projects?
- **Probe for focus groups with other grantmakers:** There are very clear tradeoffs in terms of the number of projects the EDI is able to fund, aside from this, what are the benefits and drawbacks for flexible spending in your experience as a grantmaker?
- **Probe for focus groups with organizations:** How would eliminating the funding cap affect your work?

Q: Should the City require organizations to demonstrate how they are serving their communities at large?

- **Probe (ask ONLY if members of the focus group respond "yes" to the overarching question):** What would this requirement look like?
- **Probe (ask ONLY if members of the focus group respond "yes" to the overarching question):** What are the key considerations the City must keep in mind if this becomes a requirement?
- **Probe (ask ONLY if members of the focus group respond "yes" to the overarching question):** How would the EDI Fund review committee prioritize these organizations in an equitable way that does not disenfranchise organizations with a niche focus and/or community?

Q: What is the role of EDI with respect to ensuring organizations are accountable to their own communities?

- **Probe:** Should the EDI require organizations to demonstrate the depth of their relationships with their respective communities? (The idea is that no organization should operate as an island).
- **Probe:** What would this requirement look like?
- **Probe:** How would this requirement account for up-and-coming organizations that have not yet established themselves in the community, but have great potential to do so?

Q: Would organization to organization mentorships or coworking opportunities be beneficial to your organization?

- **Probe:** Why or why not?
- **Probe:** When would these mentorships be most beneficial to your organization (during the RFP process, after receiving/not receiving funding, etc.)?
- **Probe:** Have you seen/participated in successful mentorship models in a grantmaking context? What made these models successful?
- **Probe:** If mentorships would be beneficial, how can the EDI best support these mentorships so they are beneficial for both mentors and mentees?
- **Probe:** If mentorships would be beneficial, what should EDI team/review committee keep in mind during the review process?

Listen for the following pertaining to question 3

- Ideas and opportunities to improve support for organizations throughout the RFP process
- Ways in which the EDI can be more flexible with capital that still gets funds out to communities in the most equitable ways possible
- Methods to create authentic mentorship or collaboration opportunities among organizations
- Methods to authentically measure "depth of relationship" between community organizations and their respective communities
- Methods to ethically and equitably measure community organizations' accountability to their respective communities

Question 4. How can the EDI team improve their support systems throughout the **grant implementation process for grantees**?

Q: What is the role of EDI with respect to ensuring grantees are accountable to their own communities?

Q: Should the EDI consider developing organization to organization mentorships or coworking opportunities for EDI grantees?

- **Probe:** Why or why not?
- **Probe:** Have you seen/participated in successful mentorship models in a grantmaking context? What made these models successful?
- **Probe:** If mentorships would be beneficial, how can the EDI best support these mentorships so they are beneficial for both mentors and mentees?

Q: Would joint capacity building trainings be beneficial to your organization?

- **Probe:** Why or why not?
- **Probe:** Have you seen/participated in successful joint capacity building trainings in a grantmaking context? What made these models successful or not?
- **Probe:** If joint capacity building trainings would be beneficial, how can the EDI best support so these trainings so are beneficial?

Listen for the following pertaining to question 4

- Ideas and opportunities to improve support for organizations throughout the grant implementation process
- Methods to create authentic mentorship or collaboration opportunities among organizations
- Methods to ethically and equitably measure community organizations' accountability to their respective communities

Focus Group E

Unincorporated King County Community Organizations

Focus Group Date: October/November 2019

Focus Group E Objectives

1. Learn from other local grantmakers about their respective grantmaking processes and how they support the same/similar network of community organizations in order to inform future equity improvements to the EDI Fund program.
2. Identify areas for future partnerships to bolster collective impact opportunities.
3. Understand the perceptions of how the EDI upholds its core values, and identify areas for improvement to hold the EDI accountable to its values, especially concerning how the EDI can better support projects focused on restorative justice.
4. Understand the perceptions of the current EDI Fund review process, and identify areas for a more equitable review process.
5. Get input and insight into the EDI Fund's progress toward high-impact investment work, and identify areas for programmatic improvements to the EDI that leverage high impact work among grantees.
6. Identify ways in which the EDI team can improve its support and programming for grantees during the project implementation process.
7. Get input and insight to guide future programming alternatives for the EDI Fund.

Focus Group E Questions

Question 1. What's your name, the organization you're affiliated with, and the project you are supporting with the EDI Fund?

Question 2. How can the EDI team improve their support systems throughout the **outreach** process, meaning **before** the RFP is released?

Further Questions & Probing Prompts for Question 2

How does the EDI change if it incorporates a restorative justice focus by supporting those who have already been displaced from Seattle?

- **Probe:** Is there a way to balance supporting projects created by those who have been displaced with supporting those who are working to preserve existing communities, considering the limited resources the EDI Fund has?
- **Probe:** What would this support look like? Would it be consistent throughout each funding cycle?

What are the considerations to keep in mind when funding capacity building projects?

- Probe: Is there a "sweet spot" for the number of capacity building projects the EDI should fund?
- Probe: Evaluating whether or not an organization is "ready" to take on capacity building measures is often specific to the organization. How have your grantmaking programs found success in determining whether or not you can support an organization build capacity?

Listen for the following comments pertaining to question 2

- Whether or not the EDI should spend funds on outreach efforts, and how to spend those funds (e.g. what types of outreach support, how much of the funds should be devoted to outreach)
- Who is not participating in the EDI Fund, but should be (e.g. more focus on organizations doing restorative justice work, or more multicultural organizations, etc)
- How much to support capacity building projects (e.g. readiness of an organization to receive a capacity building grant -- how much the EDI should invest in organizations that are not quite "ready")

Question 3. How can the EDI team improve their support systems throughout the **RFP process**? *(RFP Process Timeframe = From the day the RFP is released to the day when the next round of EDI grantees is publicly announced)*

Further Questions & Probing Prompts for Question 3

Should the EDI seriously consider eliminating the funding cap on capital projects?

- **Probe for focus groups with organizations:** There are very clear tradeoffs in terms of the number of projects the EDI is able to fund, what are the benefits and drawbacks for flexible spending for your projects?
- **Probe for focus groups with other grantmakers:** There are very clear tradeoffs in terms of the number of projects the EDI is able to fund, aside from this, what are the benefits and drawbacks for flexible spending in your experience as a grantmaker?
- **Probe for focus groups with organizations:** How would eliminating the funding cap affect your work?

Q: Should the City require organizations to demonstrate how they are serving their communities at large?

- **Probe (ask ONLY if members of the focus group respond "yes" to the overarching question):** What would this requirement look like?
- **Probe (ask ONLY if members of the focus group respond "yes" to the overarching question):** What are the key considerations the City must keep in mind if this becomes a requirement?
- **Probe (ask ONLY if members of the focus group respond "yes" to the overarching question):** How would the EDI Fund review committee prioritize these organizations in an equitable way that does not disenfranchise organizations with a niche focus and/or community?

Q: What is the role of EDI with respect to ensuring organizations are accountable to their own communities?

- **Probe:** Should the EDI require organizations to demonstrate the depth of their relationships with their respective communities? (The idea is that no organization should operate as an island).
- **Probe:** What would this requirement look like?
- **Probe:** How would this requirement account for up-and-coming organizations that have not yet established themselves in the community, but have great potential to do so?

Q: Would organization to organization mentorships or coworking opportunities be beneficial to your organization?

- **Probe:** Why or why not?
- **Probe:** When would these mentorships be most beneficial to your organization (during the RFP process, after receiving/not receiving funding, etc.)?
- **Probe:** Have you seen/participated in successful mentorship models in a grantmaking context? What made these models successful?
- **Probe:** If mentorships would be beneficial, how can the EDI best support these mentorships so they are beneficial for both mentors and mentees?
- **Probe:** If mentorships would be beneficial, what should EDI team/review committee keep in mind during the review process?

Listen for the following pertaining to question 3

- Ideas and opportunities to improve support for organizations throughout the RFP process

- Ways in which the EDI can be more flexible with capital that still gets funds out to communities in the most equitable ways possible
- Methods to create authentic mentorship or collaboration opportunities among organizations
- Methods to authentically measure "depth of relationship" between community organizations and their respective communities
- Methods to ethically and equitably measure community organizations' accountability to their respective communities

Question 4. How can the EDI team improve their support systems throughout the **grant implementation process for grantees**?

Further Questions & Probing Prompts for Question 4

Q: What is the role of EDI with respect to ensuring grantees are accountable to their own communities?

Q: Should the EDI consider developing organization to organization mentorships or coworking opportunities for EDI grantees?

- **Probe:** Why or why not?
- **Probe:** Have you seen/participated in successful mentorship models in a grantmaking context? What made these models successful?
- **Probe:** If mentorships would be beneficial, how can the EDI best support these mentorships so they are beneficial for both mentors and mentees?

Q: Should the EDI consider developing capacity building trainings specifically for EDI grantees?

- **Probe:** Why or why not?
- **Probe:** Have you seen/participated in successful joint capacity building trainings in a grantmaking context? What made these models successful or not?
- **Probe:** If joint capacity building trainings would be beneficial, how can the EDI best support so these trainings so are beneficial?

Listen for the following pertaining to question 4

- Ideas and opportunities to improve support for organizations throughout the grant implementation process

- Methods to create authentic mentorship or collaboration opportunities among organizations
- Methods to ethically and equitably measure community organizations' accountability to their respective communities

Focus Group F

Electeds -- this might be a focus group or a briefing (note: Focus group has to meet open meeting requirements)
Focus Group Date: October/November 2019

Focus Group F Objectives
1. Identify areas for future partnerships to bolster collective impact opportunities. 2. Get input and insight into the EDI Fund's progress toward high-impact investment work, and identify areas for programmatic improvements to the EDI that leverage high impact work among grantees. 3. Get input and insight to guide future programming alternatives for the EDI Fund. ***If the EDI team chooses to meet with electeds for a briefing instead of a focus group, the major objective will be to report findings of what community has stated to this date and ask for input on future programming alternatives.****

Focus Group F Questions

Question 1. What's your name and your interest in participating in this conversation about the EDI and EDI Fund?

Question 2. How can the EDI team improve their support systems throughout the **outreach** process, meaning **before** the RFP is released?
Further Questions & Probing Prompts for Question 2 **Q: What are the considerations to keep in mind when funding capacity building projects?**

- Probe: Is there a "sweet spot" for the number of capacity building projects the EDI should fund?
- Probe: Evaluating whether or not an organization is "ready" to take on capacity building measures is often specific to the organization. How have your grantmaking programs found success in determining whether or not you can support an organization build capacity?

Listen for the following comments pertaining to question 2

- Who is not participating in the EDI Fund, but should be (e.g. more focus on organizations doing restorative justice work, or more multicultural organizations, etc)
- How much to support capacity building projects (e.g. readiness of an organization to receive a capacity building grant -- how much the EDI should invest in organizations that are not quite "ready")

Question 3. How can the EDI team improve their support systems throughout the **RFP process**? *(RFP Process Timeframe = From the day the RFP is released to the day when the next round of EDI grantees is publicly announced)*

Further Questions & Probing Prompts for Question 3

Should the EDI seriously consider eliminating the funding cap on capital projects?

- **Probe for focus groups with organizations:** There are very clear tradeoffs in terms of the number of projects the EDI is able to fund, what are the benefits and drawbacks for flexible spending for your projects?
- **Probe for focus groups with other grantmakers:** There are very clear tradeoffs in terms of the number of projects the EDI is able to fund, aside from this, what are the benefits and drawbacks for flexible spending in your experience as a grantmaker?
- **Probe for focus groups with organizations:** How would eliminating the funding cap affect your work?

Q: Should the City require organizations to demonstrate how they are serving their communities at large?

- **Probe (ask ONLY if members of the focus group respond "yes" to the overarching question):** What would this requirement look like?
- **Probe (ask ONLY if members of the focus group respond "yes" to the overarching question):** What are the key considerations the City must keep in mind if this becomes a requirement?
- **Probe (ask ONLY if members of the focus group respond "yes" to the overarching question):** How would the EDI Fund review committee prioritize these organizations in an equitable way that does not disenfranchise organizations with a niche focus and/or community?

Listen for the following pertaining to question 3

- Ideas and opportunities to improve support for organizations throughout the RFP process
- Ways in which the EDI can be more flexible with capital that still gets funds out to communities in the most equitable ways possible
- Methods to authentically measure "depth of relationship" between community organizations and their respective communities
- Methods to ethically and equitably measure community organizations' accountability to their respective communities

Question 4. How can the EDI team improve their support systems throughout the **grant implementation process for grantees**?

Listen for the following pertaining to question 4

- Ideas and opportunities to improve support for organizations throughout the grant implementation process

Focus Group G

Original interview participants (mostly comprised of unfunded community organizations from round 2)

Focus Group Date: October/November 2019

Focus Group G Objectives

1. Consult with the same individuals the EDI team previously interviewed to inform what the EDI is asking in the survey and focus groups to make sure the EDI has their input throughout the equity analysis process.
2. Understand the perceptions of the current RFP process, and identify areas for improvement for the RFP process for future funding cycles.
3. Get input and insight to guide future programming alternatives for the EDI Fund.

Focus Group G Questions

Question 1. What's your name, the organization you're affiliated with, and the project you are supporting with the EDI Fund?

Question 2. How can the EDI team improve their support systems throughout the **outreach** process, meaning **before** the RFP is released?

Further Questions & Probing Prompts for Question 2

How does the EDI change if it incorporates a restorative justice focus by supporting those who have already been displaced from Seattle?

- **Probe:** Is there a way to balance supporting projects created by those who have been displaced with supporting those who are working to preserve existing communities, considering the limited resources the EDI Fund has?
- **Probe:** What would this support look like? Would it be consistent throughout each funding cycle?

What are the considerations to keep in mind when funding capacity building projects?

- Probe: Is there a "sweet spot" for the number of capacity building projects the EDI should fund?
- Probe: Evaluating whether or not an organization is "ready" to take on capacity building measures is often specific to the organization. How have your grantmaking programs found success in determining whether or not you can support an organization build capacity?

Listen for the following comments pertaining to question 2

- Whether or not the EDI should spend funds on outreach efforts, and how to spend those funds (e.g. what types of outreach support, how much of the funds should be devoted to outreach)
- Who is not participating in the EDI Fund, but should be (e.g. more focus on organizations doing restorative justice work, or more multicultural organizations, etc)
- How much to support capacity building projects (e.g. readiness of an organization to receive a capacity building grant -- how much the EDI should invest in organizations that are not quite "ready")

Question 3. How can the EDI team improve their support systems throughout the **RFP process**? *(RFP Process Timeframe = From the day the RFP is released to the day when the next round of EDI grantees is publicly announced)*

Further Questions & Probing Prompts for Question 3

Q: How involved should EDI staff (City staff) be in the RFP selection process? (Will need to explain the current role EDI staff have in the RFP selection process prior to asking this question)

- **Probe:** If EDI staff should be involved, in what specific ways should they or shouldn't they be involved?

Should the EDI seriously consider eliminating the funding cap on capital projects?

- **Probe for focus groups with organizations:** There are very clear tradeoffs in terms of the number of projects the EDI is able to fund, what are the benefits and drawbacks for flexible spending for your projects?
- **Probe for focus groups with other grantmakers:** There are very clear tradeoffs in terms of the number of projects the EDI is able to fund, aside from this, what are the benefits and drawbacks for flexible spending in your experience as a grantmaker?
- **Probe for focus groups with organizations:** How would eliminating the funding cap affect your work?

Q: Should the City require organizations to demonstrate how they are serving their communities at large?

- **Probe (ask ONLY if members of the focus group respond "yes" to the overarching question):** What would this requirement look like?

- **Probe (ask ONLY if members of the focus group respond "yes" to the overarching question):** What are the key considerations the City must keep in mind if this becomes a requirement?
- **Probe (ask ONLY if members of the focus group respond "yes" to the overarching question):** How would the EDI Fund review committee prioritize these organizations in an equitable way that does not disenfranchise organizations with a niche focus and/or community?

Q: What is the role of EDI with respect to ensuring organizations are accountable to their own communities?

- **Probe:** Should the EDI require organizations to demonstrate the depth of their relationships with their respective communities? (The idea is that no organization should operate as an island).
- **Probe:** What would this requirement look like?
- **Probe:** How would this requirement account for up-and-coming organizations that have not yet established themselves in the community, but have great potential to do so?

Q: Would organization to organization mentorships or coworking opportunities be beneficial to your organization?

- **Probe:** Why or why not?
- **Probe:** When would these mentorships be most beneficial to your organization (during the RFP process, after receiving/not receiving funding, etc.)?
- **Probe:** Have you seen/participated in successful mentorship models in a grantmaking context? What made these models successful?
- **Probe:** If mentorships would be beneficial, how can the EDI best support these mentorships so they are beneficial for both mentors and mentees?
- **Probe:** If mentorships would be beneficial, what should EDI team/review committee keep in mind during the review process?

Listen for the following pertaining to question 3

- Ideas and opportunities to improve support for organizations throughout the RFP process
- Ways in which the EDI can be more flexible with capital that still gets funds out to communities in the most equitable ways possible
- Methods to create authentic mentorship or collaboration opportunities among organizations

- Methods to authentically measure "depth of relationship" between community organizations and their respective communities
- Methods to ethically and equitably measure community organizations' accountability to their respective communities

Question 4. How can the EDI team improve their support systems throughout the **grant implementation process for grantees**?

Q: What is the role of EDI with respect to ensuring grantees are accountable to their own communities?

Q: Should the EDI consider developing organization to organization mentorships or coworking opportunities for EDI grantees?

- **Probe:** Why or why not?
- **Probe:** Have you seen/participated in successful mentorship models in a grantmaking context? What made these models successful?
- **Probe:** If mentorships would be beneficial, how can the EDI best support these mentorships so they are beneficial for both mentors and mentees?

Q: Would joint capacity building trainings be beneficial to your organization?

- **Probe:** Why or why not?
- **Probe:** Have you seen/participated in successful joint capacity building trainings in a grantmaking context? What made these models successful or not?
- **Probe:** If joint capacity building trainings would be beneficial, how can the EDI best support so these trainings so are beneficial?

Listen for the following pertaining to question 4

- Ideas and opportunities to improve support for organizations throughout the grant implementation process
- Methods to create authentic mentorship or collaboration opportunities among organizations
- Methods to ethically and equitably measure community organizations' accountability to their respective communities

Appendix G. Qualitative Data Analysis Tool

Qualitative Data Analysis Tool for Focus Groups

This tool is meant to generate themes derived from the participants during focus groups.

Qualitative Data Analysis Tool for Focus Groups	
Focus group facilitator(s)	
Focus group notetaker(s)	
Focus Group Participants (e.g. Focus Group A with EDI grantees)	
Date & time of the focus group	
Number of participants	
Organizations/entities present	
Common Themes	

How can the EDI team **improve our support systems** throughout the **outreach** process before the RFP is released? Keep track of probes and prompts using the "Focus Group Objectives and Question Guide" Document	**Listen for the following prompts (circle/highlight prompts used):** -considerations pertaining to capacity building projects -EDI's role in supporting restorative justice **Additional prompts?**
	Body language (circle/highlight all that apply): Positive reaction Neutral reaction Negative reaction Additional notes on body language:
	Notes on participant responses to this question:

How can the EDI team **improve our support systems** throughout the **RFP process**? (RFP Process Timeframe = From the day the RFP is released to the day when the next round of EDI grantees is publicly announced)	**Listen for the following prompts (circle/highlight prompts used):** -requiring that organizations demonstrate serving communities at large -requiring organizations to demonstrate accountability to their own communities -separate applications for capacity building projects -involving EDI staff in the RFP selection process -who should be involved in the EDI review committee -Co-working, mentorship, and capacity building opportunities **Additional prompts?**
	Body language (circle/highlight all that apply): Positive reaction Neutral reaction Negative reaction Additional notes on body language:
Keep track of probes and prompts using the "Focus Group Objectives and	**Notes on participant responses to this question:**

Question Guide" Document	
How can the EDI team **improve our support systems** throughout the **grant implementation** process for grantees?	**Listen for the following prompts (circle/highlight prompts used):** -mentorships/coworking opportunities for grantees -capacity building training for grantees **Additional prompts?**
	Body language (circle/highlight all that apply): Positive reaction Neutral reaction Negative reaction Additional notes on body language:
	Notes on participant responses to this question:

Keep track of probes and prompts using the "Focus Group Objectives and Question Guide" Document	
What key points were provided by the participants? Were there discrepancies, contradictions, or disagreements among participants?	

Did the information from this focus group differ from that other focus groups?	
Observational data: Were participants excited, neutral, or reluctant to be a part of this focus group? Observe general body language and body language between participants.	

Qualitative Data Analysis Tool for Open-Ended Survey Responses

This tool is meant to generate themes derived from the open-ended survey questions.

Common Themes in Open-Ended Survey Responses	
How can the EDI team **improve our support systems** throughout the **outreach** process before the RFP is released?	**General thoughts/ideas/themes pertaining to outreach:**

	How did information differ regarding outreach based on organizational demographics (e.g. size, age, revenue/expenses, population it serves, etc.)?
	General thoughts/ideas/themes pertaining to the RFP process:

How can the EDI team **improve our support systems** throughout the **RFP process**? (RFP Process Timeframe = From the day the RFP is released to the day when the next round of EDI grantees is publicly announced)	
	How did information differ pertaining to the RFP process based on organizational demographics (e.g. size, age, revenue/expenses, population it serves, etc.)?
	General thoughts/ideas/themes pertaining to the grant implementation process:

How can the EDI team **improve our support systems** throughout the **grant implementation** process for grantees?	
Keep track of probes and prompts using the "Focus Group Objectives and Question Guide" Document	**How did information differ pertaining to the grant implementation process based on organizational demographics (e.g. size, age, revenue/expenses, population it serves, etc.)?**
What key points were provided by the participants? Were there	

discrepancies, contradictions, or disagreements among participants?	

Cross-Tabulation Tool

The purpose of this tool is to identify common themes, strengths, challenges, and unresolved issues among all participants throughout the data collection process. Use this tool after all data are collected.

Themes	Survey	Focus Group A	Focus Group B	Focus Group C	Focus Group D	Focus Group E	Focus Group F	Focus Group G

Strengths								
Challenges								
Unknowns/Unresolved								

Appendix H. Process Evaluation Overview and Guidance

A process evaluation focuses on two things: the program's design and implementation. An evaluator conducting a process evaluation asks, "How will I assess the quality of the program planning and implementation?"[35] Quality process evaluations explain why a program may or may not have achieved its objectives.[36] Evaluators plan by identifying which competencies are vital to the program's success, and then design a method for measurement and data collection specific to each competency during the program's implementation. Therefore, a best practice is to have a process evaluation design prior to implementation.[35] A process evaluation, when done correctly, provides an opportunity to identify and carry out midcourse corrections as needed, can ensure the program has a greater amount of transparency and accountability to various stakeholders and funding sources, and will contribute to a higher likelihood for a successful replication of the program in future settings.[35,37]

Short-term benefits of a process evaluation:[35]

- Real-time data indicating and reporting
- Ensures greater fidelity to implementation plan
- Real-time assessment of how well the program is functioning
- Quickly adapt and readjust program activities as needed
- May help with funding if a program is over-budget before the program's end

Long-term benefits of a process evaluation:[35]

- Explains why a program did or did not reach its desired outcomes or goals
- Provides the ability to combine data from process and outcome evaluations for a robust dataset that can lead to useful findings for the sustainability and quality of the program. This is especially important for programs that are committed to a long-term presence in a community, have a specific target population, and/or are accountable to external funders, collaborators, and stakeholders.
- Identifies successes in a program implementation to carry over to other programs. Conversely, identifies implementation weaknesses that should not carry over to future programs.

Overarching process evaluation questions:[36]

- Did the program follow its implementation plan? Was the program implemented properly?
- Why did the program work? Or, why did the program not work?
- Did the program reach the group it was targeting?
- What services did the program participants receive?
- Where the participants satisfied with the services?

- What was the average cost per person in the program?
- Did the program result in unintended consequences?

To answer these questions, process evaluations typically collect data on participant demographics, attendance rates, participant fidelity to the program's requirements (especially if the program is a study), staff's perceptions of the participants or the program, staff's adherence to the program design or work plan, and the clarity or appropriateness of communication with participants.[35]

Steps in a Process Evaluation Design

Step One: Identify Evaluators[35]

- *Promising practices:* Evaluators should be separate from the program implementation to prevent conflicts of interest.[35]

Step Two: Choose what to Measure[35]

- *Promising practices:* Identify evaluation questions, then include sound and specific data collection methods that will directly answer these questions. This step requires that the evaluator collect information about participants, participation in the program, adherence to the implementation plan, and participants'/staff's perceptions of the program.[29]

Step Three: Decide on data collection methods[35]

- *Promising practices:* Include at least one data collection method or tool for each evaluation question. Evaluators should identify which types of data analysis (e.g. statistical analysis, qualitative analysis, attendance and participation rates, demographic data, satisfaction data, etc.) most thoroughly answers each evaluation question when designing the data collection tool. Evaluators may use more than one tool per question.

Step Four: Scheduling and Roles[35]

- *Promising practices:* Organization is key!

Appendix I. Logic Model/Theory of Change

EDI Fund Improvement Plan Goal Statement:
The EDI Fund Process Improvement Plan will provide specific and actionable steps for the EDI team to improve EDI Fund resources, programming, and policies to serve and support communities of color with their anti-displacement and access to opportunities work in Seattle.

Inputs	Activities	Outputs	Short-term Outcomes - One Year	Intermediate Outcomes - Two to Three Years	Long-term Outcomes - Four to Five Years	Ultimate Outcomes
Community-driven process improvement plan	Interviews with applicants who did not get funded to identify areas for improvement with the EDI Fund	# of concrete suggestions for feedack to inform broader survey and focus group questions	EDI team uses the interview findings to inform the 2020 RFP process	In 2019-2021, the EDI team creates a concrete long-term plan (which includes a progress monitoring plan) to incorporate community input beyond the scope of the 2020 RFP	Increased resources going to PoC communities and inequitable funding gaps are reduced *(Within five years the EDI team has a 90% success rate of supporting community organizations funded by the EDI in acheiving their desired program goals within the timeframe outlined in their respective RFPs)*	Meaningful and productive community/public/private partnerships (collective impact model) focused on equitable development dismantling institutional and systemic discrimination thrive in Seattle
	EDI Fund Equity Survey created and disseminated	# of organizations and # of individuals take the survey	EDI team uses the survey findings to inform the 2020 RFP process			
	Focus group questions and facilitation structure created and implemented	# of organization types (e.g. big/small, old/new, funded/unfunded, etc.) and # of grantmaking entities participate in EDI focus groups	EDI team uses the focus group findings to inform the 2020 RFP process			
	Literature review and dissemination of research (what and how of funding)	# of people read the current best practice research	Government, funders, and community improve understanding of equitable development and research based strategies	Implementation of new and improved funding policies and strategies that reduce barriers and improve a just resource distribution process		
Racially equitable grantmaking	EDI modifies existing RFP process based on equity process improvement data	# of PoC organizations have clarity about the RFP process, including whether or not to apply for EDI Funds	Decreased burden on relavent PoC organizations throughout the RFP process due to application clarity	Concrete plans for continued improvement for racial justice oriented grantmaking for the EDI Fund	Communities have ownership over the RFP process to produce creative and relavent RFPs to mitigate racialized displacement	
	Share information about EDI process and funding	# City and community presentations (Outputs here depend on the purpose of the sessions) and # of informed PoC organizations	Increased PoC community organizations identify and organize their assets to create a concept for improvement	Increased PoC organizations create clear visions and plans for EDI projects for their community	Increased capacity among a broader network of PoC organizations committed to anti-displacment work *(Within five years the EDI Fund team builds a system a for technical assistance, long-term capacity building, grantwriting, and other organizational effectiveness support dictated by communities' needs and wants)*	
	Support historically underresourced organizations to identify solutions and apply for EDI grant	# of PoC organizations benefit from supportive assistance	PoC community organizations identify and organize their assets to create a concept for improvement	PoC organizations are both mentors and mentees to other like organizations based on exisiting assets across PoC organizations		
Capacity Building	$X capacity building grants	# of PoC organizations receive $X for a variety of capacity building needs	PoC organization develop clear plans that will lead to succesful project implementation	PoC organizations have more capacity to obtain other funding resources	Increased resources going to PoC communities and inequitable funding gaps are reduced	