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INTRODUCTION

This literature review is being conducted to inform a large-scale community initiative, titled *Toward Common Ground (TCG).* TCG is supporting key organizations and collaborations to work together more intentionally and strategically to understand, address, and strengthen their ability for meaningful impact in the areas of poverty, mental health and addictions, housing and homelessness, and the needs of children and new immigrants across Guelph and Wellington. This literature review will inform two larger goals of the initiative:

1. The development of a common language and framework, and a sustainable model to support planning and action in the social and health services sector in Guelph and Wellington.
2. An evaluation of TCG's impact for participating organizations and community collaborations.

The goal of the literature review is, therefore, to guide:

1. An effective community collaborative change process.
2. The development of a collective planning model for Guelph and Wellington.
3. The implementation of an evaluation that will allow partners to understand, capture, and measure the impact of TCG.

This review includes an overview of existing models/frameworks of collaboration and comprehensive community initiatives. Specifically, it begins with an overview on collaboration and community change and follows with literature on: (a) conditions for successful collaboration and community change, (b) barriers and challenges of collaboration and community change, (c) outcomes and evaluation of collaboration and community change, (d) ways of effecting both organizational and community change, and (e) existing models of community change. This review builds on two previous reports from the Research Shop, which also explored models and conditions for community collaboration (Darisi, Chuong, Strohm, & de Guzman, 2011; Robson, 2012).

OVERVIEW OF COLLABORATION AND COMMUNITY CHANGE

Many individuals, organizations, and networks in both the for-profit and not-for-profit sectors have turned to collaboration in order to enhance their effectiveness and better address complex social issues. Broadly speaking, *collaboration* is "a process in which autonomous or semi-autonomous actors interact through formal and informal negotiation, jointly creating rules and structures governing their relationships and ways to act or decide on issues that brought them together; it is a process involving shared norms and mutually beneficial interactions" (Thomson, Perry, & Miller, 2007, p. 25). Although collaborations can exist between individuals, this report focuses on those that exist between organizations striving to achieve a shared goal. Table 1 outlines various terms and definitions of collaborative entities. This is not an exhaustive or mutually exclusive list, but rather is meant to give a sense of the types of collaboration most relevant and useful to *Toward Common Ground*.

Table 1: Definitions of Various Types of Collaborations

Term	Definition
Comprehensive Community Initiatives	"Facilitate the engagement of diverse sectors to work collaboratively over the long term in order to tackle a wide range of interrelated issues. They encourage partnering and collaborative work, including alliances among disciplines, sectors, and community members that impact whole systems to effect neighborhood and city-wide change processes, often undertaking whole community or inter-sectoral strategic planning" (Roberts & O'Connor, n.d., p. 219).
Multi-stakeholder networks/ initiatives	"A web of groups, organisations and/or individuals who come together to address a complex and shared cross-boundary problem, issue or opportunity" (Svendsen & Laberge, 2005, p. 92).
Inter-organizational/ agency	"A group of autonomous stakeholders of a problem domain [that] engage in an interactive process, using shared rules, norms, and structures, to act or decide to act on issues related to that domain" (Wood & Gray, 1991, p. 146;

Term	Definition
collaborations	London, 2012; Horwath & Morrison 2007).
(Community) Networks/ Coalitions	"Loosely structured alliances among groups, organizations, and citizens that share a commitment to a particular issue or place" (London, 2012, p. 77). Typically assess multiple determinants of health and use "multilayered strategies through various channels …aimed at several target populations" (Zakocs & Edwards, 2006, p. 351).
Integrated system of services	"A broad system or sector-level scheme attempting to develop an efficient, equitable and seamless system of care involving all services in a large geographical region for a broad population of clients…This is done by planning and establishing linkages among various administrative and service delivery functions and activities" (King & Meyer, 2006, p. 479).
Interdisciplinary collaborations	"An interpersonal process through which members of different disciplines contribute to a common product or goal" (Berg-Weger & Schneider, 1998, p. 698).
Public-private partnerships	"Alliances between otherwise independent organizations that span both the public and the private sectors" (London, 2012, p. 77).
Coworking	"Working in shared office spaces using economies of scale to give tenants access to amenities and facilities they otherwise would not be able to afford. Coworking spaces connect diverse organizations and individuals, giving them the chance to collaborate, share knowledge, and develop systemic solutions to the issues they are trying to address" (Surman, 2013, p. 189).

Note. As explained on page 6, I believe that the concept of "Comprehensive Community Initiatives" is most relevant to the work of TCG.

Many authors have argued that service collaboration is best understood as a continuum ranging from low to high levels of integration among agencies (Konrad, 1996; Roberts & O'Connor, n.d.; Ryan & Robinson, 2005; Vanderwoerd, 1993, 1996; Walter & Petr, 2000). While there are minor differences in these authors' frameworks, Figure 1 outlines the generally agreed upon domains in the continuum.

Figure 1: Continuum of Agency Integration

Collaboration can, therefore, be distinguished from other forms of cooperation in that it involves a shared, collectively-defined vision and responsibility for achieving outcomes, and equal distribution of leadership among members (Hogan & Murphy, 2002; London, 2012; Thomson et al., 2007). Unlike integration, collaboration by definition includes partners who maintain their own identities and organizational independence outside of the collaboration (e.g., Chen, 2008; Thomson et al., 2007).

London (2012) suggests that collaboration may be particularly effective when:

1. The issues being addressed are complex, uncertain, and ill-defined;
2. Efforts to address the issues have been unsuccessful; and
3. Stakeholders differ with respect to power, resources, expertise, access to information, and perspectives on the issues, and/or depend on one another in some way.

COMPREHENSIVE COMMUNITY INITIATIVES

Comprehensive community initiatives (also called complex place-based/community change efforts), as defined in Table 1, are efforts to improve community outcomes through collaboration and are a major focus of this report. I have chosen to use the term "comprehensive community initiatives" (CCIs) throughout this report for consistency and because it seems to best reflect the work of Toward Common Ground. However, it should be noted that the report pulls from different key theories and models that do not necessarily use this language.

CCIs seek to work comprehensively across geographical, social, and economic areas and across individual and systemic levels to build community and to address complex community issues (Auspos & Cabaj, 2014; Kubisch, Auspos, Brown, & Dewar, 2010). Like collaboration more generally, these types of coordinated responses may be less appropriate for more targeted and rapid impact (e.g., London, 2012; Meister, 2006).

Duan-Barnet, Wangelin, and Lamm (2012) suggest that there are four classes of community change models that differ along three dimensions (i.e., nature of the problem, level at which change is expected, coordinator of change; see Table 2). These four classes include:

1. Linear Transformation Models
   - Collaboration among small set of partners that attempts to break down complex issues into parts and short/long-term program impacts.
   - Focuses on linear relationship from resources→ activities→ outputs→ outcomes.
   - Activities initiated by the partner with knowledge and expertise (Strickland, 2009).
2. Layering
   - Vertical alignment of activities and funding by linking local change agents with leaders higher up. Vertical alignment refers to aligning and coordinating efforts and resources with higher-level partners and working to make improvements at multiple levels (e.g., individual, community, and policy; Auspos & Cabaj, 2014; Duan-Barnet et al., 2012).
   - Issues and activities become part of larger collective agenda and agendas of separate partners to maximize potential impact (Kremers, 2011).
3. Collective Impact Model
   - Horizontal alignment of activities and funding across the leadership of relevant partners. Horizontal alignment refers to integrating, capacity building, and developing a shared agenda with collective partners *across* programs, organizations, and systems (Auspos & Cabaj, 2014; Duan-Barnet et al., 2012).
   - Partners who sustain communication establish common definition of issue, agenda, and solutions, and engage in mutually reinforcing activities (Hanleybrown, Kania, & Kramer, 2012; Kania & Kramer, 2011).
4. Multi-Dimensional Model

- Both horizontal and vertical alignment of activities and resources whereby all levels (from individual to state or national) connect and influence one another's activities and community partners come together to establish a common agenda and sustained communication (Duan-Barnet, Wangelin, & Lamm, 2012).

Table 2: Classes of Community Change Models

	Nature of Problem	Level of Change	Coordinator of Change
Linear Transformation Models	Simple or complicated with specific focus	Local level	Partner organizations
Layering	Complex	Multiple levels (e.g., individual, community, policy)	Community foundation(s) in collaboration with partners
Collective-Impact Model	Complex	Local level	Backbone organization with guidance and support from community organizations
Multi-Dimensional Model	Complex	Multiple levels (e.g., individual, community, policy)	Community foundation(s) in collaboration with partners and steering committee

Note. This table is adapted from Duan-Barnet, Wangelin, and Lamm (2012).

Specific models of community change found in the literature will be outlined later in this report, in the Models of Community Change section beginning on page 37.

THE IMPORTANCE OF COLLABORATION FOR COMMUNITY CHANGE

The importance of collaboration to community change has been widely theorized (e.g., Hanleybrown et al., 2012; Kania & Kramer, 2011; London, 2012; Strickland, 2009) and is linked to complexity theory. In contrast to more traditional views that suggest that the world and organizations can be "understood by analyzing [their] constituent parts" (Auspos & Cabaj, 2014, p. 2), a complexity lens views the world and organizations as

"living organisms" in which relationships between parts produce unpredictable and fluid outcomes. CCIs are linked to complexity lens in two important ways:

1. They view communities as complex adaptive systems. This means that CCIs view the interactions among stakeholders as dynamic and evolving and based on (a) stakeholders' own values and interests, and (b) stakeholders' relationships with others and the larger sociopolitical context. Thus, they consider all actors' perspectives and relationships in developing their activities (Auspos & Cabaj, 2014)

2. They understand that complex issues and their solutions are interrelated, systemic, and have multiple causes (Auspos & Cabaj, 2014; Kania & Kramer 2011). Thus, they enhance the ability to create large-scale change by collaborating across organizations, systems, and areas of activity (Auspos & Cabaj, 2014; Hanleybrown, Kania, & Kramer 2012; Kania & Kramer, 2011). This collaboration includes sharing resources, perspectives, and expertise (Huxham, 1996).

CONDITIONS FOR SUCCESSFUL COLLABORATION AND COMMUNITY CHANGE

Now that I have given a brief overview of collaboration and community change, I will move on to discuss the literature on conditions for successful collaboration and community change. This section is meant to help TCG develop successful collaboration between its partners and structures to facilitate its end goal of community impact.

To begin, several preconditions have been described (e.g., Butterfield, Reed, & Lemak, 2004; Gray, 1985; Gray & Wood, 1991; Linkins, Frost, Hayes Boober, & Brya, 2013; Westley & Vredenburg, 1991) as facilitating and motivating collaborations, including:

- Perceived crisis;
- Common interest or goals;
- A need for access to resources or greater power;
- A need for maximized efficiency; and
- A need for distributed risks.

Collaboration may not be appropriate in cases where groups are competing to achieve the same goals, in which case it may be more effective to coordinate only on certain activities and in less demanding ways (Mattessich & Monsey, 1992; Mattessich, 2003).

There are also conditions that contribute to successful collaboration once it has begun. Through an examination of hundreds of scientific studies, Paul Mattessich, Executive Director at the Wilder Research Center (Mattessich & Monsey, 1992; Mattessich, 2003) identified a set of conditions that contribute to successful collaboration. These conditions fall under six general categories, including: environment, membership, process and structure, communication, purpose, and resources. Using this framework, Table 3 lists the various conditions proposed by Mattessich and Monsey as well as additional conditions proposed by authors of more recent works (Butterfield et al., 2004; Horwath & Morrison, 2007; Kania, Hanleybrown, & Splansky Juster, 2014; Kaur Jasuja et al., 2005; Keyton, Ford, & Smith, 2008; London, 2012; Sloper, 2004; Svendsen & Laberge, 2005; Varda, Shoup, & Miller, 2012; Wei-Skillern & Silver, 2013). These include conditions not only for successful collaboration but also for successful collaborative impact.

Table 3: Conditions for Successful Collaboration and Collaborative Impact

Environment

• History of collaboration or cooperation in the community
  – Time and effort needed on education and developing buy-in among stakeholders and funders
• Reputation of collaborative group as a reliable and competent leader in the community
  – Time and effort needed to establish trust
• Favorable and supportive political/social climate
• Support from high-level, visible leaders to bring credibility to the effort

Membership

• Mutual respect, understanding, and trust among partners
• Democracy, inclusiveness, and equality among partners
• Involvement of and/or input from a wide range of participants/community leaders from various sectors with diverse perspectives
  – Enough representation from stakeholder groups, yet manageable group size
  – Should include input from people with lived experience (end-users)
• Members see collaboration in their own self-interest (i.e., as benefitting to their goals)
• Ability and willingness to compromise
• Willingness to share work and credit for work
  – Seeing work as part of a contribution toward a larger, shared agenda
• Clearly defined and agreed upon roles and responsibilities
• Commitment at all levels of organizations involved (including senior and front-line staff)

<table>
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- Formation of a multi-agency steering committee

</td></tr>
<tr><td align="center">Process & structure</td></tr>
<tr><td>

- Managing and building collaboration through trust rather than control
- All members understand and share a stake in both the process and structure
- Multiple layers of decision making
- Flexibility and openness to adjust methods/structures
- Development of clear goals, policy guidelines, and roles of each member
  - Use of a letter of agreement to define: (a) the overarching values/principles of the group, and (b) the roles and rights of each partner
- Meaningful involvement of people at all levels of each partner organization
- Regular opportunities for collective learning
- Adaptability to changing conditions or new learning
- Paced activities and goals, and understanding that various phases of collaboration come with various time and resource needs
- Evaluation of the collaboration process
- Development of personal and trusting relationships with other members and end-users

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<tr><td align="center">Communication</td></tr>
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- Timely, open, and frequent communication processes
  - Communication styles and methods should reflect the diversity of the group
  - May require staff dedicated to maintaining communication
- Established informal and formal communication links
- Information sharing and integration
- Learning about the needs/perspectives of the partners
- Personal connections

</td></tr>
<tr><td align="center">Purpose</td></tr>
<tr><td>

- Concrete, attainable, and agreed upon goals/objectives
- Shared vision and plan for action/innovation
- Unique purpose from that of each partner organization
- Willingness to recognize and focus on higher level success
  - Instead of short-term organizational gains
  - Seeing individual interventions as part of a larger goal/context

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<tr><td align="center">Resources</td></tr>
<tr><td>

- Shared and adequate resources
- Evidence-based inputs and ideas
- Sufficient, consistent funding and staffing (contribution from each partner, within its resources)

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• Leaders with strong organizational and interpersonal skills • Skilled convener • Support staff • Joint and adequate training for staff

Note. Information in this table comes from the following references: Butterfield et al. (2004); Horwath and Morrison (2007); Kania, Hanleybrown, and Splansky Juster (2014); Kaur Jasuja et al. (2005); Keyton, Ford, and Smith (2008); London (2012); Mattessich (2003); Mattessich and Monsey (1992); Sloper (2004); Svendsen and Laberge (2005); Varda, Shoup, and Miller (2012); Wei-Skillern and Silver (2013).

LEADERSHIP AND MANAGEMENT

As outlined in Table 3, effective leadership is crucial to the success of collaborative efforts and has been discussed in great detail in the literature. I will, therefore, describe this condition for successful collaboration and collaborative impact in greater depth. Auspos and Cabaj (2014) outlined five contexts faced specifically by CCIs and described the most successful approach to leadership and management for each (see Table 4). While this framework is helpful in providing a rough guide to successful leadership styles in various contexts, Auspos and Cabaj (2014) acknowledged that boundaries between contexts are often blurred and overlap and that situations may change over time.

Table 4: Effective Leadership and Management Approaches to Various Contexts of CCIs

Context	Leadership & Management Approach
Simple Challenges • Cause-and-effect relationships underlying the issue are clear. • Results of interventions are known and predictable. • Little debate among stakeholders over whether/how to address the challenge.	• Based on best practices that have been tested and codified for replication.
Complicated Challenges • Cause-and-effect relationships underlying the issue are less clear but knowable. • Solutions must be explored further.	• Bring in experts on the issue to analyze and experiment with various possible solutions.

Context	Leadership & Management Approach
Social/Political Challenges • Cause-and-effect relationships underlying the issue and likely result of a proposed action are clear. • Debate among stakeholders over whether/how to address the issue.	• Focus on building relationships, finding common ground, making compromises, addressing power imbalances, and organizing people to take action.
Chaotic Situations • Turbulent and urgent context. • Cause-and-effect relationships underlying the issue and possible solutions are unclear and moving quickly. • Stakeholder relationships are unstable and views/interests are very diverse.	• Quick mobilization of key stakeholders and creation of clear communication channels. • Focus on stabilizing the situation and dealing with most threatening aspects first rather than searching for the "right" solution.
Complex Issues/Situations • Cause-and-effect relationships underlying the issue and possible solutions are not always certain. • Stakeholder views/interests are sufficiently different to make alignment challenging.	• Engage stakeholders in a collaborative process of testing solutions. • Being adaptive to different approaches and solutions over time.

Note. This table is adapted from Auspos and Cabaj (2014).

Some authors have discussed the importance of adaptive leadership in CCIs and offer the following skills and competencies (e.g., Auspos & Cabaj, 2014; Kubisch et al., 2010; Kania & Kramer, 2011). Adaptive leaders and managers must:

- Have the ability to elicit and articulate shared vision;
- Have the ability to convene and inspire others to develop a shared vision and action plan;
- Be sensitive to views of stakeholders about proposed strategies and actions;
- Be adaptive and flexible to new challenges, opportunities, and emerging events/conditions;
- Have the ability to negotiate barriers and conflict;
- Be clear about goals but allow for organic development and change;
- Be comfortable with having less control but still maintaining some order;
- Be prepared to share responsibility but maintain accountability;

- Have the ability to understand the complexity of issues (e.g., root causes, multiple interacting factors, effects of one system on other systems);
- Have the ability to negotiate conflicts among stakeholders with competing perspectives and to use these conflicts as a force of innovation;
- Be prepared to monitor and evaluate activities and outcomes in real-time and to use such data to adjust activities;

Auspos and Cabaj (2014) discussed the benefits of building collective team skills rather than individual leaders. This can involve hiring coaches to help collaborative partners to clarify their roles and responsibilities, develop adaptive processes, and address conflicts.

BARRIERS AND CHALLENGES OF COLLABORATION AND COMMUNITY CHANGE

In contrast to the section above, I will now outline various barriers and challenges to collaboration and community change. This section is meant to help TCG identify and overcome such barriers and challenges in its work.

BARRIERS TO COLLABORATION

Barriers to collaboration include factors that hinder the successful development and maintenance of collaboration and often include a lack or opposite of the factors that facilitate successful collaboration. Table 5 outlines various internal and external barriers to successful collaboration that have been identified in the literature (Butterfield et al., 2004; London, 2012; Roberts & O'Connor, n.d.; Sloper, 2004; Varda et al., 2012).

Table 5: Barriers to Successful Collaboration

Internal Barriers	External Barriers
• Issues between partners – Bureaucratic issues – Conflict (e.g., conflicting agency ideologies and cultures) – Poor communication and information sharing – Lack of trust and understanding – Lack of clarity of roles and responsibilities – Power inequalities • Lack or loss of funding and/or resources	• Bureaucratic issues with outside organizations • Resistance by outside organizations who put up roadblocks • Conflict between the collaboration and

Internal Barriers	External Barriers
• Siloed funding that creates competition • Lack of expertise, qualified staff, information, or diverse perspectives • Lack of strong leadership • Lack of support and commitment from senior management • Lack of a collective front, vision, and/or goals • Too many players in the collaboration • Lack of ongoing training • Inadequate time for joint working • Frequent reorganization or staff turnover	outside organizations

Note: Information in this table comes from the following references: Butterfield et al. (2004); London (2012); Roberts and O'Connor (n.d.); Sloper (2004); Varda et al. (2012).

CHALLENGES OF COLLABORATION AND COMMUNITY CHANGE

While barriers include specific contextual factors that hinder successful collaboration, the challenges that I describe in this section are more inherent in the work of CCIs and pertain mostly to defining and sustaining the work (e.g., Kubisch et al., 2010). Some of the most common challenges include:

- Developing a common language for their work: As is apparent in Table 1, collaborations have been variously and inconsistently described and named. Although this can cause challenges for those seeking to do this type of work, developing shared definitions between partners for the work they are doing is an important step in collaboration (Roberts & O'Connor, n.d.)
- Managing a wide variety of programs and activities among several organizations with varying capacities and resources
- Working in partnership with organizations with varying philosophies, backgrounds, and expertise
- Finding ways to work together to produce internal alignment and reinforcing activities

Sustainability

Another key challenge for CCIs is sustainability. CCIs are often necessary for long-term systems change; however, such efforts can be difficult to sustain. Sustaining CCIs is in some ways the same as sustaining traditional community organizations because it is, in part, about maintaining support for basic programs. However, in some ways it is unique

because of the additional complexity of both the issues being addressed and the relationships and activities involved (Kubisch et al., 2010). Some key elements that have been identified (Hanleybrown, Kania, & Kramer, 2012; Kania & Kramer, 2011, 2013; Kubisch et al., 2010; Roberts & O'Connor, n.d.) as contributing to the sustainability of collaboration and community change include:

1. Organic, bottom-up, and voluntary or needs-based (as opposed to mandated) approaches to collaboration;

2. Lasting funding and appropriate funding models; and

3. A lasting common goal or vision and collective accountability for this goal

With respect to funding, CCIs require a funding model that contrasts most conventional models favouring short-term solutions. Instead, they require one that supports a "long-term process of social change without identifying any particular solution in advance" (Kania & Kramer, 2011, p. 41). Some solutions to the issue of funding have been discussed in the literature (Auspos & Cabaj, 2014; Kania & Kramer, 2011; Kubisch et al., 2010) and include:

- Having a backbone organization that has existing funding to support a collective initiative;
- Developing strategies for matching a grantee's funds with local funds;
- Developing strategies to use a grantee's funds to leverage public funds; and
- Involving funders more directly in the process/initiative to reduce uncertainty, develop trust, and develop empathy for the community

Outside of the collaboration's control is the need for funding practices to shift to invest in infrastructure and collaborative process rather than funding only programs and solutions. Some funders are beginning to understand interventions as an investment in learning and are seeking to maximize the impact of their grants by funding collaborations rather than multiple organizations addressing similar issues (Auspos & Cabaj, 2014; Linkins et al., 2013). Another promising shift lies in an accountability approach whereby grantees are being held more accountable to produce meaningful progress and to foster a more systematic and experimental/adaptive process for achieving such results. This can include agreeing on reasonable performance objectives and being adaptive to changing goals and strategies throughout the process (Auspos & Cabaj, 2014; Kania & Kramer, 2013). This approach also emphasizes assessment and making decisions based on this data (Auspos & Cabaj, 2014).

With respect to the third element listed above, collective accountability, Linkins, Brya, and Chandler (2008) outlined a set of key questions to be addressed in achieving collective accountability and sustaining changes to policies and practices (see Table 6).

Table 6: Collective Accountability and Sustaining Change

Achieving Collective Accountability	Sustaining Changes to Policies and Practices
• Does the partnership/collaboration extend beyond the original target population or issue addressed by the funded initiative? • Are data being shared consistently across systems to better understand and address the needs of the population and the impact of programs/services? • Is collaboration part of the “culture” and way of doing business across systems involved in the grant-funded program? • Does cross-system collaboration lead to new joint funding opportunities? • Are funding streams pooled or blended across systems to better serve a shared population or address a shared concern? • Do collaborative partners share a vision for policy and advocacy activities?	• Is infrastructure in place to support data collection, sharing and analysis across agencies and systems? • Are interagency Memorandums of Understanding and protocols in place to enable service coordination? • Are the staff positions that were critical to program implementation permanent and sustained? • Are program learnings incorporated into trainings for new staff to continue promotion of a shared vision?

Note. This table is adapted from Linkins, Frost, Hayes Boober, and Brya (2013). Questions are taken verbatim from their article.

OUTCOMES AND EVALUATION OF COLLABORATION AND COMMUNITY CHANGE

In this section, I begin by outlining outcomes that can result from successful collaboration for both the *process* of building collaboration and community change and for the target population. I then outline various tools and frameworks for understanding and assessing outcomes, namely Theory of Change, Results-Based Accountability, Health Impact Assessment, and Health Equity Impact Assessment. This section is meant to help TCG identify and evaluate the collaboration between its partners and the achievement of its community impact.

OUTCOMES OF SUCCESSFUL COLLABORATION

Factors that facilitate the collaborative process can also contribute to successful outcomes (Wood & Gray, 1991). These can be divided into process outcomes and population or community outcomes, both of which are expanded upon below.

Process Outcomes

Meister (2006) outlined shorter- and longer-term process outcomes that result when CCIs have successfully collaborated. Her framework was developed specifically based on expected outcomes for educational reform; however, it offers a useful conceptualization of outcomes for any CCI and the process is likely quite similar. Although her framework includes outcomes for communities, they are removed here and discussed in the following section on Population/Community Outcomes. The outcomes are also framed more broadly here so as to apply to most CCIs. Table 7 outlines Meister's shorter- and longer-term expected outcomes and is expanded upon with some other works on successful process-related outcomes of collaboration (Butterfield et al., 2004; Chen, 2008; Gray & Wood, 1991; Hamel, 1991; Mowery, Oxley, & Silverman, 1996; Rogers & Weber, 2010; Varda et al., 2012).

Table 7: Process Outcomes for Comprehensive Community Initiatives

Shorter-Term Outcomes
• Coalition building and commitment – Formation of a core community coalition initiated and sponsored by various community groups. – Partners commit to collaborate and create a shared agenda and operating principles. • Reflection and developing a public agenda – Individual reflection and public inquiry to determine individual and community concerns and issues. – Participating community members develop awareness of their own and others' assumptions/beliefs, common understandings about problems and solutions. – Participating community members develop a public agenda and consensus for action. • Improved communications • Greater collective understanding of issues and how to solve them • Increased knowledge transfer/learning between partners and increased problem-solving • Collaborative planning – Planning begins to include not only the core coalition, but community at large and eventually public officials.

• Training and technical assistance – Formal and informal training/technical assistance for community participants to develop leadership skills and enhance knowledge about systems change. • Sharing and/or infusion of resources – An attempt to increase community resources to allow for community participation in collaborative planning and implementation of change strategies. • Creation of new sources of data
Longer-Term Outcomes
• Improved relationships between community partners (interpersonal and interorganizational) – Including becoming more comfortable with one another, appreciating each other's assets and contributions, and building trust. • Increased community involvement – Community members are more engaged in collaboration and decision-making. • Creation of public policy/laws/regulation • Increased services

Note. Information in this table comes from the following references: Butterfield et al. (2004); Chen (2008); Gray and Wood (1991); Hamel (1991); Meister (2006); Mowery, Oxley, and Silverman (1996); Rogers and Weber (2010); Varda et al. (2012).

Population/Community Outcomes

Given that population and community outcomes differ markedly depending on the focus and goals of the initiative, I discuss them only broadly here. In addition to the process outcomes listed above, Meister's (2006) framework is also useful in understanding community change outcomes (see Table 8). Again, Meister's outcomes are framed more broadly here than in her report in an attempt to fit them to any CCI.

Table 8: Population/Community Outcomes for Comprehensive Community Initiatives

Shorter-Term Outcomes
• Community improvement – Supports for individual service users and community development – Community problem-solving – Increased community access to social or material resources – Development of new social networks and democratic norms

Longer-Term Outcomes
• Improvements in outcomes for individual service users – Improvements in individual cognitive, ethical, intellectual, linguistic, psychological, and/or social development/outcomes • Sustainable Reform – Strong connections between CCI and community • Stronger Community – Increased community efficiency for coordination and collective action (e.g., by interacting with other community members and developing trust and shared norms/values) – Success of community revitalization efforts • Increased Participatory Democracy – Increased civic engagement and energy

Note. This table is adapted from Meister (2006). Outcomes have been framed to fit the purposes of TCG.

Despite these potential positive outcomes that CCIs can have on communities, some have noted that collaboration and system integration "may be necessary but not sufficient to improve client outcomes" (Boutillier, O'Connor, Zizys, Roberts, & Banasiak, 2007; Greenberg & Rosenheck, 2010, p. 185). Indeed, several large evaluations of CCIs have found that increased levels of integration did not result in substantial improvements in client outcomes (e.g., symptoms and quality of life of persons with severe mental illness; Lehman et al., 1994; Morrissey et al., 1994). Others suggest that it is not collaboration itself that produces better community outcomes, but rather indirect benefits that result from collaboration such as: (a) increased number of services that clients have access to, (b) ease of navigating less fragmented services, and (c) increased likelihood of referrals (Roberts & O'Connor, n.d.).

ASSESSING OUTCOME ACHIEVEMENT

Now that I have identified various outcomes of successful collaboration, I will outline several useful tools and frameworks for understanding and assessing outcomes. Meister's (2006) list of expected outcomes (outlined in the section above) provide a useful framework not only for validating the work that CCIs are already doing, but also for evaluating their work. Her framework can be used to generate appropriate indicators for measuring process-related outcomes of CCIs. Four additional frameworks for articulating and assessing outcomes are discussed below.

Theory of Change

Theory of Change is a useful tool for CCIs to understand and conceptualize where they want to go and how they want to get there. A theory of change outlines expected pathways between early and intermediate outcomes and longer-term results, including assumptions about the process of change and how outcomes will be brought about and documented (Anderson, n.d.). Table 9 outlines the key elements necessary in a theory of change, as outlined in the Aspen Institute's Community Builder's Approach to Theory of Change (Anderson, n.d.) and ActKnowledge Theory of Change Facilitator's Sourcebook (Taplin & Rasic, 2012).

Table 9: Key Elements of a Theory of Change

Pathway of change	• A map illustrating the relationship between various outcomes and between actions and outcomes. • Typically, the long-term goal(s) of the initiative appear at the top of the map, with the necessary outcomes leading up to it/them (i.e., earliest outcomes at the bottom).
Outcomes	• Activities or resources required to reach the goal (arranged in causal pathway).
Preconditions	• Everything in the pathway is a precondition to the long-term goal (i.e., most outcomes are also preconditions to outcomes further up the pathway).
Pathways	• Connections between shorter- and longer-term outcomes.
Indicators	• Operationalized (i.e., taking an abstract concept and making it operational) and measurable/observable signs of success for each outcome/precondition in the pathway and the long-term goal.
Interventions	• Activities required to bring about each outcome/precondition (can be a single activity or an entire program).

	• Interventions must be shown to lead to each outcome in the map.
Assumptions	• Explanations of connections between preconditions in early and intermediate stages and expectations about how and why proposed interventions will bring them about. • Best if these are supported by research or best practices in the field.

Note. Information in this table comes from the following references: Anderson (n.d.); Taplin and Rasic (2012).

Creating a theory of change early in the process allows stakeholders to consider and challenge the underlying logic of their program (Anderson, n.d.). It also forces them to consider and be explicit about the resources required to create change and to clearly define all preconditions and long-term goals. Perhaps most relevant to the goal of this review, a theory of change helps stakeholders to develop and articulate a shared understanding of what they are trying to accomplish and how, and to keep them accountable for the results they produce. With respect to the latter, a theory of change can provide a useful framework for monitoring and evaluating impact (Taplin & Rasic, 2012).

Results-Based Accountability

Results-Based Accountability (RBA), or Outcomes-Based Accountability (OBA) is another useful framework that can be used to support and measure the impact of action taken to improve communities, as well as to improve and assess the performance of programs and services (Friedman, 2005; Results Leadership Group, 2010). As such, it provides a step-by-step guide to measurably improve community outcomes and service performance. RBA begins with wellbeing conditions (i.e., results or outcomes) and works towards identifying indicators and developing strategies to achieve the outcomes. Broadly speaking, the term “indicator” refers to a measure of some factor that provides evidence that a certain result has been met. The term “outcome” refers to the desired result. Outcomes should be measured regularly and action plans evolve as a result (Friedman, 2005).

Friedman (2005) distinguished between two types of accountability: population accountability and performance accountability. Each is outlined in Table 10, along with their respective steps for monitoring and improving performance. Each set of seven

questions ("steps") should lead to an action plan that includes steps that can be taken immediately.

Table 10: Results-Based Accountability Guide

	Population Accountability	Performance Accountability
Description	• About the wellbeing of a whole population in a defined geographical region.	• About the wellbeing of a program, agency, or service system's client population.
Indicator	• Some measure to assess the achievement of a particular wellbeing outcome.	• Some measure of how well a program, agency or service system is working.
Choosing Indicator(s)	3 criteria: 1. **Communication Power:** Does the indicator communicate to a broad and diverse audience? Would the audience to our work understand what this measure means? 2. **Proxy Power:** Does the indicator say something of central importance about the result? Will other indicators follow in the same direction? Pick indicators that are most likely to match other related indicators. 3. **Data Power:** Do we have quality data for this indicator on a timely basis? Is the data reliable and consistent?	Three types: 1. How much did we do? 2. How well did we do it? 3. Is anyone better off?

	Population Accountability	Performance Accountability
7 Steps to Action	1. What are the wellbeing conditions we want for the populations in our community? 2. What would these conditions look like if we could see/experience them? 3. How can we measure these conditions? 4. How are we doing on the most important measures? 5. Who are the partners that have a role to play in doing better? 6. What works to do better, including no-cost and low-cost ideas? 7. What do we propose to do?	1. Who are our clients/customers? 2. How can we measure if our clients/customers are better off? 3. How can we measure if we're delivering services well? 4. How are we doing on the most important measures? 5. Who are the partners that have a role to play in doing better? 6. What works to do better, including no-cost and low-cost ideas? 7. What do we propose to do?

Two additional useful tools for assessing population outcome success are Health Impact Assessment (HIA) and Health Equity Impact Assessment (HEIA). Because HEIA stems from HIA and is quite similar in practice, HIA is outlined first.

Health Impact Assessment

The World Health Organization (1999) defines Health Impact Assessment as "a combination of procedures, methods, and tools by which a policy, programme, or project may be judged as to its potential effects on the health of a population, and the distribution of those effects within the population". It is generally used as a decision tool to predict and then minimize negative health impacts and maximize positive health impacts of a proposed policy/program/project during the development process (Mindell,

Ison, & Joffe, 2003; Scott-Samuel, 2005; Winkler et al., 2013). HIA principles, stages, and challenges are outlined in Table 11.

Table 11: Outline of Health Impact Assessment

Principles	• Uses multi-method, inter-disciplinary, evidence-based approaches to inform decision-making. • Examines pathways between policy/program/project and determinants of health. – Individual determinants (biological, behavioural, circumstantial). – Social and environmental determinants (physical, community, economic/financial conditions). – Institutional determinants (capacity and capabilities of public sector services). • Emphasizes **democracy** (i.e., HIA should involve the public, including impacted communities and key informants, and should inform and influence decision makers) and **equity** (i.e., HIA should consider health determinant disparities within and between different population groups and reduce health impact disparities, paying specific attention to vulnerable groups). • Emphasizes **sustainable development** by examining both short- and long-term impacts of a proposal and informing decision makers. • Emphasizes **ethical use of evidence** by being transparent and using rigorous processes and methodologies to synthesize and interpret evidence, and to develop objective recommendations. • Emphasizes a **comprehensive approach to health**, in which a wide range of physical/mental/social health dimensions, impacts, and determinants are considered.
Stages	• HIAs are conducted in a step-by-step fashion; however, each HIA must be adapted for the context in which it is undertaken (e.g., suitable scope, timeframe, and cost). • Six generally agreed upon stages that are iterative rather than sequential: 1. **Screening**: a preliminary assessment to decide (a) if the policy/program/project is likely to pose any significant health impacts, (b) if HIA is necessary, and (c) what scale of HIA is needed. 2. **Scoping**: setting the purpose and structure of the assessment by outlining the context for the HIA including management arrangements, possible hazards and benefits, and issues to be addressed in the assessment. 3. **Appraisal**: assessment of the HIA report, including the nature and

	magnitude of hazards and benefits, as evidenced by all stakeholders. 4. **Decision-making**: choosing whether to proceed and, if so, if any health protecting changes need to be made. 5. **Monitoring and evaluating the process**: involving all stakeholders in monitoring and evaluating compliance and health indicators. 6. **Implementation of recommendations**: acting fully on the decisions.
Challenges	• Reaching consensus on a definition of health and health determinants. • Predicting health impacts of (in)actions. • Inadequate evidence from an assessment can limit the strength of recommendations about impact.

Note. Information in this table comes from the following references: Fakhri, Maleki, Gohari, and Harris (2014); Elliott (2001); Quigley et al. (2006); Kemm (2000); Mindell, Ison, and Joffe, (2003); Scott-Samuel (2005); Winkler et al. (2013); Winters (1997).

Health Equity Impact Assessment

HEIA can be similarly described as a systematic and evidence-based method or set of tools to assess the potential positive and negative health effects of a potential or existing policy/program/project on a population; however, this approach places particular emphasis on the inequities of social determinants of health on different populations (Canadian Public Health Association [CPHA], n.d.; Wellesley Institute, 2014). Thus, HEIA attempts to mitigate health disparities among vulnerable or marginalized groups that result from barriers in access to health services and unintended impacts of a project (CPHA, n.d.; Ontario Ministry of Health and Long-Term Care [MOHLTC], 2012; Wellesley Institute, 2014). In addition to the purposes outlined above, HEIA can also help to: (a) embed equity in an organization's decision-making, (b) support equity-based improvements in projects, and (c) "raise awareness about health equity as a catalyst for change throughout [an] organization" (MOHLTC, 2012, p. 9).

HEIAs are conducted using very similar stages to HIA (outlined above), with focus on positive and negative health impacts on vulnerable and marginalized groups and ensuring that a project does not perpetuate or widen existing health disparities (MOHLTC, 2012). The Ontario Ministry of Health and Long-Term Care (2012) further recommends that a broad range of evidence should be used (e.g., consultation findings, grey literature, field evidence) in the appraisal stage and that results should be shared in order to raise awareness about gaps in equity and service provision.

EFFECTING ORGANIZATIONAL CHANGE

Given the importance of collaboration for community change, organizations must often shift their structure and work in order to build new partnerships. This shifting, however, comes with its own challenges. This section pertains to models for creating and managing change within the actual organization or CCI. It outlines one specific area of literature—Change Management—and is meant to guide TCG in its process of change.

CHANGE MANAGEMENT

Change management has been defined as "a structured approach to transitioning individuals, teams, and organizations from a current state to a desired future state, to fulfill or implement a vision and strategy" (Ryerson University Human Resources, 2011). In other words, change management refers to a process by which individuals or groups change from one state to another in order to reach some goal. Two popular change management models will be outlined here: Kotter's (1996) eight-stage process and Prosci's (1999) ADKAR model. In response to criticisms of the first two, a third alternative model—Worley and Mohrman's (2014) Engage and Learn model—will also be outlined.

Kotter's Change Process

Kotter (1996) outlined eight steps necessary in a successful organizational change effort, including:

1. Increasing the sense of urgency: creating a compelling story/reason for change as well as a vision for change.
2. Building the guiding team: bringing a team of diverse people together who are committed to, and enthusiastic about, the change effort.
3. Getting the vision right: creating a clear and compelling vision to guide change in the right direction.
4. Communicating for buy-in: developing buy-in through heartfelt communication of the vision and strategy with the organization (tailoring information to people's needs and speaking to anxieties, confusion, and mistrust).

5. Empowering action: removing barriers to buy-in, inspiring optimism and confidence, and encouraging others to bolster the effort.

6. Creating short-term wins: creating quick and early wins that are visible and meaningful to others, and building momentum on those wins.

7. Not letting up: building on momentum by keeping urgency up, removing barriers (e.g., unnecessary, tiring work), and keeping people motivated to push the change forward.

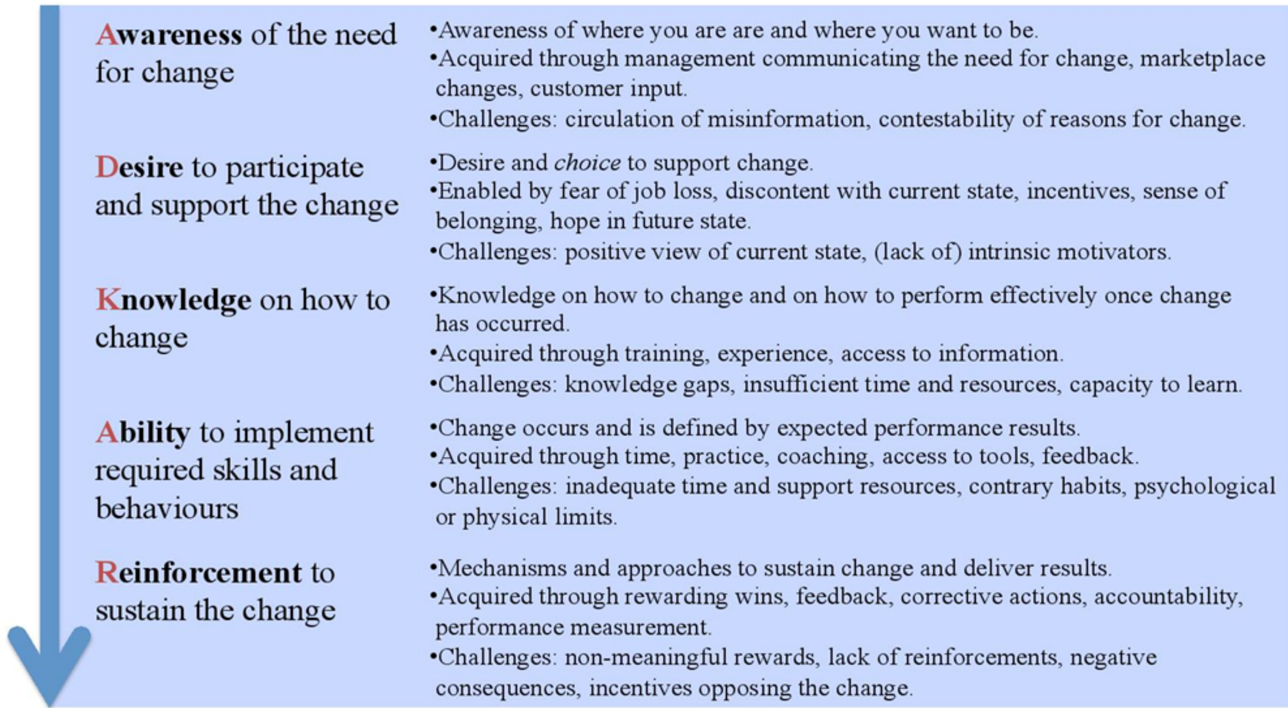
8. Making change stick: creating a culture that will support and maintain the change (e.g., creating and telling compelling stories about the new organization; ensuring continuity of behaviour and results needed to maintain the change).

ADKAR Model

Prosci's (1999; as cited in Hiatt, 2006; Prosci, 2015; Prosci, n.d.) ADKAR model was developed as an outcome-based approach to individual change. The model, developed based on research data from hundreds of organizations, suggests that successful individual change requires five sequential and cumulative elements (see Figure 2). Thus, each element is only effective when the elements before it have been attained successfully. Organizational outcomes are then possible through cumulative individual changes. The ADKAR model can be used by organizations to: (a) diagnose employee resistance to change, (b) help employees transition through change, and (c) create an action plan during change (Prosci, 2015).

Despite their continued widespread use, Worley and Mohrman (2014) have questioned the suitability of Kotter's eight-stage process and the ADKAR model under current conditions. They suggest that these models were appropriate in the past when environmental changes were slow and incremental with a series of disruptions. Today, organizations are often facing quicker and more frequent fundamental change. Hornstein (2015) similarly criticized the ADKAR model for failing "to consider change to be a complex, systemic phenomenon" and "to highlight the important distinction between individual and organizational changes" (p. 294-295).

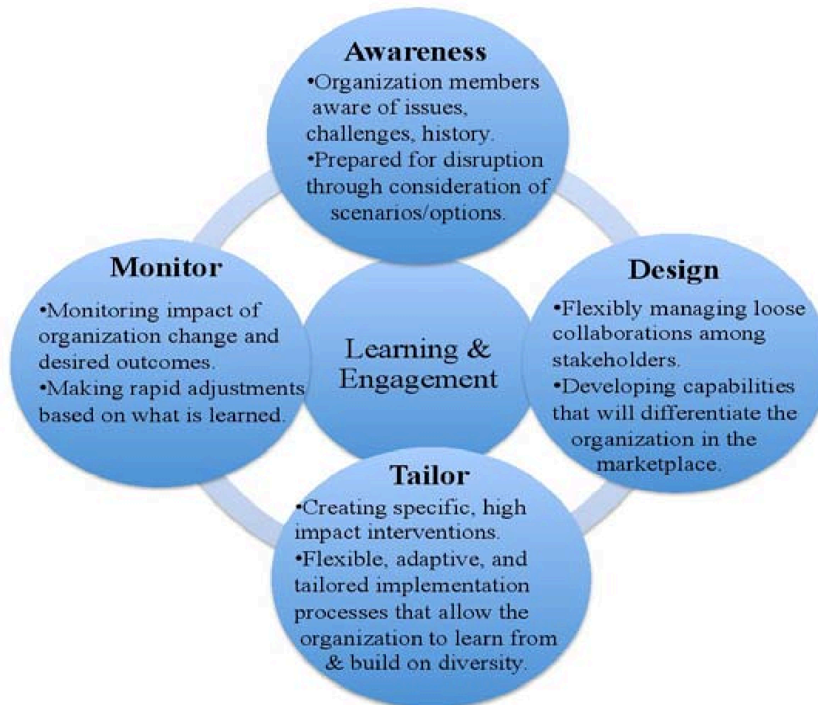
Figure 2: Prosci's ADKAR Model of Change Management



Engage and Learn Model

Worley and Mohrman (2014) offer an alternative—the Engage and Learn model. They describe it as a descriptive model of changing rather than a "change management" model, which, they suggest, would imply too much control over the process. The model outlines four activities or change routines for organization effectiveness in both stable and "volatile, uncertain, and disruptive" environments (p. 217). The process does not involve any prescribed sequence and each activity can often occur simultaneously in various parts of the organization (see Figure 3). Information exchange across the system is also important to allow various change activities to influence one another.

Figure 3: Engage and Learn Model of Changing



Note. This figure is adapted from Worley and Mohrman (2014).

EFFECTING COMMUNITY CHANGE

In contrast to the section above, this section pertains to creating and managing change at the system or community level (i.e., the change that CCIs are attempting to make). I outline four areas of literature here, namely planning strategies for community change, design thinking, appreciative inquiry, and pathways to system change.

PLANNING STRATEGIES

Planning strategies are important to the success of collaborative efforts, particularly CCIs. While the more traditional planning strategy (which emphasizes early and detailed planning) is often used to address complex issues in a more stable context, it may be less successful for complex issues in more unpredictable or unstable contexts (Auspos & Cabaj, 2014). Auspos and Cabaj (2014), therefore, suggest that community change efforts in such contexts require an adaptive and experimental process rather than control and rigid reliance on best practices. They outline two useful strategies for

situations in which there is little understanding of cause-and-effect and in which the context is unpredictable or unstable:

1. Emergent strategy
    - Emphasizes learning by doing and understands that desired results may emerge through experimentation or trial-and-error.
    - Focuses more on rapid planning and implementation cycles.
2. Umbrella strategy
    - Often used when practitioners have a relatively clear vision of their desired results and how to accomplish them but are working in a complex environment with little control over outside actors.
    - Focuses on aligning practitioners' activities under a "strategic umbrella".

Although structured pathways and processes are still required in CCIs, managers must be prepared to: (a) monitor and evaluate activities and anticipated and unanticipated outcomes in real-time, (b) rework plans based on changing environments and new learnings, and (c) identify and pursue new opportunities that arise (Auspos & Cabaj, 2014; Eoyang & Holladay, 2013). Managers are often better to pick a starting point and build on it over time when new opportunities and relationships arise than to expect to fully develop a plan before implementing (Auspos & Cabaj, 2014). Effective starting points can include targeting: (a) actions that are beneficial to all partners, (b) actions that have the greatest potential to drive change, or (c) issues of the greatest concern (Auspos & Cabaj, 2014; Rudolph et al., 2013).

DESIGN THINKING

Design thinking offers a similar process-related framework for social innovation and is being used increasingly by the non-profit sector to address social issues (Brown & Wyatt, 2010). This framework is more adaptive and circular than more traditional milestone-based processes and emphasizes the following for creating effective solutions (Brown & Wyatt, 2010; Design Thinking Blog, 2014):

- A ground-up approach that uses target population needs and perspectives
- Inspiration, intuition, and optimism in developing solutions
- Systems thinking whereby the entire system is considered in the development of solutions

- Rapid prototyping (i.e., developing prototypes/models of objects/services that can be quickly tested and refined using user feedback)
- Experiential efforts, improvisation, and work-arounds
- Context-sensitive approaches
- Use of pattern-recognition and emotion in forming ideas

Design thinking is generally conceptualized as a process of three overlapping and dynamic "spaces" that teams can use to refine ideas and explore new directions to solve issues (Brown & Wyatt, 2010):

Inspiration: A problem or opportunity that motivates a search for solutions.

- Generally begins with the development of a set of questions and objectives, framed clearly but broadly.
- This can be followed by a needs assessment, best achieved by examining behaviour and experience since many people do not know what they need.

Ideation: A process of generating, developing, and testing ideas and solutions.

- Generally involves a process of synthesizing information and developing and testing various ideas for change.
- Many unrestricted and flexible ideas generally lead to more innovation.
- A diverse set of people with diverse backgrounds and perspectives is also important.

Implementation: A process of applying solutions to the real world.

- Developing a concrete action plan and turning ideas into products and services that are tested and refined.
- Examining unexpected outcomes.

APPRECIATIVE INQUIRY

Appreciative Inquiry (Cooperrider & Srivastva, 1987; Cooperrider & Whitney, n.d.) is another paradigm useful in the process of effecting community change. Although it can be conceptualized as a change management model, for the current review I am differentiating it from the above change management models (i.e., Kotter's eight-stage process and Prosci's ADKAR model) by its focus on system or outcome change rather than individual or organizational change. Broadly speaking, it is "the art and practice of asking questions that strengthen a system's capacity to apprehend, anticipate, and heighten positive potential" (Cooperrider & Whitney, n.d., p. 3). Thus, it involves the

search and mobilization of unconditional positive inquiry (i.e., what gives “life” to people and organizations when they are thriving the most; Cooperrider & Whitney, n.d.). It focuses on assets, strengths, innovations, and opportunities in order to promote dialogue, uncover untapped potential, and create change in human systems (Cooperrider & Whitney, n.d; Ludema, Copperrider, Barrett, n.d.). Appreciative inquiry is based on the following line of thinking: “human systems grow in the direction of what they persistently ask questions about and this propensity is strongest and most sustainable when the means and ends of inquiry are positively correlated” (Cooperrider & Whitney, n.d., p. 3-4).

The Appreciative Inquiry paradigm includes five key stages:

Topic choice: Selecting a positive topic to explore.

Discovery: Discovering and mobilizing the factors and forces that give life to an organization/system.

Dream: Developing a clear, results-oriented vision for reaching potential.

- New positive and constructive perspectives enter the conversation and develop a vision for what the organization/system can become.

Design: Co-constructing a shared vision of the ideal organization through dialogue.

- Need for an inclusive and supportive context for dialogue.

Destiny: Constructing the vision through innovation and action.

- Include broad circles of participants to join the conversation.
- Translating ideals into practice through a process of learning, adjustment, and improvisation.

PATHWAYS TO CHANGE

Westley, Antadze, Riddell, Robinson, and Geobey (2014) have similarly outlined process-related strategies for effecting community change. The authors developed a list of *pathways to scaling up*. Scaling up refers to “directing efforts towards larger scale variables and thus impacting the system that created the social problem in the first place” (p. 4). Starting conditions, competencies and resources, and obstacles and opportunities can all influence the best choice of pathway. The five pathways are:

1. **Volcano**: Organization begins with a lot of internal energy and experiential learning that drives scaling up before it reaches system-level change (i.e., "eruption").

2. **Beanstalk**: Involves consistency, drive, and a strong, central leader in order to "climb" up to the system level without compromising initial vision and goals.

3. **Umbrella**: Organization initiates the emergence of an innovation by providing overarching funding from which the initiative can grow. As umbrella is removed, organization may have to reinvent itself to ensure goals can be maintained.

4. **LEGO**: Involves a bottom-up approach in which system change begins at the community level where local collaborations build on existing assets and build momentum for system change.

5. **Polishing Gemstones**: Emphasizes creation and quality control of a program or product, and systematic process so that it can be successfully replicated in different contexts.

Table 12 outlines the theory of change, advantages, challenges, and risks for each pathway.

Table 12: Pathways to System Change for Community Change Initiatives

Pathway	Theory of Change	Advantages	Challenges	Risk
Volcano	Change occurs from constant internal learning and experimentation.	Inclusive and participatory organizational culture.	Defining strategic focus and choosing priority direction for limited resources.	Compromise energy and excitement.
Beanstalk	Initiated by a visionary who implements a strong vision.	The consistency and drive towards attaining goals.	The scarcity of resources to respond to opportunities.	Leave behind the original design and some of the energy around movement.
Umbrella	Initiating organization stimulates emergence by providing overarching funding.	Introduces system level goals for change at an early stage.	The lack of ownership, poor integration, and visionary to drive	Risk of pushing partners

Pathway	Theory of Change	Advantages	Challenges	Risk
			the strategy.	beyond capacity.
LEGO	System change begins with community change.	Facilitates emergence of new partnerships, building on existing community assets.	Connecting community strategy to broader policy change.	Risk hindering active dissemination of core principles and ideas.
Polishing Gemstones	Refining model for successful replication in different contexts and ensuring quality control.	Gives credibility, legitimacy, reliability, and reputation to the organization.	Short-term managerial thinking in a complex problem domain.	Risk losing quality control over product.

Note. This table is adapted from Westley, Antadze, Riddell, Robinson, and Geobey (2014).

MODELS OF COMMUNITY CHANGE

Up to this point I have outlined (a) conditions for successful collaboration and community change, (b) barriers and challenges of collaboration and community change, (c) outcomes and evaluation of collaboration and community change, and (d) ways of effecting both organizational and community change. In the remainder of this report, I will focus on five models of community change that I believe are most useful and relevant to the work of TCG: Constellation Model, Collective Impact, Multi-Dimensional Model, Dimensions of Change Model, and Ecological Models. Each model variably includes its own set of features recommended for collaboration and collective change. These features generally fit the sections that I have incorporated in this report and include: a process and/or structure for collaboration, factors necessary for successful collaboration and/or community change, and ways of understanding and assessing change.

CONSTELLATION MODEL

The first model of community change is the Constellation Model for multi-organizational collaboration (Surman, 2006; Surman & Surman, 2008). This model involves small, self-organizing teams (i.e., constellations) of partners collaborating on a particular task or issue. The teams are held together by an overarching partnership that shares leadership between the partners. Each team focuses on certain social change activities

rather than on the partnership itself and is led by the partner with knowledge and expertise in that area. In addition to action-focused work teams and collaborative leadership, the model also emphasizes transparency and communication, lightweight governance, and third-party coordination (see Table 13).

Table 13: Key Elements of the Constellation Model for Multi-Organizational Collaboration

Action-Focused Work Teams
• Constellations of activity within the broader strategic vision of the partnership form with a subset of the partners. – Can include formal projects, opportunistic initiatives, or working groups. – Must act in accordance with partnership's overall vision.
Collaborative Leadership
• Shared and fluctuating leadership of the teams based on expertise on the particular topic. • Generally also an Executive Director of the partnership who provides process support and fosters the leadership of the partners. – Activities can include: facilitation, conflict mediation, project development, planning, partnership development, fundraising, balancing the flow of leadership and money, fostering and supporting constellations.
Transparency and Communication
• Transparency and communication between members and groups at and between meetings. • Ensuring that the group is fully informed and is moving forward.
Third-Party Coordination
• A third-party coordination team (e.g., consultant or intermediary group) to facilitate collaboration, build capacity, manage overall efforts, and troubleshoot problems. • Should be familiar and interested in the collaborative work but has a role only in process of the work, not content. – Activities can include: guiding planning, facilitating meetings, fundraising, mediating conflict, ensuring communication and flow of information, balancing the flow of leadership and money.
Lightweight Governance
• Third party coordinators and a collaborative leader should govern the groups. • The collaboration should not legally incorporate, as this would undermine the power dynamics.

• Legal and financial responsibility shifts between members on a project-by-project basis, but should include decision-making consultation between members/groups.

Note. Information in this table comes from the following references: Surman (2006); Surman and Surman (2008).

COLLECTIVE IMPACT

The second model of community change is Collective Impact. The nonprofit sector typically uses an approach called isolated impact, where the impact of individual organizations is assessed independently of other organizations and variables that may also influence the issue (Kania & Kramer, 2011). This approach, however, may be largely ineffective for addressing complex social issues. Collective impact, in contrast, is "the commitment of a group of important actors from different sectors to a common agenda for solving a specific social problem" (Kania & Kramer, 2011, p. 36). The collaboration's activities are supported by five key elements (see Table 14): a common agenda, a shared measurement system, mutually reinforcing activities, continuous communication, and an independent backbone organization (Kania & Kramer, 2011, 2013; Hanleybrown, Kania, & Kramer 2012). As in the constellation model, participating organizations are grouped into networks based on types of activities but share a common framework and vision. Auspos and Cabaj (2014) suggest that collective impact is particularly effective for achieving outcomes on a specific issue and at the individual level.

Table 14: Key Elements of the Collective Impact Model

Element	Description	Best Practices
A common agenda	• Common understanding/definition of the problem. • Shared approach to solving it through agreed upon actions.	• Must agree on the primary goals for the collective impact initiative as a whole (not necessarily all dimensions of the problem). • Differences must be discussed and resolved.
Shared measurement systems	• Agreement and consistency on the ways success of various activities is measured and reported.	• Collecting data and measuring results consistently on a short list of indicators at the community level and across all participating organizations.

Element	Description	Best Practices
Mutually reinforcing activities/plan of action	• Working together so that each stakeholder is undertaking the activities at which it excels in a way that supports and is coordinated with the actions of others fits into an overarching plan.	
Continuous communication	• Holding regular meetings to: – Develop trust between participants – Recognize and appreciate the common motivation behind their different efforts – See that their own interests will be treated fairly – Develop a common vocabulary	• Monthly or bi-weekly in-person meetings among the organizations' leaders. • Meetings usually supported by external facilitators and follow a structured agenda. • Between-meeting communication as well.
Backbone support organizations	• A separate organization and staff to serve as the backbone to plan, support, and manage the entire initiative through: – Ongoing facilitation – Technology and communications support – Data collection and reporting – Handling logistical and administrative details	• Backbone organizations should have leadership skills, including the ability to: – Focus people's attention and create a sense of urgency – Apply pressure to stakeholders without overwhelming them – Frame issues in a way that presents opportunities as well as difficulties – Mediate conflict among stakeholders

Note. Information in this table comes from the following references: Kania and Kramer (2011, 2013); Hanleybrown, Kania, and Kramer (2012).

Others have similarly written about the importance of backbone support organizations in the success of collaborative practices, albeit using different language (e.g., intermediary coordinator, community support organization, convenor; Connor, 2003; Pereira, 2013; Svendsen & Laberge, 2005). According to some frameworks, such individuals or

organizations should ideally be neutral and have full-time responsibility of coordinating and sustaining community collaborations. Such support is necessary not only for building and supporting collaborative process, but also for sustaining the initiative long-term (Connor, 2003). In addition to the roles of the backbone organization listed in Kania and Kramer's (2011; 2013) model, Connor (2003), Pereira (2013), and Svendsen and Laberge (2005) have discussed the following:

- Building consensus
- Organizing and facilitating meetings and encouraging participation
- Fostering research services to help make informed decisions
- Managing shared funding and resources
- Maintaining focus on shared goals
- Establishing links and fostering relationships between network members
- Creating opportunities for learning about the perspectives of other members and developing a shared language
- Recognizing and reconciling diversity to generate creative, innovative solutions
- Creating safe spaces for multiple stakeholders to come together to create novel solutions
- Holding the network accountable for meeting the needs of the whole and each member
- Distributing information and finding a neutral space to work

MULTI-DIMENSIONAL MODEL

Duan-Barnet, Wangelin, and Lamm's (2012) Multi-Dimensional Model for Social Change draws upon both collective impact and layering frameworks (and therefore both horizontal and vertical alignment of activities and resources). Their model suggests that community change initiatives operate and are influenced by: (a) higher levels such as state-level government agencies or interest groups, and (b) local-level partners and stakeholders. Thus, those coordinating the community change process (generally mid-level community foundations) must reconcile multiple and sometimes conflicting agendas horizontally and vertically to develop a shared understanding of the issue and its possible solutions. Horizontal alignment refers to integrating, capacity building, and developing a shared agenda with collective partners *across* programs, organizations, and systems (Auspos & Cabaj, 2014; Duan-Barnet et al., 2012). Vertical alignment involves aligning and coordinating efforts and resources with higher-level partners and working to make improvements at multiple levels (e.g., individual, community, and policy; Auspos & Cabaj, 2014; Duan-Barnet et al., 2012). Developing a shared agenda can be challenging when the community has its own unique needs and solutions but state or national initiatives require standardized and tested strategies.

Like the other models outlined in this report, the Multi-Dimensional Model is geared toward complex social issues. Unlike some of the other models, however, it is intended for initiatives that seek to create change at multiple levels and in which the agenda is influenced by both local stakeholders/partners and higher levels (Duan-Barnet et al., 2012).

DIMENSIONS OF CHANGE MODEL

Dean-Coffey, Farkouh, and Reisch (2012) developed a framework for addressing key elements central to all change efforts. Their Dimensions of Change Model includes five interconnected dimensions for developing and implementing change efforts (see Table 15). Each dimension also includes a list of questions for consideration in the development and planning of such initiatives. The authors also note that such a process is not linear, but rather iterative and dynamic.

Table 15: Key Elements of the Dimensions of Change Model

Element	Description	Questions for consideration
Structure	• Developing clear policies and procedures about: – Roles/responsibilities of participants, leaders, and organizations – Decision-making processes – Communication methods – Distribution of resources – Means and processes of collaboration	• What organization or body is managing and coordinating the effort? • How is the effort being funded? At what level? • Who else is involved? What roles do they play? • How is collaboration being supported? • What policies and procedures frame the effort and associated decisions?
Parameters	• Making decisions about location, scale, scope, and duration of the initiative's focus.	• Where is the initiative being implemented? • How many does it serve? • What is the target population of the initiative? • How long will the effort last?
Intention(s)	• Developing clear intended	• What is the initiative trying to

Element	Description	Questions for consideration
	outcomes of the initiative, or how success will be defined (can evolve over time).	accomplish? • What will a successful initiative look like? • What metrics are being used to evaluate these efforts?
Approach	• Developing a clear idea of the approach to bring about the desired change.	• What is the initiative design? On what theory or evidence is it based? • Who will drive the change? • What supports will be provided to the individuals driving the change?
People	• Developing a clear idea of the people involved in bringing about the desired change.	• What role do residents or members of the priority group play in planning, implementation, and service delivery during an effort? • What are the skills and capacities needed to involve and empower residents? • If “outsiders” are needed, what process will support them in building the trust in the community necessary to be effective? • How might the transience of the resident population (if relevant) affect the design of the initiative or its potential for success?

Note. Questions are taken verbatim from Dean-Coffey, Farkouh, and Reisch (2012).

SOCIAL ECOLOGICAL MODELS

A number of authors have developed a class of models for social change termed Social Ecological (or Multi-Level) Models. This type of model takes into account several reciprocal levels of environmental influence on behaviour and has been widely used in health promotion (e.g., Hanenberg, Rojanapithayakorn, Kunasol, Sokal, 1994; Sweat & Denison, 1995) and other social change initiatives (Hickman, Christoffersen, Sami, & Trivedi, 2009; World Health Organization Violence Prevention Alliance, 2015).

Brofenbrenner’s (1977) model, for example, views behaviour as affecting and being affected by individual and four levels of environmental determinants, as outlined below.

1. **Microsystem**: face-to face influences/interactions with individuals or groups in specific settings (e.g., family, work group).
2. **Mesosystem**: interrelations among the various microsystems in which an individual is involved.
3. **Exosystem**: influences within the larger social system in which an individual is involved.
4. **Macrosystem**: cultural beliefs and values that influence micro and macrosystems.

Similarly, McLeroy, Bibeau, Steckler, and Glanz's (1988) Social Ecological Model views patterned behaviour as being affected by five levels:

1. **Intrapersonal factors**: individual characteristics (e.g., knowledge, attitudes, developmental history).
2. **Interpersonal factors**: interpersonal processes and social groups (e.g., family, friends, work group).
3. **Institutional/Organizational factors**: social institutions and formal and informal rules and regulations for operation (e.g., churches, community organizations).
4. **Community factors**: community norms and relationships among organizations, institutions, and informal networks (e.g., social networks).
5. **Public policy**: regulating local, state, and federal laws and policies.

Behaviour and social change initiatives can, therefore, target one or several of the levels outlined in ecological models, potentially through cross-sector collaboration (Hickman et al. 2009; McLeroy et al., 1988). Ecological models also often take into account the influence of the interaction between factors at different levels (WHO, 2015). Some have criticized the above social ecological models for lacking a "superstructural level", including social/political institutions and power differences (e.g., Sweat & Denison, 1995; Winch, 2012). This additional level can address gender, race, class, and issues of social justice.

CONCLUSION

This review has outlined literature on conditions for successful collaboration and community change, barriers and challenges of collaboration and community change, outcomes and evaluation of collaboration and community change, ways of effecting both organizational and community change, and existing models of community change. While the review is not exhaustive, I have selected what I believe to be the most relevant and useful for the partners of *Toward Common Ground* to understand, capture, and measure their collective work and impact.

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