

Collective Impact Self-Assessment and Planning Tool

The Self-Assessment and Planning Tool and Work Plan can be a reference tool for each of the four phases of the collective impact process. The purpose of this tool is:

- To help your collaborative leadership table pause and take stock of where you are and the progress you have made in advancing your Initiative; and,
- For your collaborative leadership table to consider what is needed to support the work moving forward.
- This tool provides a common assessment and process frame.

This tool is based on FSG’s “Phases of Collective Impact” document. It will enable you to assess your progress within the four core “components of a success” needed to effectively sustain a Collective Impact effort: governance & infrastructure; strategic planning; community involvement; and, evaluation and improvement. Within each of these core components, progress can be assessed across four phases of evolution that are typically seen in Collective Impact efforts.

The 5 Phases of Collective Impact

Components for Success	Phase I Assess Readiness	Phase II Initiate Action	Phase III Organize for Impact	Phase IV Begin Implementation	Phase V Sustain Action and Impact
Governance and infrastructure	Convene community leaders	Identify champions and form cross-sector Steering Committee “SC” to guide the effort	Determine initial workgroups and plan backbone organization	Launch work groups “WGs” and select backbone organization	Building out the backbone organization; evolve WGs to meet emergent strategy
Strategic planning	Hold dialogue about issue, community context, and available resources	Map the landscape and use data to make case	Create common agenda, clear problem definition, population level goal	Develop Blueprint for Implementation; identify quick wins	Refine strategies; mobilize for quick wins
Community engagement	Determine community readiness; Create a community engagement plan	Begin outreach to community leaders	Incorporate community voice - gain community perspective and input around issue	Engage community more broadly and build public will	Continue engagement and conduct advocacy
Evaluation and improvement	Determine if there is consensus/urgency to move forward	Analyze baseline data to ID key issues and gaps	Develop high level shared metrics and/or strategies at SC level	Establish shared measures (indicators and approach) at SC and WG levels	Collect, track, and report progress (process to learn and improve)

For collaborative leadership tables, this tool includes check list for each of the four phases of the collective impact journey.

The check-lists have been developed to provide concrete examples of activities within each component of success to provide prompts to help you assess your progress and consider how your work may need to expand or change over time. The check-list is not comprehensive. Please feel free to add additional insights and signs of progress as needed.

After reflecting on your progress and considering the work required within

each component to sustain healthy progress on your initiative, use this information to set priorities and establish milestones for how your work will unfold – across all four components of success – over the coming year. Use the planning tool and work plan templates to capture these critical pieces of your collaborative process.

The graphic on the following page provides you with a holistic snapshot of this tool and framework. Together the “Governance & Infrastructure” and “Strategic Planning” elements of success focus on the work needed to design, implement and lead your initiative. The “Community Involvement” element of success emphasizes your work to assess and consider the unique context within which your work will unfold over time. Finally, the “Evaluation & Improvement” element of success is focused on how you intend to assess the progress, outcomes and impact of your work and inform adjustments that are required over time.

Use the worksheets that follow to explore and consider the best plan for your collaborative leadership table to accelerate your effectiveness and momentum.

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>Sustain Action & Impact</i>	
		Pre-Start-up <i>Focus: Engagement and Exploration</i>	Start-up <i>Focus: From Idea to Formation</i>	Foundation Building <i>Focus: A container to work collectively</i>	Growth <i>Focus: Experimentation & Growth</i>	Maturity <i>Focus: Sustain & Renew</i>	
		EARLY YEARS <i>Key Questions: What needs to happen? What structures do we need to work collectively to make it happen?</i>			MIDDLE YEARS <i>Key Questions: How well is it working? What else is needed?</i>	LATER YEARS <i>Key Questions: What difference are we making? How is our work sustained?</i>	
		KEY ELEMENTS					
		Design, Implement and Lead your CI Initiative	Governance & Infrastructure <i>How decisions are made and responsibilities shared</i>	Convene Community Leaders & Stakeholders	Identify champions and form cross-sector Steering Committee	Develop Initial CI infrastructure (backbone, Steering Committee & working groups)	Launch Working Groups and confirm Backbone Organization
	Strategic Planning <i>What are we trying to do and how: Our Theory of Change</i>	Hold dialogue about issue, community context and available resources	Map the landscape and use data to make the case (develop implementation plan)	Create common agenda, community aspiration, understanding of the problem/opportunity & shared overall goal	Develop Implementation Blueprint and Initial Action Plan that identifies quick wins	Refine strategies and mobilize for quick wins. Review progress and determine renewal strategies	
Understand Context	Community Involvement <i>Who is involved? Who else's eyes need to be on this issue?</i>	Assess community readiness & create plan for authentic community engagement	Begin community outreach, engage leaders	Broaden perspectives engaged. Emphasize <i>unusual suspects</i> & <i>passionate amateurs</i>	Continue engagement to build broad community will & shared ownership	Continue engagement & advocacy. Address opportunities to change policy	
Assess Progress, Outcomes, Impact and Learning	Evaluation & Improvement <i>What are we learning and how are we changing culture, norms and systems?</i>	Determine if there is consensus and urgency to move forward	Analyze baseline data to ID key issues and gaps	Analyze baseline data to ID key issues & groups	Establish shared metrics (indicators, measurement and approach)	Collect, track, and report progress (process to learn, improve, and renew)	

Defining the Components for Success			
Governance and Infrastructure			
Description:	This component is focused on ensuring that your group shares responsibilities and leadership; and, is clear about how – and who – makes decisions. The aim, when possible should strive for a consensus that is honoring of multiple perspectives.	Questions to consider:	<p>“Who are we? & How do we work together?” The focus of work for this element involves continually assessing:</p> <ul style="list-style-type: none"> • What are the minimum agreements needed for us to work well together? • What practices do we have to help us foster understanding and trust between us? (When disagreements arise, how do we address them constructively?) • What structures are needed to enable us to work together well?
Goal:	To agree upon how your initiative is best designed and led	Indicators of Success:	<ul style="list-style-type: none"> • There is clarity around how we work together; • We have established adequate structures to support us in our work; and, • We have established a high degree of trust throughout our initiative • We have determined a set of values and principles that guide our collective work
Strategic Planning			
Description:	This component is focused on ensuring that your group is clear about what we are trying to accomplish together and how.	Questions to consider:	<ul style="list-style-type: none"> • What is your group’s aspiration? • What can we accomplish together to change the circumstances for individuals impacted by this issue or problem? • What are the key actions that must be taken to realize your aspiration?
Goal:	To establish an action plan that outlines how – and who – will do what to realize your common agenda.	Indicators of Success:	<ul style="list-style-type: none"> • There is broad understanding and endorsement of your plan; • Regular and consistent progress is being seen and interest and involvement are growing; and • The plan is regularly updated & refined using data & learning from group’s actions.
Community Involvement			
Description:	This component is focused on ensuring that your group has engaged diverse perspectives to view your issue holistically.	Questions to consider:	<p>The focus of work for this element involves continually assessing:</p> <ul style="list-style-type: none"> • Who have you involved? • Who else needs to be involved on this issue?
Goal:	To ensure you understand your community’s unique context; and, engage others to work with you to address it	Indicators of Success:	<p>Indicators of Success for this element:</p> <ul style="list-style-type: none"> • There is shared ownership of an issue; and • There is consensus on common agenda and sustain shared action to make it a reality
Evaluation and Improvement			
Description:	This component is focused on ensuring that your group has engaged tracking progress and using the data/information to adjust and/or make changes accordingly.	Questions to consider:	<p>The work of this element is focused on answering the questions:</p> <ul style="list-style-type: none"> • What is changing and are we learning? • How are we changing policies, culture, norms and systems? • What impact are we having?
Goal:	To assess progress, outcomes and impact; and, to document and share learning	Indicators of Success:	<p>Indicators of Success for this element:</p> <ul style="list-style-type: none"> • Learning is captured; used to refine action; and, documented and shared • Evidence of progress and impact is measured and communicated

Self-Assessment Check List - Phase One: <i>Generate Ideas & Host Dialogues</i> <i>(Pre-Start-Up – 12-18 months) Focus: Engagement & Exploration</i>	Not Started	Beginning/ Early Stage	Making Progress	Ready for Next Phase
<i>Governance and Infrastructure</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 reinforced in practice				
Comments:				
<i>Strategic Planning</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 problem and it is informed by data				
3. Clear goals and 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</i>				
1. We have convened conversations with diverse voices and perspectives from multiple sectors				
2. Partners and the community can understand and articulate the problem 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</i>				
1. The importance of continuous and shared learning to the success of 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 and Backbone staff are thought-leaders and ambassadors for the initiative – building hope				
Comments:				

Self-Assessment Check List - Phase Two: <i>Initiate Action</i> (From Start-Up – 12 months) Focus: From Idea to Formation	Not Started	Beginning/ Early Stage	Making Progress	Ready for Next Phase
<i>Governance and Infrastructure</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 actively participate in the initiative				
Comments:				
<i>Strategic Planning</i>				
1. Partners have reached consensus on the ultimate goal and have committed to a shared vision for change				
2. Partners have developed and are using a collective plan of action that unifies – and leverages – their distinct activities				
3. Partners have designed a user-friendly, shared measurement system in a participatory and transparent way				
4. Structures and processes to keep partners and external partners well informed about the CI effort are established				
Comments:				
<i>Community Involvement</i>				
1. Members with “lived experience” have helped shape our common agenda				
2. Geographical boundaries and population targets to be addressed have been set and are clear for all partners				
3. Partners accurately describe the goals of our initiative				
4. Partners understand the value of shared measurement & their role in it				
5. Partners have endorsed an action plan with specific activities each partner is committed to implementation				
Comments:				
<i>Evaluation and Improvement</i>				
1. A set of early performance measures and a system to track them has been established to monitor progress				
2. A developmental evaluation process captures learning and is used to refine the initiative’s design				
3. Partners regularly share insights & lessons about assumptions, successes, failures and promising practices				
Comments:				

Self-Assessment Check List - Phase Three: <i>Organize for Impact</i> (From 13 months-2 years) Focus: Creating a container to work collectively	Not Started	Beginning/ Early Stage	Making Progress	Ready for Next Phase
Governance and Infrastructure				
1. The Backbone ensures alignment of activity across the overall effort				
2. Funding to support the CI effort has been secured for 2 – 3 years				
3. The Steering Committee and Backbone identify and engage new partners				
4. The Steering Committee and Backbone align their work with other community efforts				
Comments:				
Strategic Planning				
1. Partners have reached consensus on their ultimate goal and have committed to a shared vision for change				
2. Partners are engaged and contributing to a collective plan of action that unifies – and leverages – their distinct activities				
3. Partners have designed a user-friendly, shared measurement system in a participatory and transparent way and are sharing their data and results				
4. Structures and processes to keep partners and external partners well informed about the CI effort are established				
Comments:				
Community Involvement				
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:				
Evaluation and Improvement				
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>Begin Implementation</i> (From 2-3.5 years) Focus: Experimentation & Growth	Not Started	Beginning/ Early Stage	Making Progress	Ready for Next Phase
Governance and Infrastructure				
1. Leadership and Backbone staff are skilled in strategic visioning and problem-solving				
2. Funding aligns with the CI Initiative’s strategies and supports staff & leadership to fulfill responsibilities				
3. Leadership of the CI reflects multiple sectors and perspectives, including the voice of “lived experience”				
4. The Backbone and Leadership staff are neutral, inclusive and respected by partners and stakeholders				
Comments:				
Strategic Planning				
1. Leadership and Backbone staff are skilled in strategic visioning and problem-solving				
2. The CI Initiative’s action plan identifies the activities that different partners have committed to implementing				
3. Partners & stakeholders are convened periodically to: review data; assess progress; aligned action; &, identify emerging opportunities				
4. Cross-initiative communication is fostered to: build trust; align action; and, sustain shared motivation in the entire CI Initiative				
Comments:				
Community Involvement				
1. Partners have clear approaches/goals for their own contributions to their working group				
2. Partners collaborate within and across working groups to support their common agenda				
3. The broader community is engaged in supporting CI-related activities				
4. A communications strategy is created that continually builds awareness and support for the CI Initiative				
Comments:				
Evaluation and Improvement				
1. The CI Initiative has established structures and processes to support ongoing reflection and learning				
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.				
Comments:				

Self-Assessment Check List - Phase Five: <i>Review and Renew</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</i>				
1. The Steering Committee initiates a review and renewal process for the initiative				
2. Staff supporting this work support the renewal process				
3. A Collaborative Governance agreement and memorandums of understanding are reviewed and renewed				
4. Boards/leadership teams from participating organizations have endorsed – and are actively involved in – the renewal process				
Comments:				
<i>Strategic Planning</i>				
1. CI Partners are kept informed and inspired by the success of the CI Initiative				
2. Steering Committee and Backbone establish relationships with policy-makers				
3. A policy/advocacy agenda has been developed and partner capacity around it is nurtured				
4. A sustainability and renewal plan has been developed for the CI initiative				
Comments:				
<i>Community Involvement</i>				
1. Formal organizations and actors have increased knowledge related to the goals of the CI Initiative				
2. Formal organizations adopt practices prioritized the CI Initiative				
3. The issues championed by the CI Initiative are a priority & receive greater attention from system actors				
4. The public narrative of the CI Initiative’s issue/system reflects messaging that supports the Initiative’s goals				
Comments:				
<i>Evaluation and Improvement</i>				
1. Professional standards are evolving to support the goals of the CI Initiative				
2. The issue(s) championed by the CI Initiative are viewed as a priority & receive attention by system actors				
3. Formal and informal organizational policies have changed because of the CI Initiative’s work				
4. Changes in individual attitudes and/or behaviors or in the 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.
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.

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?
Governance & Infrastructure			
Strategic Planning			
Community Involvement			
Evaluation & Improvement			