



TOOL | CI 3.0 - 5 Phases Self-Assessment & Planning

This self-assessment and planning tool is based upon FSG’s “5 Phases of Collective Impact” document and has also incorporated the movement-building paradigm first outlined in Collective Impact 3.0. It can be used to assess progress and plan ahead in developing your Collective Impact Initiative. It focuses on the four “components of success” that create a solid foundation for your Collective Impact effort as it matures across the five phases of evolution of Collective Impact efforts.

MAIN IDEAS

The purpose of this tool is to help you to take stock of where you are and the progress you have made in advancing your Collective Impact Initiative. It can also be used to help your Leadership Team to also consider what is needed to support your work moving forward. The graphic provides you with a holistic snapshot of this tool.

Together the “Governance & Infrastructure” and “Strategic Planning” elements of success focus on the shared action plan to achieve your Initiative’s common agenda and community aspiration. The “Community Engagement” element of success emphasizes your work of continually building shared ownership for your Initiative across the community. The “Evaluation, Improvement & Learning” element of success focuses on how you will assess the progress, outcomes, and impact of your work as well as capture and share your learnings.

CI Components of Success	Phase I <i>Assess Readiness</i>	Phase II <i>Initiate Action</i>	Phase III <i>Organize for Impact</i>	Phase IV <i>Begin Implementation</i>	Phase V <i>Sustain Action and Impact</i>
Governance & Infrastructure	Convene community leaders	Identify champions & form cross-sector Steering Committee (SC) to guide the effort	Determine initial Action Teams and plan backbone infrastructure	Launch Action Teams & establish backbone infrastructure	Build out the backbone infrastructure; evolve Action Teams to meet emergent strategy
Strategic Planning	Hold dialogue about issue, community context & available resources	Map the landscape & use data to make the case	Create a common agenda, clear problem definition & population level goal	Develop blueprint for implementation; identify early wins	Refine strategies & mobilize for early wins
Community Engagement	Determine community readiness; Create a community engagement plan	Begin outreach to community leaders	Incorporate community voice & an equity lens – gain community perspective & input around the issue	Engage community more broadly & build public will	Continue engagement & conduct advocacy
Evaluation, Improvement & Learning	Determine if there is consensus/urgency to move forward collaboratively	Analyze baseline data to ID key issues and gaps	Develop high-level shared metrics and/or strategies at the SC level	Establish shared measures (indicators & approach) at SC & Action Team levels	Collect, track and report progress; establish processes to learn & improve

TOOL HOW-TO

This tool includes a high-level checklist for each of the five phases of the Collective Impact journey. The checklist provides concrete examples of activities within each component of success to help assess your progress and consider how your work may need to expand or change over time. These prompts should be considered as only a starting point to guide your work planning. Please feel free to add additional signs of progress as needed. Use the worksheets that follow to think ahead about what else might be needed to accelerate your effectiveness and momentum.

TOOL DEBRIEF

After reflecting on your progress and considering the work required within each component to sustain healthy progress on your initiative. Use the information to set priorities and establish milestones for how your work will unfold across all four components of success for the coming year. Use the planning tool and work plan templates to capture these critical pieces of your collaborative process **Source:** www.fsg.org

The Evolution of Collective Impact

Collective Impact 1.0 (pre-2011) <i>Individual Organizational Paradigm</i>		Collective Impact 2.0 (2011) <i>Shared Management Paradigm</i>		Collective Impact 3.0 (2016) <i>Movement-Building Paradigm</i>	
Specialized Agendas	➡	Common Agenda	+	Community Aspiration	
Fragmented Measures	➡	Shared Measurement	+	Strategic Learning	
Independent Activities	➡	Mutually Reinforcing Activities	+	High Leverage, Systems Focused Activities	
Sporadic Communication	➡	Continuous Communication	+	Inclusive Community Engagement	
Unsupported Coordination	➡	Backbone Support	+	Container for Change	

COLLECTIVE IMPACT 3.0 – A MOVEMENT-BUILDING PARADIGM

Collective Impact 3.0's movement-building paradigm moves beyond considering how organizational leaders can work together to develop new approaches to achieve better outcomes on a shared issue to consider how a broad array of diverse groups can look beyond improving existing programs to reimagine how:

- *Current approaches can be transformed*
- *Responsibility for the issue can be broadened and redefined;*
- *The systems that hold the issue in place can be changed;*
- *A long-term commitment can be nurtured to establish a more receptive climate where new ideas are supported to take hold and flourish.*

CI 3.0 CONDITION	DESCRIPTION
COMMUNITY ASPIRATION	<ul style="list-style-type: none"> • An aspiration rooted in the values of community and sufficiently ambitious that it cannot be achieved through a “business as usual” approach • A shared understanding of the nature and root causes of the issue we are wanting to address • A shared vision for change and shared plan of core strategies that will be implemented collaboratively to achieve it • A shared focus that unifies a range of participants to simultaneously address an array of interdependent challenges underpinning the same issue
STRATEGIC LEARNING	<ul style="list-style-type: none"> • Collecting data and measuring results related to your common agenda is much more successful when developed within the context of a broader commitment to ongoing learning and evaluation • Embracing a strategic learning approach includes shared measures as a component but not necessarily a central feature
HIGH LEVERAGE, SYSTEMS FOCUSED ACTIVITIES	<ul style="list-style-type: none"> • Focus first and foremost on strategies that offer the greatest likelihood for results rather than simply the greatest opportunities for cooperation • Emphasize strategies that offer the highest opportunities for change where partners have the knowledge, networks & resources to make a difference • Encourage partners to simultaneous prototype different, high-leverage strategies to accelerate experimentation when needed.
INCLUSIVE COMMUNITY ENGAGEMENT	<ul style="list-style-type: none"> • Authentically engage the community and keep the community’s need at the centre of the change process • Create a broad constituency for change who share a sense of shared ownership and long-term commitment to the change process • Ensure those most impacted by the issue are supported to fully participate in efforts to address the issue • Celebrate milestone and quick wins on the long-term journey for change
CONTAINER FOR CHANGE	<ul style="list-style-type: none"> • Work on community change efforts across organizations and sectors requires dedicated resources to support coordination and collaboration • Needs to attend to the stewardship of the overall CI initiative and ensure cross-sectoral leadership and championing of its shared issue and aspiration • Attending to the inner journey of change – surfacing mental models, challenging long-held assumptions and fostering trust and empathy for one another.

The Phases of Collective Impact

Over-arching Actions	Components of Success	Phase I <i>Generate Ideas and Host Dialogues</i>	Phase II <i>Initiate Action</i>	Phase III <i>Organize for Impact</i>	Phase IV <i>Begin Implementation</i>	Phase V <i>Review and Renew</i>	
		Pre-Start-Up FOCUS: Engagement & Exploration	Start-Up FOCUS: From Idea to Formation	Growth FOCUS: Early Experimentation	Continued Growth FOCUS: Scaling Promising Efforts	Maturity FOCUS: Sustain & Renew	
		EARLY YEARS KEY QUESTION: What needs to happen?			MIDDLE YEARS KEY QUESTION: How well is it working?		LATER YEARS KEY QUESTION: What difference are we making?
		KEY ELEMENTS					
Design, Implement & Lead Your CI Initiative	Governance & Infrastructure How decisions are made & responsibility shared?	Convene Community Stakeholders.	Identify champions and form cross-sector Steering Committee (SC) to guide the effort.	Develop infrastructure (backbone, leadership team and action teams)	Launch action teams and formalize backbone infrastructure.	Facilitate, refine and renew.	
	Strategic Planning What are we trying to do and how: Our Theory of Change	Hold dialogues about issue, community context & available resources.	Map the landscape and use data to make the case.	Create common agenda, clear problem definition, agreement on population-level goals.	Develop blueprint for implementation & identify quick wins.	Refine strategies to mobilize for quick wins and to review progress.	
Understand Context	Community Involvement Who is involved? Who else's eyes need to be on this issue?	Determine community readiness; create a community engagement plan.	Begin outreach to community leaders.	Incorporate community voice, gain community perspective & input around the issue.	Engage community more broadly and build public will.	Continue engagement and address policy change needs.	
Assess Progress, Outcomes, Impacts & Learning	Evaluation, Improvement & Learning What are we learning and how are we changing culture, norms and systems?	Determine if there is consensus and urgency to move forward.	Analyze baseline data to identify key issues and gaps.	Establish shared metrics (indicators, measurement & approach)	Establish shared measures (indicators & approach) at SC and Action Team levels.	Collect, track and report on progress (process to learn, improve & renew.	

CI 3.0: Embracing a Movement-Building Leadership Paradigm			
Governance & Infrastructure		Building a Container for Change	
Description:	Leadership for our CI Initiative is shared across a diverse group. The community's hopes and values are central in decision-making. Our decisions strive to reflect a consensus of multiple perspectives whenever possible.	Questions to consider:	<ul style="list-style-type: none"> • What are we hoping to achieve together? • What agreements enable us to work well together? • What practices help us address disagreements and foster understanding and trust? • What structures are needed to enable us to work together well?
Goal:	To engage a diverse network of leaders to reach a shared agreement on how your Collective Impact Initiative is designed and led.	Indicators of Success:	<ul style="list-style-type: none"> • We keep the voice of community central in our work • We have clarity on how we work together and have established a high degree of trust • We have a set of values & principles that guide our collective work
Strategic Planning Focused on High-Leverage & Systems Change Priorities			
Description:	This component focuses on ensuring that partners are clear about what they trying to accomplish together and how. Emphasis is placed on high-leveraged, system-focused strategies not solely program improvements.	Questions to consider:	<ul style="list-style-type: none"> • What is our community's shared aspiration? • What can we accomplish together to change the circumstances for individuals impacted by this issue? • What high-leveraged actions we will take to realize our aspiration? • What systems-change strategies have been identified?
Goal:	We have a shared action plan that outlines how – and who – will help realize our common agenda. Our plan includes an agreed-upon set of systems-focused, high-leverage strategies.	Indicators of Success:	<ul style="list-style-type: none"> • There is broad understanding and endorsement of our plan; • Regular and consistent progress is being seen and interest & involvement in our work is growing; and • Our plan is updated and refined based on data & learnings
Community Involvement Authentic Community Engagement			
Description:	This component focuses on ensuring that your group has developed a shared understanding of your issue by engaging diverse perspectives and considering your community's values.	Questions to consider:	<ul style="list-style-type: none"> • Who have we involved in this work? • Who else needs to be involved on this issue? • How do we encourage shared ownership of this work?
Goal:	To ensure you understand your community's unique context; and work in ways that engages a growing network of stakeholders to contribute to solutions.	Indicators of Success:	<p>Indicators of Success for this element:</p> <ul style="list-style-type: none"> • There is shared understanding and ownership of your issue; and • There is a common agenda and sustained shared action to make it a reality • We are seeing regular and consistent progress on our plan
Evaluation and Improvement Strategic Learning			
Description:	This component is focused on ensuring that your group has established a shared measurement system and process for regularly capturing and reflecting on results and learnings.	Questions to consider:	<ul style="list-style-type: none"> • What is changing and what are we learning? • How are tracking our impact in changing outcomes, policies, culture, norms and systems? • How are we sharing our progress and learnings with the community?
Goal:	To assess our progress, outcomes, and impact and to document and share our learnings and insights	Indicators of Success:	<ul style="list-style-type: none"> • Learning is captured; used to refine action; and, documented and shared • Evidence of progress and impact is regularly measured and communicated • Unintended consequences (both positive & negative) are intentionally documented and shared.

Self-Assessment Check List - Phase One: <i>Generate Ideas & Host Dialogues</i> <i>(Pre-Start-Up – 12-18 months) Focus: Assess Readiness, Begin Engagement & Exploration</i>	Not Started	Beginning / Early Stage	Making Progress	Ready for Next Phase
<i>Governance and Infrastructure Container for Change</i>				
1. Leadership from multiple perspectives has been engaged to articulate a common agenda				
2. Commitment from leaders of multiple sectors has been made to work together on the shared issue				
3. Principles and practices guiding how we work together have been endorsed and are reflected in practice				
Comments:				
<i>Strategic Planning High-Leverage, Systems-Focused Priorities</i>				
1. Partner organizations and community members are aware of our CI initiative and its common agenda				
2. We have articulated a common understanding of our shared issue and it is informed by data				
3. High-leveraged, system-focused priorities for our common agenda are being identified				
4. Partner organizations are willing to commit to working together, over time, to address this issue				
Comments:				
<i>Community Involvement Authentic Community Engagement</i>				
1. We have convened conversations with multiple sectors and perspectives				
2. Partners and the community have helped shape the shared issue we want to address				
3. Partners are sharing quantitative and qualitative data to inform our understanding of our issue				
4. Partners feel a collective responsibility for the issue and generating results around it				
Comments:				
<i>Evaluation and Improvement Strategic Learning</i>				
1. The importance of continuous and shared learning to successfully working collaboratively is understood				
2. A shared agreement on how progress will be monitored and assessed is being developed				
3. The consensus around a shared vision and common agenda is informed by data				
4. Steering Committee & Backbone staff are thought-leaders and ambassadors – building hope				
Comments:				

Self-Assessment Check List - Phase Two: <i>Initiate Action</i> <i>(From Start-Up – 12 months) Focus: Start-Up Moving From Idea to Formation</i>	Not Started	Beginning / Early Stage	Making Progress	Ready for Next Phase
<i>Governance and Infrastructure Container for Change</i>				
1. A Steering Committee that includes diverse voices and perspectives from different sectors is established				
2. Staff supporting this work are neutral and inclusive				
3. A Collaborative Governance agreement and memorandums of understanding have been developed				
4. Boards/leadership teams from participating organizations have endorsed – and are active in the initiative				
Comments:				
<i>Strategic Planning High-Leverage, Systems-Focused Priorities</i>				
1. Partners have committed to a shared vision, community aspiration and Theory of Change				
2. Partners are using a collective action plan that includes system focused priorities that are high leveraged				
3. Partners have designed a user-friendly, shared measurement that is participatory, transparent & linked to their Common Agenda				
4. Structures and processes have been established to keep partners well informed about the CI effort				
Comments:				
<i>Community Involvement Authentic Community Engagement</i>				
1. Members with “lived experience” are helping shape our common agenda and contribute their leadership				
2. Geographical boundaries and population targets have been set and are clearly understood				
3. Partners accurately describe the goals of our initiative				
4. Partners have endorsed an action plan with specific priorities that each is committed to implementing				
5. Community input & feedback is continually sought and used to inform the CI Initiative in its ongoing work				
Comments:				
<i>Evaluation and Improvement Strategic Learning</i>				
1. Partners have designed a user-friendly, shared measurement system in a participatory and transparent way				
2. A tracking system is established to monitor progress on our common agenda & community aspiration				
3. A developmental evaluation process captures learnings and is used to refine the initiative’s design				
4. Partners regularly share insights about assumptions, successes, failures, and promising practices				
Comments:				

Self-Assessment Check List - Phase Three: <i>Organize for Impact</i> <i>(From 2-3 years) Focus: Growth and Early Experimentation</i>	Not Started	Beginning / Early Stage	Making Progress	Ready for Next Phase
1. The Backbone ensures alignment of activity across the overall effort				
2. Diverse funding/resources to support the CI Initiative has been secured for the next 2-3 years				
3. The Steering Committee and Backbone identify and welcome the contributions of new partners				
4. The Steering Committee and Backbone align their work with other community efforts				
Comments:				
<i>Strategic Planning High-Leverage, Systems-Focused Priorities</i>				
1. Partners continue to affirm their common agenda and its link to the community's aspiration				
2. Partners are engaged & contributing to a shared action plan that unifies - & leverages - distinct activities				
3. Progress on the Action Plan is being made and quick wins are being celebrated				
4. Structures and processes continue to keep partners well-informed about the CI effort and its impact				
Comments:				
<i>Community Involvement Authentic Community Engagement</i>				
1. Partners show commitment to our common agenda				
2. Partners have a data sharing agreement that supports their ongoing collaboration and are sharing data				
3. Partners have clear approaches/goals for their own contributions to their Working Group				
4. Partners understand the roles of other Working Groups and how they support the common agenda				
Comments:				
<i>Evaluation and Improvement Strategic Learning</i>				
1. Partners adapt best practices from other fields/geographies to advance their work				
2. Partners publicly discuss the progress and learning of the initiative and advocate for its goals				
3. Partners raise questions and clarify or questions assumptions and beliefs				
4. Partner organizations report improvements in knowledge and effectiveness due to the Initiative's work				
Comments:				

Self-Assessment Check List - Phase Four: <i>Implementation</i> (From 2-4 years) Focus: Continued Growth & Scaling of Promising Efforts	Not Started	Beginning / Early Stage	Making Progress	Ready for Next Phase
<i>Governance and Infrastructure Container for Change</i>				
1. The Steering Committee launches Working Groups for the implementation phase				
2. Staff support the Working Groups by facilitating meetings & providing resources				
3. The Steering Committee evaluates its progress and memberships				
4. Boards/leadership teams from participating organizations are providing resources to support the work				
Comments:				
<i>Strategic Planning High-Leverage, Systems-Focused Priorities</i>				
1. An implementation blueprint is in place and all partners have agreed to it				
2. Cross-initiative communication is fostered to build trust and align action across Working Groups				
3. The Steering Committee begins to document policy shifts around the SC & Working Group tables				
4. A plan for sustainability and renewal is being developed				
Comments:				
<i>Community Involvement Authentic Community Engagement</i>				
1. An engagement strategy is implemented that reaches broadly across the community				
2. The Steering Committee develops indicators that prove trust and public will is being built				
3. The community begins to become engaged with the common agenda of the collaborative effort				
4. The CI Initiative convenes meetings with stakeholders and integrates their input into the overall strategy				
Comments:				
<i>Evaluation and Improvement Strategic Learning</i>				
1. A shared measurement system is established including indicators on progress and approach				
2. Shared measurement data is collected on a regular basis				
3. A formal process is established for reviewing the data and making sense of results being achieved				
4. Changes in individual attitudes and/or behaviors or in public media align with the goals of the CI Initiative				
Comments:				

Self-Assessment Check List - Phase Five: <i>Maturity</i> <i>(From 4 years ++)</i> Focus: Sustain and Renew	Not Started	Beginning/ Early Stage	Making Progress	Ready for Next Phase
<i>Governance and Infrastructure Container for Change</i>				
1. The Steering Committee initiates a review & renewal process for the initiative				
2. Staff supporting this work support the renewal process				
3. A Collaborative governance agreement & memorandums of understanding are reviewed and renewed				
4. Boards/leadership teams from participating organizations have endorsed & are involved in the renewal				
Comments:				
<i>Strategic Planning High-Leverage, Systems-Focused Priorities</i>				
1. CI Partners are kept informed and inspired by the success of the CI Initiative				
2. Steering Committee & Backbone establish relationships with policymakers				
3. A policy/advocacy agenda has been developed and partner capacity around it is nurtured				
4. A sustainability and renewal strategy for the CI Initiative has been developed				
Comments:				
<i>Community Involvement Authentic Community Engagement</i>				
1. Partners demonstrate flexibility and willingness to adapt strategies and tactics to realize our common agenda				
2. Partners reassess indicators, data collection methods & approaches to disseminating results & learning				
3. Partners use data to guide decision-making in their own organizations				
4. The CI Initiative convenes meetings with stakeholders and integrates their input into the overall strategy				
Comments:				
<i>Evaluation and Improvement Strategic Learning</i>				
1. Professional standards are evolving to support the goals of the CI Initiative				
2. The issue(s) of the CI Initiative are viewed as a priority & receive greater attention by system actors				
3. Formal and informal organizational policies have changed as a result of the CI Initiative's work				
4. Changes in individual attitudes and/or behaviors or in public media align with the goals of the CI Initiative				
Comments:				

Planning Tool		
Our strengths and achievements to date:	What are our current priorities?	What do we need to plan for next?
1.	1.	1.
2.	2.	2.
3.	3.	3.
4.	4.	4.
5.	5.	5.
6.	6.	6.
7.	7.	7.
8.	8.	8.
What can we stop doing now?	What do we need to continue?	What new things need to be added?
1.	1.	1.
2.	2.	2.
3.	3.	3.
4.	4.	4.
5.	5.	5.
6.	6.	6.
7.	7.	7.
8.	8.	8.

Work Plan (Process focused): Current Phase:			
List your 6-month process related goal by component of success:			
1. Governance & Infrastructure:			
2. Strategic Planning:			
3. Community Involvement:			
4. Evaluation & Improvement:			
Activities to Reach Your 6 Month Goals:	Who's Responsible?	By When?	How? (Potential Tools)
Governance and Infrastructure Container for Change			
Strategic Planning High-Leverage, Systems-Focused Priorities			
Community Involvement Authentic Community Engagement			
Evaluation and Improvement Strategic Learning			