



TOOL | CI Five Phases Self-Assessment & Planning

The 5 Phases Self-Assessment and Planning Tool can be used to help your collaborative leadership table take stock of where you are and the progress you have made in advancing your Initiative and consider what is needed to support your work moving forward.

TOOL DESCRIPTION

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 success” needed to effectively sustain a Collective Impact effort: governance & infrastructure; strategic planning; community engagement; and, evaluation & improvement. Within each of these core components, progress can be assessed across the five phases of evolution that are typically seen in Collective Impact efforts.

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.

The graphic above provides you with a holistic snapshot of the five phases. Together, the “Governance & Infrastructure” and “Strategic Planning” elements of success focus on the work needed to design, implement and lead your initiative. The “Community Engagement” 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 focuses on how you intend to assess the progress, outcomes and impact of your work and make adjustments as needed.

TOOL HOW-TO:

- Step 1.** Use the worksheets that follow to explore and consider the best plan for your collaborative leadership table to accelerate your effectiveness and momentum.
- Step 2.** Reflect on your progress and consider the work required within each component to sustain 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.
- Step 3.** Use the work plan templates to build consensus amongst your leaders as to the outcomes you want to achieve and agree upon how progress will be tracked and monitored.

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>Review and Renew</i>
		Pre start-up <i>Focus: Engagement and Exploration</i>	Start up <i>Focus: From Idea to Formation</i>	Growth <i>Focus: Experimentation and Growth</i>	Maturity <i>Focus: Sustain and Renew</i>
		EARLY YEARS Key Question: <i>What needs to happen?</i>		MIDDLE YEARS Key Question: <i>How well is it working?</i>	LATER YEARS Key Question: <i>What difference are we making?</i>
		KEY ELEMENTS			
Design, Implement and Lead your CI Initiative	Governance & Infrastructure How decisions are made and responsibilities shared	Convene Community Stakeholders	Identify champions and form cross-sector group	Formulize infrastructure (backbone, leadership team, and working groups)	Facilitate, refine and renew
	Strategic Planning What are we trying to do and how: our Theory of Change	Hold dialogue about issue, community context and available resources	Map the landscape and use data to make the case (develop implementation plan)	Early implementation of community plan (shared goals and strategy)	Review progress and determine strategies for renewal
Understand Context	Community Involvement Who is involved? Who else's eyes need to be on this issue?	Facilitate community outreach specific to goal	Facilitate community outreach	Engage community and build public will	Continue engagement and address policy change needs
Assess Progress, Outcomes, Impact and Learning	Evaluation and Improvement 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 ID key issues and gaps	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 is to 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 & 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 updated and refined using data and learning from our 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 a 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> (Pre-Start-Up – 12-18 months) Focus: Engagement & Exploration	Not Started	Beginning/ Early Stage	Making Progress	Ready for Next Phase
Governance and Infrastructure				
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:				
Strategic Planning				
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:				
Community Involvement				
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:				
Evaluation and Improvement				
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 & Backbone staff are thought-leaders and ambassadors – 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
Governance and Infrastructure				
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:				
Strategic Planning				
1. Partners have reached consensus on the ultimate goal and have committed to a shared vision for change				
2. Partners 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 & transparent way				
4. Structures and processes have been established to keep partners well informed about the CI effort				
Comments:				
Community Involvement				
1. Members with “lived experience” have helped shape our common agenda				
2. Geographical boundaries and population targets 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 implement				
Comments:				
Evaluation and Improvement				
1. A set of early performance measures & a tracking system 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 & promising practices				
4. Community input & feedback is continually sought and used to inform the CI Initiative in its ongoing work				
Comments:				

Self-Assessment Check List - Phase Three: <i>Organize for Impact</i> (From 2-3 years) Focus: Experimentation & Growth	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 the ultimate goal and have committed to a shared vision for change				
2. Partners are engaged & contributing to a shared action plan that unifies – & 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 & processes are established to keep partners well informed about the CI effort				
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>Implementation</i> (From 2-4 years) Focus: Experimentation and Growth	Not Started	Beginning/ Early Stage	Making Progress	Ready for Next Phase
Governance and Infrastructure				
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:				
Strategic Planning				
1. An implementation blueprint is in place and all partners have agreed to it				
2. Quick wins are identified as progress on the blueprint is made				
3. The Steering Committee begins to document policy shifts around the SC & Working Group tables				
4. A sustainability and renewal is being developed				
Comments:				
Community Involvement				
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:				
Evaluation and Improvement				
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>Review and Renew</i> (From 4 years ++) 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 & 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</i>				
1. CI Partners are kept informed and inspired by the success of the CI Initiative				
2. Steering Committee & 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 is being developed for the CI Initiative				
Comments:				
<i>Community Involvement</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</i>				
1. Professional standards are evolving to support the goals of the CI Initiative				
2. The issue(s) the CI Initiative champions 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 & Infrastructure:			
Strategic Planning:			
Community Involvement:			
Evaluation & Improvement:			