Community Initiatives Program (CIP)
Organizational Development and Collaboration (ODC) Grant

Start-Up Collaboratives Sample Application

This sample application is for information only.

The official application is available in, and submitted through, GATE Front Office.

Checklist

To make sure the application is processed as quickly as possible and to **avoid it being cancelled**, complete, check, and/or and attach the following items, as required, before submitting the application:

☐ The applicant is in good standing under an incorporation body. If unsure of its standing, contact the body through which it is registered.
- Alberta Corporate Registry at 780-427-7013
- Canada Revenue Agency - Charities search at https://apps.cra-arc.gc.ca/ebci/hacc/srch/pub/dsplyBscSrch?request_locale=en

☐ All accounting and reporting requirements for any previous Government of Alberta funding has been completed. Applicants with outstanding Arts, Culture and Status of Women reporting will not be considered for new funding until their outstanding accounting and reporting requirements have been satisfied. If you are unsure if the applicant has any outstanding reporting, contact Community Grants Accounting at CGaccounting@gov.ab.ca.

Mandatory documents to include

☐ Financial statements (audited or unaudited) or Council Resolution belonging to the applicant (the collaborative or its fiscal agent), signed by two individuals with signing authority for the applicant. Financial statements must be for the applicant's **most recent full fiscal year**. At a minimum, financial statements must include:
- Statement of Financial Position (also known as a Balance Sheet)
- Statement of Operations (also known as a Statement of Revenues and Expenses or an Income Statement)

NOTE: A Financial Eligibility Worksheet is included later in this application. If the financial information entered in it will be based on the applicant's **interim financial statement period** (a period of time between the end of its most recent full fiscal year and the time this application is submitted) rather than its most recent full fiscal year, interim financial statements for this time period must also be included **in addition to** the most recent full fiscal year financial statements. As above, these financial statements must include, at a minimum, a Statement of Financial Position and a Statement of Operations.

☐ An agreement or commitment letter certifying that all collaborative partners agree:
- with the contents of this application; and
- to be contacted as part of the program evaluation survey referenced in the Final Reporting Requirements section of the *CIP ODC Grant Program Guidelines*.

The agreement or commitment letter must:
- contain a list of all the collaborative partners;
- be signed by a legal signing authority of each collaborative partner; and
- provide contact information for each collaborative partner, including its:

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- legal signing authority contact's name, position title within the organization, daytime phone number, and email address;
- physical address (street address, municipality, province, and postal code); and
- mailing address, if different from physical address.

☐ Job description of any staff position for which funding is requested.

☐ Quotes or source of estimates for any funding requests related to new costs, such as hiring a new staff member, one-time costs, such as minor equipment purchases that are integral to the operations of the collaborative (must be less than $5,000), and activities/action(s) that will be completed by a contractor or entity from outside of the collaborative. Quotes or source of estimates are not required for ongoing costs such as administration. If unsure whether a quote or source of estimate is required, contact Community Grants.

☐ If the collaborative is formally incorporated, a current list of its board members including name, position, phone number, and email address

☐ Application for Electronic Payment form, located at https://formsmgmt.gov.ab.ca/Public/ADMINSA12554.xdp

☐ Void cheque or pre-printed bank direct deposit form with the same account number as the Application for Electronic Payment form

Additional information that may be included

☐ Letters of support or testimonials that provide support for the collaborative and/or support for its proposed actions to achieve systems-level change.

☐ If you would like to provide additional information related to this application, submit the document along with your application.

Collaborative Information

1. Incorporated (legal name) of collaborative or fiscal agent

2. How is the collaborative or fiscal agent registered?
See the Eligible Registration section of the *CIP Organizational Development and Collaboration Guidelines*.

3. Registration number

4. Registration date

5. If a fiscal agent is applying on behalf of the collaborative, what is the name of the collaborative?

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Collaborative Contact Information

Please note that only the contacts listed below may request specific information about the grant application. Two **different** contacts are required.

Is the legal signing authority also the primary contact for the application? ☐YES ☐ NO

6. Legal signing authority:

a) Name:

b) Position title within the collaborative or fiscal agent:

c) Daytime phone number:

d) Email address:

7. Second contact:

a) Name:

b) Position title within the collaborative or fiscal agent:

c) Daytime phone number:

d) Email address:

8. Collaborative's or fiscal agent's address:

a) Physical address - Include street address, municipality, province, and postal code

b) Mailing address, if different from physical address above - Include street address / PO Box number, municipality, province, and postal code

Current Collaborative Capacity

9. Is the collaborative in a start-up or established phase?

☐ Start-Up **OR** ☐ Established

If Established, see the *Sample Established Collaboratives Application*

10. Which organizations, entities, individuals, etc. make up the collaborative?

11. What is the mission and purpose of the collaborative?

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12. Who does the collaborative serve?

Primary demographic group

Choose the **one** group that best fits:

- ☐ General Public
- ☐ Women
- ☐ Men
- ☐ Seniors
- ☐ Children/Youth
- ☐ Girls
- ☐ Boys
- ☐ 2SLGBTQQIA+
- ☐ Gender Non-binary
- ☐ Persons with Disabilities
- ☐ Indigenous Persons
- ☐ Newcomers
- ☐ Other:

Entities

Choose **all** that apply:

- ☐ Individual community members
- ☐ Professionals (individuals served in their professional roles)
- ☐ Member nonprofits
- ☐ Partner organizations
- ☐ Grassroots groups
- ☐ Community groups
- ☐ Public institutions
  e.g. education, health, libraries, etc.
- ☐ Businesses (when the service directly advances the collaborative's mission)
- ☐ Other:

13. Describe the specific community or sector need(s) the collaborative is responding to and methods used to identify the need(s) in the community or sector.

14. To what extent does the collaborative have the following governance elements in place?

	Not at all	To a small extent	To a moderate extent	To a great extent	Completely
Shared purpose or vision	☐	☐	☐	☐	☐
Defined partner roles and responsibilities	☐	☐	☐	☐	☐
Partnership agreements	☐	☐	☐	☐	☐
Decision-making processes	☐	☐	☐	☐	☐
Communication protocols	☐	☐	☐	☐	☐
Workplan for joint activities	☐	☐	☐	☐	☐
Expected outcomes of a joint project or initiative	☐	☐	☐	☐	☐
Framework for joint project or initiative evaluation	☐	☐	☐	☐	☐
Joint data collection to monitor collaborative's performance, using shared indicators and/or data collection tools	☐	☐	☐	☐	☐

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Outcomes

As described in the Outcomes section of the *CIP Organizational Development and Collaboration Grant Guidelines* and in the *Resource Document for Collaboratives*, grant recipients will be expected to meet **at least one** of the program's outcomes listed below.

All collaboratives must meet the outcome:

☒ **Collaboratives help ensure that communities or sectors have information, resources, or supports to address their needs/issues.**

Additional outcomes below may also be selected, with no limit on the number of outcomes supported.

Applications will be evaluated, in part, on demonstration of alignment with the chosen outcome(s) and associated evaluation criteria.

Recipients will be required to report on the outcome(s) achieved at the end of the grant period.

15. Does the collaborative currently have a system in place to track the data needed to report on outcome achievement?

☐YES ☐ NO

If yes, what is the system?

How does the collaborative intend to implement or improve its data tracking system to monitor and evaluate the outcome achievement?

16. Check any additional outcome(s) the collaborative plans to meet.

☐ Collaboratives strengthen their capacity to respond to sector or community needs.

☐ Collaboratives are well defined with joint action towards an identified goal.

☐ Collaboratives use shared evaluation approaches and data to inform joint implementation plans to address needs/issues.

☐ Collaboratives are prepared to address both internal and external emergent challenges.

☐ Collaboratives increase employment and volunteer opportunities.

17. Answer the following questions related to the required outcome, "**Collaboratives help ensure that communities or sectors have information, resources, or supports to address their needs/issues**."

a) Does the collaborative intend to create new resources, supports, or services and/or strengthen the existing ones?

☐YES ☐ NO

If yes, elaborate.

b) Will the collaborative increase the number of organizations or people who access its resources, supports, or services?

☐YES ☐ NO

If yes, describe how and estimate the expected increase, if possible.

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18. If you selected outcome, "**Collaboratives strengthen their capacity to respond to sector or community needs,**" complete the ***Capacity Assessment Tool*** located at the end of this sample application (pages 12-16) and answer the following questions:

a) Which capacity area(s) will be improved as a result the action plan outlined in this application? Check all capacity areas that apply and provide the total score out of 15 from the assessment tool.

☐ Strategic Leadership Capacity Score: ____/15

☐ Adaptive Capacity Score: ____/15

☐ Management Capacity Score: ____/15

☐ Operational Capacity Score: ____/15

b) How does the collaborative anticipate the action plan will contribute to its capacity to respond to sector or community needs?

c) What measures does the collaborative intend to take to ensure the capacity-development benefits gained through the action plan are sustained after the grant term?

19. If you selected outcome, "**Collaboratives are well defined with joint action towards an identified goal**," answer the following questions:

a) How will the collaborative strengthen its governance, including such aspects as clear roles and responsibilities for all partners, shared purpose and defined outcomes of joint initiatives, joint workplans, performance monitoring and evaluation, communication decision-making?

b) How will the collaborative ensure reasonable participation of all partner organizations (including sharing resources and giving all partners a fair role in the activities and decision-making)?

c) How does the collaborative intend to retain the learnings from the proposed actions?

i) Will knowledge be shared amongst collaborative partners?

☐YES ☐ NO

If no, why not?

ii) Will the learnings be shared outside of the collaborative?

☐YES ☐ NO

If yes, how will the learnings be shared outside of the collaborative?

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d) Is there a lead organization in the collaborative?

☐YES ☐ NO

If yes, how will the collaborative's lead organization coordinate the joint work and support all partners?

20. If you selected outcome, "**Collaboratives use shared evaluation approaches and data to inform joint implementation plans to address needs/issues**," answer the following question:

Does the collaborative plan to improve its shared evaluation practices, joint data collection and sharing, and/or using data for implementation?

☐YES ☐ NO

If yes, how?

21. If you selected outcome, "**Collaboratives are prepared to address both internal and external emergent challenges**," answer the following question:

What steps does the collaborative intend to take to prepare for unexpected or emerging challenges?

22. If you selected outcome, "**Collaboratives increase employment and volunteer opportunities**," answer the following questions:

a) How many new staff members does the collaborative intend to employ as a result of this grant? If it does not intend to increase staff, indicate zero (0).

Full-time:

Part-time:

Temporary:

b) How many new volunteers does the collaborative intend to engage as a result of this grant? If it does not intend to increase volunteers, indicate zero (0).

Full-time:

Part-time:

Temporary:

c) How many additional volunteer hours does the collaborative anticipate will be contributed as a result of this grant? If it does not intend to increase volunteer hours, indicate zero (0).

Hours:

d) If applicable, describe how this grant is expected to help in retaining staff, board members, or volunteers. If not applicable, enter N/A.

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23. In addition to the outcomes listed above, does the collaborative aim to achieve any other outcomes specific to the funded costs and/or activities?

☐YES ☐ NO

If yes, for each additional outcome, list:

- Outcome statement:
- Indicator/measure:
- Data source:
- Current baseline data for the indicator:

Financial Criteria Requirements

Financial Eligibility Worksheet tips

- Per the Financial Criteria Requirements section of the *CIP Organizational Development and Collaborative Funding Guidelines*, the eligible funding request is calculated based on the eligible matching revenue listed in the collaborative or fiscal agent's financial statements and the expenses in the proposed budget.
  - The maximum funding request cannot exceed 50% of the collaborative or fiscal agent's eligible revenue, up to $100,000, as calculated in the Financial Eligibility Worksheet, or the total budget cost, whichever is lower.
- Funding eligibility is based on either the most recent complete fiscal year **OR** the interim financial statement period.
  - Applicants that meet financial criteria requirements in the most recent complete fiscal year do **not** also need to enter revenue for the interim financial statement period in the Interim Financial Statement column of the worksheet.
- Enter information in the non-coloured areas of the chart.
  - Volunteer Hours will automatically calculate at $20 per hour.
- Do NOT include Government of Alberta support of the collaborative, which is not an eligible matching revenue source.
- Do NOT include anticipated or projected revenue, support, or volunteer hours.
- Only actual results up to the application deadline can be used, verifiable by financial statement and/or explanation.
- Clarification of Donated or Non-Cash Services for amounts over $1,000 must be provided on the worksheet or explained within the application. If necessary, you may provide the explanation in an additional document submitted along with the application.

Contact Community Grants at 1-800-642-3855 or CommunityGrants@gov.ab.ca if you require assistance determining the collaborative or fiscal agent's financial eligibility.

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Financial Eligibility Worksheet

Date of Financial Statements:	Most Recent Complete Fiscal Year	OR	Interim Financial Statement

A. Eligible CASH Fundraising Revenue from the revenue section of Financial Statements

***DO NOT** include program, membership, fee for service, interest, or Government of Alberta-based revenue.*

Examples:

Community/Family/Private Foundation grants		
United Way grants		
Casino/bingo revenue		
Corporate Donations		
Private Donations		
Fundraising events		
Facility rental		
Other revenue (list below):		
Total Eligible Cash Fundraising Revenue	**$0**	**$0**

B. Donated or Non-Cash Services

***DO NOT** include Government of Alberta-based donated or non-cash services.*

Examples:

Capital donation (e.g. chair, computer, lease)		
Accounting/administrative services		
Photocopying		
Rent		
Other (list below):		
Total Value Donated & Non-Cash Services	**$0**	**$0**

C. Volunteer Hours

Examples:

	#	*Flat rate of $20/hr*	#	*Flat rate of $20/hr*
Board meetings		$0		$0
Committee/event/planning meetings		$0		$0
Fundraising: casino/bingo/events		$0		$0
Administrative work		$0		$0
Facility maintenance		$0		$0
Program delivery		$0		$0
Other (list below):				
		$0		$0
		$0		$0
Total Value of Volunteer Hours	**0**	**$0**	**0**	**$0**

Total Financial Eligibility (Sum of A + B + C)	**$0**	**$0**

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24. If the collaborative has a current cash surplus, cash reserves, or unrestricted cash assets, explain how the collaborative plans to use these funds.

25. If the collaborative has a current or accumulated deficit, explain how the deficit was acquired and the plan for reducing or eliminating it.

26. What are the current funding sources for the collaborative?

- ☐ own revenue
- ☐ social enterprise
- ☐ individual donors
- ☐ corporate sponsorships
- ☐ foundations
- ☐ government grants - if the collaborative, as a separate entity, received government funding in its last fiscal year, how much did it receive from:

  a) The Government of Alberta? Along with the amount, indicate the government ministry/department, funding program, and if it is ongoing or one-time funding.

  b) The Government of Canada? Along with the amount, indicate the government ministry/department, the funding program, and if it is ongoing or one-time funding.

  c) The municipal government(s)? Along with the amount, indicate the government department, the funding program, and if it is ongoing or one-time funding.

- ☐ other (specify):

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Proposed Actions and Costs

27. What are the challenges or opportunities currently facing the collaborative and how will this grant help, if approved?

Enter information in the budget below on action(s) the collaborative intends to complete with the support of grant funds and costs that grant funding will support. Refer to the *Resource Document for Collaboratives* for examples of eligible action plans and costs. The collaborative has **up to 24 months** to spend the funds on the action plan.

The maximum funding request cannot exceed 50% of the organization's eligible revenue, up to $100,000, as calculated in the Financial Eligibility Worksheet, **or** the total budget, **whichever is lower**.

Provide **quotes** or **source of estimates** for any funding requests related to new costs (e.g. hiring a new staff member), one-time costs that are integral to the operations of the collaborative (e.g. minor equipment purchase less than $5,000), or actions that will be completed by a contractor or entity from outside of the collaborative. Quotes or source of estimates are not required for ongoing costs such as administration expenses. Contact Community Grants if you are unsure whether a quote or source of estimate is required for a particular action or cost.

If requesting funding for staffing, include a job description for each position for which funding is requested and rationale for the position.

Proposed Budget		
Proposed action(s) and/or cost(s)	**Who will complete the action (not required for ongoing costs)**	**Amount ($)**
		$
		$
		$
		$
		$
		$
		$

28. How will the proposed funding request create change for the community or sector?

29. Will the proposed funding request create change within the collaborative?

☐YES ☐ NO

If yes, how?

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Organizational Development and Collaboration Capacity Assessment Tool

If you selected outcome, "**Collaboratives strengthen their capacity to respond to sector or community needs,**" complete this Capacity Assessment Tool to answer question 18.

Purpose and Context

This assessment tool will enable applicants to engage in a self-reflective process, identify capacity strengths and weaknesses, and develop a concrete action plan to strengthen their collaborative.

Through this assessment, collaboratives will rate themselves on a variety of capacity elements organized into four sections:

- **Strategic Leadership Capacity**: The ability of the organization's leaders to inspire, prioritize, provide direction, and innovate.
- **Adaptive Capacity**: The ability of the organization to monitor, assess, and respond to internal and external change to improve its performance, relevance, and impact.
- **Management Capacity**: The ability of the organization to ensure the effective and efficient use of organizational resources.
- **Operational Capacity**: The ability of the organization to implement key organizational and programmatic functions.

Collaboratives are strongly encouraged to critically reflect on and honestly score themselves against the capacity indicators in the assessment tool. The purpose of the assessment is to help applicants identify opportunities to strengthen their collaborative and to set priorities for capacity development.

NOTE: Assessment responses will not impact funding decisions.

Instructions

Step 1: Complete the Assessment Tool

- For each capacity element, identify the description that best describes the collaborative's current status or performance.
- If indicators from more than one description apply, select the description that is most closely aligns with the collaborative's overall status and record the associated score (Basic = 1, Moderate = 2, Robust = 3) in the right-hand scoring column.
- If there is strong alignment with two descriptions and a single score cannot be determined, half scores (e.g., 1.5; 2.5) may be used.
- Collaboratives are encouraged to seek input from board members, management, staff, and volunteers when completing the assessment.
- Community Grants staff are available to answer questions regarding this assessment tool. For assistance, contact CommunityGrants@gov.ab.ca or 1-800-642-3855.

Step 2: Identify Capacity Development Priorities

- Once the assessment has been completed for all four capacity areas, review the capacity elements that were scored "Basic (1)" or "Moderate (2)" and determine which capacity elements the collaborative would like to focus on developing in the next two years.
- Prioritize **one to three** capacity elements for development.

Step 3: Complete the related questions in the Grant application.

- After selecting one to three capacity elements, complete question 18 in the Outcomes section of this application.
- Use the indicators from this assessment tool to identify strategies for building capacity.

Strategic Leadership Capacity: The ability of the collaborative's leaders to inspire, prioritize, provide direction, and innovate.

Capacity Element	Level 1 – Basic	Level 2 – Moderate	Level 3 – Robust	Score (1 - 3)
Mission and Vision.	• There is informal expression of the collaborative's reason for existence and some understanding of what the collaborative wants to achieve in the future. • A clear direction and purpose lacks broad agreement or is rarely referred to. • Participants are unclear about how the collaborative's purpose aligns with other community efforts.	• There is a clear, written expression of collaborative's reason for existence (Mission) and what the collaborative wants to achieve in the future (Vision). • Mission and Vision are occasionally referred to. • Mission and Vision may overlap with other community and agency initiatives.	Mission and Vision are: • Clear, specific, and compelling for diverse stakeholders. • Regularly reviewed and updated. • Frequently referred to and used to inform decision-making and set priorities. • Unique and not duplicating the purpose of other agencies in the community.	
Overarching goals and performance targets.	• There are goals in place for some areas of the collaborative. • Some performance targets are in place, but focus is on outputs (e.g. participant numbers). • Collaborative participants may not consistently know about or adopt performance targets.	• The collaborative mostly focuses on achieving short-term goals. • Strategies have been developed to implement goals. • Performance targets are in place for all goals. • Key leaders adopt and work towards performance targets.	• Goals are long-term, outcome-based, and tightly linked to Mission and Vision. • There are clear annual milestones set for each goal. • There is a set of challenging outcome-based performance targets for goals and other areas. • Collaborative participants consistently adopt and work towards performance targets.	
Participant composition and engagement.	• The collaborative experiences regular turnover of participants and some difficulty recruiting. • Many participants relevant to the collaborative's work are missing. • Key participants have not identified how long they will remain committed. • Roles and responsibilities of collaborative participants may be unclear. • Collaborative participants may not consistently attend meetings.	• The collaborative has participants from a few types of relevant agencies and diverse sectors. • Key stakeholders are committed to the work for at least the early phase of the work (one to two years) or commitment to the work is still being built. • Regular, well-planned, and well-attended meetings are held and documented. • Collaborative participants have strong understanding of roles and responsibilities, supported by job descriptions.	• Individuals and organizations that are critical to the success of the collaborative's initiatives are actively engaged. • Key participants are committed to the collaborative for the long term (three to five plus years). • Collaborative participants have clear roles and consistently engage in the collaborative's activities and decision making. • There is trust amongst collaborative partners to engage in open and honest dialogue and address conflict.	
Ability to motivate and mobilize stakeholders to address community priorities.	• The collaborative has the ability to motivate a small group of community members into action. • The boundaries of the collaborative's work are not clearly defined. • The collaborative's work generally promotes short-term outcomes rather than long-term. • No defined strategy exists for involving community or stakeholders in the collaborative's assessment, planning, or initiatives.	• The collaborative regularly orientates community, leaders, and stakeholders about its activities. • The collaborative has somewhat defined its boundaries; the boundaries may represent a subset of the community. • The collaborative has a broad understanding of the need and methods to organize groups to address community issues and problems. • The collaborative sometimes involves community members and stakeholders in its planning and decision-making processes.	• The collaborative takes a lead role to build connections with and amongst a broad range of community members to share best practices and address community priorities. • The collaborative is focused on moving the entire community or region forward. • The collaborative has a strategy for organizing community groups to create long-term change. • The collaborative actively engages community and stakeholders in its planning, initiatives, and evaluation processes. • Meetings are held regularly with stakeholders and are routinely well-planned and attended.	
Community presence and partnerships.	• The collaborative primarily builds relationships with agencies in its field of practice. • Those who are most likely to be affected by the collaborative's work have some knowledge of the collaborative.	• The collaborative is known by diverse stakeholders in and beyond its direct community. • The collaborative has built relationships with a few types of key, relevant agencies (e.g. for-profit, nonprofit, public sector).	• The collaborative is seen as a key player in its field of practice beyond its direct community. • The collaborative has strong relationships with a wide variety of relevant stakeholders (e.g. local, provincial, and federal government; for-profit; other nonprofits; and community agencies).	
			Total Score (out of 15):	

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Adaptive Capacity: The ability of the collaborative to monitor, assess, and respond to internal and external change to improve its performance, relevance, and impact.

Capacity Element	Level 1 – Basic	Level 2 – Moderate	Level 3 – Robust	Score (1 – 3)
Assessment of and response to the external environment, including community needs.	• The collaborative's collection of information about the external environment and community needs is inconsistent and informal. • The collaborative has a few conversations with limited stakeholders to learn about community needs. • The collaborative considers information about the external environment in formal planning processes; the direct impact of the information may be unclear.	• The collaborative occasionally seeks out information about community needs, opportunities, and challenges. • The collaborative engages several diverse stakeholders in conversations about community needs. • The collaborative makes some changes to its planning and work in response to the external environment and community needs.	• There are robust processes in place to regularly assess community needs, external opportunities and threats, and alternative models. • The collaborative regularly engages numerous stakeholders about changing community needs. • Information that is collected and analysed is used to support and improve planning efforts and initiatives.	
Strategic planning approach and implementation.	• The collaborative has a basic strategic plan. • The strategic plan is not based on an environmental assessment or research on client needs. • The strategic plan roughly directs management decisions.	• A comprehensive multi-year strategic plan is in place and is regularly reviewed. • The strategic plan includes realistic goals and priorities, measurable objectives, and clear strategies. • The strategic plan is developed based on a review of the collaborative's strengths and weaknesses, the external environment, and community needs.	• The comprehensive, multi-year strategic plan is developed based on data, external expertise, and stakeholder input. • There are clear resource needs and corresponding budget to support the strategic plan. • The strategic plan is used extensively to guide management decisions. • The collaborative continuously monitors the environment and strategically responds to emerging opportunities and challenges.	
Use of research and data to support operations, approaches, and advocacy.	• The collaborative is familiar with one or two sources of information especially relevant to its work. • The collaborative uses basic data from internal or external sources to support significant proposals and major advocacy. • Some individuals in the collaborative have the ability to read research reports and evaluate quality of data, but data is not relied upon as part of regular decision-making.	• The collaborative is familiar with many useful, credible information sources. • The use of data is part of the collaborative's regular work and decision making, but secondary to some other aspects. • The collaborative has individuals with research and data skills, although they may not spend much time in this role. • The collaborative is able to make assessments about the implications of research and data findings on the collaborative and its community.	• The collaborative has a plan for both using and developing practical data and information. • The collaborative has researched similar efforts outside of its community to identify effective strategies or approaches that it can adopt. • The collaborative has dedicated individuals to research data, trends, events, and changes that occur in its field of practice and community. • Relevant data is used to support most decisions, work initiatives, proposals, and advocacy. • Important questions are answered through research.	
Evaluation and learning.	• The collaborative devotes some resources to evaluation efforts, as required by funders; however, participants do not typically see evaluation as integral to the collaborative's work. • Evaluative data is occasionally used to improve the collaborative and its work.	• There are some processes in place to support ongoing evaluation and identify the collaborative's strengths and weaknesses. • Evaluation practices are focused on outputs. • Learnings from evaluations are often used by to make adjustments and improvements.	• Comprehensive processes and practices are in place for ongoing, regular evaluation. • Evaluation practices examine outputs, outcomes, and processes. • The collaborative routinely makes adjustments and improvements based on evaluation results.	
Sustainability.	• The collaborative is highly dependent on one or two key participants. • The collaborative may not exist without these one or two participants or would be in a different form.	• The collaborative is dependent on one or two key participants in some areas, such as stakeholder relationships and financial management. • Some areas, such as financial management, may suffer if the key participants leave, but the collaborative will remain in place. • The collaborative does not have a succession plan in place.	• The collaborative is reliant, but not dependent on a few key participants. • A succession plan is in place for all critical leadership positions. • Individuals are being mentored for leadership positions. • If key participants leave, the collaborative would continue to function smoothly.	
			Total Score (out of 15):	

SAMPLE

Management Capacity: The ability of the collaborative to ensure the effective and efficient use of organizational resources

Capacity Element	Level 1 – Basic	Level 2 – Moderate	Level 3 – Robust	Score (1 - 3)
Organizational policies, processes, and structures.	• The collaborative does not have formal structures, processes, or systems in place to guide its work. • There are informal and unwritten processes for decision-making, planning, and operations. • There is limited monitoring of processes.	• There is a formal document in place (e.g. charter, memorandum of understanding) that clearly documents the collaborative's purpose and structures. • There are some structures and processes in place to guide the collaborative's work. • The collaborative has some policies and procedures in place, as well as formal processes, for decision making and implementing actions. • Processes are occasionally reviewed to identify possible improvements.	• There are documented structures, processes, and systems in place to support the collaborative's work. • Policies and procedures are well known, adhered to, and regularly updated. • Risk assessments and contingency plans are in place. • Roles, lines of communication, accountability, and coordination are documented and clear throughout the collaborative. • Processes are in place to quickly identify and respond to problems and opportunities.	
Fund development and planning.	• The collaborative has a somewhat diversified funding base, but is reliant on restricted income. • Most of the collaborative's revenue is one-time sources (e.g. donations); there are no financial commitments to support its ongoing work. • A fund development strategy is not documented. Loss of a funding source would likely impact the collaborative.	• The collaborative has secured funding from multiple funding sources. • The collaborative has short-term financial commitments from funders. • The collaborative has estimates of its fund development needs for the next few years. • The collaborative outlines and works toward fund development goals.	• The collaborative has highly diversified funding sources. • The collaborative has long-term financial commitments to support its work. • The collaborative has a clear sense of its fund development needs for the next few years. • The collaborative has enough reserves in place to run for six months without any additional funding.	
Financial budgeting and reporting.	• The collaborative has an annual budget that accurately reflects the collaborative's needs. • Financial activities are consistently documented, filed, and reported. • There are appropriate checks and balances in place. • Activities are tracked to the budget. • The collaborative has dedicated individuals to prepare financial statements.	• The collaborative consistently meets reporting requirements and deadlines. • The collaborative has established internal controls that govern all financial operations. • There is ongoing attention paid to cash flow management. • The collaborative regularly reports its financial situation to stakeholders.	• The collaborative has a full, realistic, multi-year budget that aligns with the strategic plan and is regularly reviewed. • The budget is updated to respond to operational needs, donor requirements, and the current environment. • The collaborative has robust systems and controls in place to govern all financial operations. • Cash flow is actively managed.	
Human Resource management and relationships.	• Participants are unsure about the time, resources, and capacity needed to smoothly run the collaborative. Collaborative partners may not know each other well, including the resources and skills that each individual or organization brings to the collaborative.	• Participants have begun to identify the capacities that are needed to run the collaborative. • Participants are familiar with each other, including their skills and resources. • Leadership opportunities are shared and there are opportunities for participants to develop their leadership skills. • Relevant, up-to-date job descriptions exist for each position in the collaborative.	• There is a clear sense of time, resources, and capacity needed to effectively run the collaborative. • Collaborative participants know and respect each other's roles and expertise. • New participants of the collaborative consistently receive a comprehensive orientation. • Procedures are in place to identify who will take the lead role in certain initiatives and functions. • Participants are held accountable for their work.	
Volunteer management.	• The collaborative generally recruits volunteers on an ad-hoc basis. • The collaborative provides basic training to volunteers, generally on an ad-hoc basis, and is not consistent. • There is no policy in place for volunteer management. There are some job descriptions in place for volunteers.	• The collaborative actively recruits volunteers on a regular basis. • Volunteer roles involve a range of tasks, time commitments, and skill levels. • Written job descriptions are in place for most common volunteer positions. • Volunteer orientations and trainings take place upon recruitment. • The collaborative provides regular, consistent supervision and feedback for volunteers.	• The collaborative has a comprehensive volunteer policy is in place that includes guidance on selection, supervision, and support. • Written job descriptions are in place for all volunteer positions. • Robust volunteer management systems are in place to track and manage volunteers. • Volunteer orientations and trainings take place on a regular basis and volunteers are able to build their skills and abilities through their volunteer roles.	
			Total Score (out of 15):	

SAMPLE

Classification: Public

Operational Capacity: The ability of the collaborative to implement key organizational and programmatic functions

Capacity Element	Level 1 – Basic	Level 2 – Moderate	Level 3 – Robust	Score (1 – 3)
Communications and outreach.	• Many stakeholders and potential clients do not know the collaborative exists or know limited details about its initiatives. • The collaborative communicates with stakeholders through one or two methods (e.g. newsletter, website). • A loose collection of materials is used for marketing, but they are not regularly updated and display a minimal degree of professionalism.	• The collaborative has strong brand awareness and is easy for diverse stakeholders and to find. • Marketing materials are used consistently and are updated on a regular basis. • Communication materials are professional in presentation and aligned with an established brand.	• The collaborative has a strategy to increase its reach and awareness. • The collaborative uses multiple methods to regularly communicate with diverse community members and stakeholders. • A process exists for testing and revising marketing materials and messages to ensure they are relevant and appeal to a variety of stakeholders.	
Technological infrastructure and resources.	• The collaborative has minimal technological infrastructure and most processes are manual. • Electronic databases, information, and reporting systems exist in a few areas. • Technological systems are awkward to use, or are used only occasionally by certain individuals.	• The collaborative has some electronic systems, processes, and tools for key areas such as information management. • Most participants of the collaborative have the skill set to access and use basic features of technical infrastructure. • Technical infrastructure is commonly used by many individuals and helps increase information sharing and efficiency.	• A comprehensive electronic database and reporting system exists for tracking data and information. • Electronic systems, tools, and resources are widely used and essential in information tracking, sharing, and efficiency. • Technological infrastructure supports the collaborative's work. • Individuals throughout the collaborative have the skills to effectively use technical infrastructure.	
Online presence (e.g., website and social media).	• The collaborative has a basic website containing general information about itself and its work. • Website maintenance is perceived as burden and performed only occasionally. • The collaborative lacks the skill-set and resources to properly manage an online presence.	• The collaborative has some online presence, but does not regularly engage with stakeholders online. • The collaborative has a comprehensive website containing basic information about the collaborative, its programs, and services. • The collaborative has a dedicated individual(s) to maintain its website and other social media presence.	• The collaborative has a strong online presence with regular activity on relevant social media platforms. • The collaborative regularly engages with a variety of stakeholders online. • The collaborative has an interactive website that is regularly maintained and kept up to date. • The website is praised for its user-friendliness and depth of information, including links to related collaboratives and useful resources on topics addressed by the collaborative.	
Performance management, analysis, and adjustments.	• A basic performance measurement and evaluation process is in place for some areas of the collaborative. • There is no system for regularly collecting, analyzing, or reporting data.	• A collaborative wide performance measurement and evaluation process is in place. • Evaluation methods include process and outcome indicators. • Evaluation results and lessons learned are shared throughout the collaborative and are used for adjusting its work, planning, and determining progress towards achieving targets.	• The collaborative regularly reviews its data quality. • Data the collaborative generates is benchmarked against external targets. • Data and lessons learned are regularly shared with external stakeholders, including the community. • The collaborative has a systematic practice of making improvements based on evaluation results.	
Development and continuous improvement of relevant programs and services.	• There is limited or infrequent assessment of gaps between community needs and the collaborative's work. • Initiatives may be somewhat scattered and not fully integrated into a clear strategy. • Initiatives are primarily developed based on the expertise of the collaborative participants.	• Initiatives are well-defined and aligned with Mission and Vision. • Initiatives fit together well as part of a clear strategy. • Initiatives are modified in response to community needs. • The collaborative is able to scale up or replicate initiatives. • The collaborative considers existing external strategies and best practices while designing initiatives.	• The collaborative continually assesses gaps between community needs and the programs and services offered by the collaborative. • Adjustments to initiatives are routinely made based on assessment, best practices, and stakeholder input. • The collaborative has the ability to effectively create new, innovative initiatives to better serve the community.	
			Total Score (out of 15):	

SAMPLE

Classification: Public