



## Capacity Building Self-Assessment Tool\*

### Capacity Building: The Ways to the Means

For the purposes of this tool, capacity building is defined as the process through which individuals, groups of people, and organizations obtain, strengthen, and maintain the capabilities they need to set and advance goals toward chosen early learning priorities. Capacity is the means to plan and achieve organizational goals, and capacity building describes the ways to those means so that stakeholders can lead sustained improvements over time. Capacity building is ultimately focused on empowering individuals, leaders, organizations, and systems so that they can generate positive change for early learning opportunities and outcomes on behalf of communities, children, and families.

### Readiness for Change

An essential ingredient for capacity building is transformation. For an activity to meet the standard of capacity building as described in this tool, it must bring about transformation that is produced and sustained over time. Transformation of this kind goes beyond performing tasks. Instead, it is more a matter of changing mindsets and attitudes and behaviors. Therefore, creating readiness for change can be a critical component of both initiating and scaling up your capacity building practices within your organization. “‘Readiness’ is defined as a developmental point at which a person, organization, or system has the capacity and willingness to engage in a particular activity” (SISEP & NIRN, 2013, p. 1). It is not static. “‘Readiness for change’ is something that needs to be developed, nurtured, and sustained.” As you move through the assessment process of this tool, discuss the potential changes with your team or group. Be thoughtful and sensitive to individual perspectives. Ask yourself, “What challenges would be faced while trying to make these changes? If these changes are not made, what impact would that have? What impact might that have on what we are trying to achieve?”

### Self-Assessment Purpose

The *Capacity Building Self-Assessment Tool* aims to highlight capacities within and surrounding your organization, system, or any project or initiative you are launching to improve your early childhood system. In this assessment tool, there are 5 dimensions and 23 subdimensions of capacity that can help you identify the specific capabilities you want to change to improve your organizational capacity, your organizational effectiveness and efficiency, and your leadership and staff capacity. As you identify which capacities are currently in place and which gaps need to be addressed, your priorities for capacity building will become clear. The self-assessment tool allows any group or organization to identify strengths and challenges with regard to

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\* The self-assessment tool in this document is based on the McKinsey Capacity Assessment Grid, which was created by McKinsey & Company and published in *Effective Capacity Building in Nonprofit Organizations* (2001), which was produced for Venture Philanthropy Partners ([www.vppartners.org](http://www.vppartners.org)). It is adapted, reprinted, copied, and distributed with the permission of Venture Philanthropy Partners.

planning and achieving specified goals. Identifying areas of strength, areas of challenges, and progress made is crucial for ensuring success with whatever it is your organization is trying to advance or improve.

## Self-Assessment Use

The dimensions and sub dimensions outlined in the following matrix provide a high-level overview of key capacity areas for your group or organization to consider. The self-assessment tool may be used in whole or in part, depending on what makes the most sense for your organization or system. Where you begin and the order in which you proceed within the tool will depend on your organization's most pressing needs. Some groups may start with creating or strengthening engagement and partnerships. Others may be ready to build knowledge and skills for systems thinking and better address a priority. It is likely that some of the capacity dimensions will be more helpful to you than others. Use caution when choosing your areas of improvement; it is more prudent to do less initially. There is a glossary of some of the terms at the end of the tool for your reference. There is also a resource section to point you to other tools useful for building capacity within the dimensions.

## Instructions

1. Use this self-assessment tool to provide a better picture of your organization's strengths and challenges.
2. Select the people you want to assess your organization. This self-assessment tool is meant to be completed as a collaborative process within your group or organization. When done thoughtfully, the assessment process can yield important insights about your organizational fitness, help ensure commitment to capacity building from your staff or board, and serve as a useful conversation starter for how you will further develop your means for planning and achieving your goals.
3. Complete the self-assessment tool individually or as a group. It may be helpful to see individual responses before you work together as a group to complete the self-assessment. Review the dimensions of the tool first (culture and climate, engagement and partnerships, financial resources, infrastructure, and knowledge and skills) so that you can determine which areas are most integral to achieving your goals. You may select all of the dimensions or a subset of the dimensions.
4. Once you have determined the dimensions you want to focus on, please review the benchmarks and come to a consensus about your organization's level of capacity for each subdimension.
5. Use the check boxes to rank your current level of capacity for each subdimension. Keep in mind you are trying to rank on a continuum of basic, moderate, or high level of capacity.
6. Summarize and analyze your findings (p.15).
7. Share the findings and determine implications for action. Develop plans for needed change.

## DIMENSION 1: Culture and Climate

Organizational culture and climate consist of shared values, norms, attitudes, and perceptions that influence how people in an organization behave. An agency's priorities, leadership commitments, and staff motivation reflect its culture and climate. For new programs and practices, an agency's culture and climate may affect how people accept and support change.



While people often use the terms “culture” and “climate” interchangeably, Charles Glisson, a leading researcher in this area, makes the following distinction:

- ◆ **Organizational culture** refers to the shared behavioral expectations and norms in a work environment. This is the collective view of “the way work is done” (Glisson, 2015).
- ◆ **Organizational climate** represents staff perceptions of the impact of the work environment on the individual. This is the view of “how it feels” to work at the organization (such as, supportive, stressful) (Glisson, 2015).

Subdimensions	Benchmark of Capacity: High Level in Place	Benchmark of Capacity: Moderate Level in Place	Benchmark of Capacity: Basic Level in Place	Current Capacity Level and Notes
1.a. Establishing leadership behavior	<ul style="list-style-type: none"> <li>◆ A common set of basic beliefs and values exists and is widely shared within your organization.</li> <li>◆ Beliefs provide members a sense of identity and clear direction for behavior.</li> <li>◆ Beliefs embodied are timeless and stable across leadership changes.</li> <li>◆ Beliefs clearly support the organization’s overall purpose and are consistently harnessed to produce impact.</li> </ul>	<ul style="list-style-type: none"> <li>◆ A common set of basic beliefs is held by the majority of the organization team.</li> <li>◆ Beliefs provide members with a sense of identity.</li> <li>◆ Beliefs are aligned with the team’s purpose and are occasionally harnessed to produce impact.</li> </ul>	<ul style="list-style-type: none"> <li>◆ A common set of basic beliefs exists in some groups within your organization but is not shared broadly.</li> <li>◆ Values may be only partially aligned with organizational purpose or rarely harnessed to produce impact.</li> </ul>	<input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Basic <b>Notes:</b>
1.b. Embedding equity	<ul style="list-style-type: none"> <li>◆ Shared knowledge and understanding of equity practices exists <u>and</u> are widely used within your organization.</li> <li>◆ The team provides clear direction on equity practices, such as the following:                             <ul style="list-style-type: none"> <li>■ Equity assessment of policies and practices (ongoing); and</li> <li>■ Equity goals within the strategic plan.</li> </ul> </li> <li>◆ The process for seeking, distributing, and using resources is based on equity goals; your organization is accountable for equity goals and empowered to uphold goals.</li> <li>◆ Your organization has multi-sector partnerships and relationships with communities affected by inequities.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Shared knowledge and understanding of equity practices is held by majority of staff and leadership within your organization.</li> <li>◆ Knowledge of equity provides members with a sense of how to value team members’ and stakeholders’ differences and how to address disparities.</li> <li>◆ Equity efforts may be only partially aligned with your organization’s purpose or only rarely harnessed to produce impact on goals.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Shared knowledge and understanding of equity practices exists within some part of your organization but is not shared broadly.</li> <li>◆ Equity efforts may be only be partially aligned in your organization’s purpose or only rarely harnessed to produce impact on goals.</li> </ul>	<input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Basic <b>Notes:</b>



Subdimensions	Benchmark of Capacity: High Level in Place	Benchmark of Capacity: Moderate Level in Place	Benchmark of Capacity: Basic Level in Place	Current Capacity Level and Notes
<p>1.c. Sharing and understanding of common vision and goals throughout the organization</p>	<ul style="list-style-type: none"> <li>◆ A clear, specific, and compelling vision is articulated, as well as a deep understanding of what your organization aspires to achieve.</li> <li>◆ Common vision and goals are broadly held, including between partners and stakeholders.</li> <li>◆ Common vision and goals are consistently used by your organization to direct actions and set priorities.</li> </ul>	<ul style="list-style-type: none"> <li>◆ There is clear and specific understanding of what the organization aspires to become or achieve.</li> <li>◆ A common vision and goals are held by many within the team and sometimes used to direct actions but not shared widely with partners and stakeholders.</li> </ul>	<ul style="list-style-type: none"> <li>◆ There is a somewhat clear vision or specific understanding of what the organization aspires to become or achieve.</li> <li>◆ Vision and goals Lack specificity or clarity.</li> <li>◆ Vision and goals are held by only a few; or they are “on a poster on the wall” but rarely used to direct actions or set priorities.</li> </ul>	<p><input type="checkbox"/>High <input type="checkbox"/>Moderate <input type="checkbox"/>Basic</p> <p><b>Notes:</b></p>
<p>1.d. Setting expectations to accommodate and sustain change</p>	<ul style="list-style-type: none"> <li>◆ There is a common team approach to change and change management, which may include practices that:                             <ul style="list-style-type: none"> <li>■ secure buy-in and align individual behavior and skills with the change;</li> <li>■ are truly shared and adopted by all members of the organization’s leadership; and</li> <li>■ are actively designed and used to clearly support overall purpose of the team and to drive performance.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>◆ There is a common team approach to change and change management exists within some part of the organization’s leadership, which may include practices that:                             <ul style="list-style-type: none"> <li>■ secure buy-in and align individual behavior and skills with the change; and</li> <li>■ are adopted by many people within the organization’s leadership.</li> </ul> </li> <li>◆ Practices are aligned with the team’s purpose and occasionally harnessed to drive toward impact.</li> </ul>	<ul style="list-style-type: none"> <li>◆ There is not a common approach to change or change management by the team.</li> </ul>	<p><input type="checkbox"/>High <input type="checkbox"/>Moderate <input type="checkbox"/>Basic</p> <p><b>Notes:</b></p>



Subdimensions	Benchmark of Capacity: High Level in Place	Benchmark of Capacity: Moderate Level in Place	Benchmark of Capacity: Basic Level in Place	Current Capacity Level and Notes
1.e. Valuing performance throughout the organization	<ul style="list-style-type: none"> <li>◆ Leadership highlights and promotes each member's contribution (social, financial, and performance).</li> <li>◆ Use of performance data in day-to-day processes and decisionmaking is embedded in comprehensive performance thinking and team analysis.</li> <li>◆ Key elements of performance are constantly referred to in team meetings, including agendas and discussions.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Individuals within the leadership of the organization contribute toward the project's impact, and important decisions about projects are based on performance thinking and analysis.</li> <li>◆ Key elements of performance are regularly discussed at meetings.</li> </ul>	<ul style="list-style-type: none"> <li>◆ At times, important decisions for the organization are embedded in comprehensive performance analysis and thinking by the leadership team.</li> </ul>	<input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Basic <b>Notes:</b>

## DIMENSION 2: Engagement and Partnerships

Engagement and partnership consist of collaborative relationships within the organization and with external partners, stakeholders, families and community, and cultural groups to support early learning systems and inform improved practices. Productive relationships involve building trust, seeking feedback, and actively collaborating toward shared objectives. While organizational engagement and partnership often require structures to facilitate collaboration (such as, interagency agreements), the structures are part of infrastructure dimension. This second dimension features the resulting relationship and collaboration between the partners.

Subdimensions	Benchmark of Capacity: High Level in Place	Benchmark of Capacity: Moderate Level in Place	Benchmark of Capacity: Basic Level in Place	Current Capacity Level and Notes
2.a. Establishing and maintaining relationships with stakeholders (such as, state agency partners, advocates, providers, parents, and oversight groups)	<ul style="list-style-type: none"> <li>◆ The organization has built, leveraged, and maintained strong, high-impact relationships with variety of relevant parties (state and federal government entities as well as those from the for-profit and private sectors).</li> <li>◆ Relationships are deeply anchored in stable, long-term, and mutually beneficial collaboration.</li> </ul>	<ul style="list-style-type: none"> <li>◆ The organization has effectively built and leveraged a few key relationships with some of the project's relevant parties.</li> <li>◆ Some relationships are not fully developed.</li> <li>◆ Some relationships may be precarious or not mutually beneficial.</li> </ul>	<ul style="list-style-type: none"> <li>◆ The organization is in the early stages of building relationships (such as, limited communication and no defined structure or planning) and collaborating with agency partners, families, providers, and other stakeholders vital to the organization's work.</li> </ul>	<input type="checkbox"/> High <input type="checkbox"/> Moderate <input type="checkbox"/> Basic <b>Notes:</b>



Subdimensions	Benchmark of Capacity: High Level in Place	Benchmark of Capacity: Moderate Level in Place	Benchmark of Capacity: Basic Level in Place	Current Capacity Level and Notes
<p>2.b. Establishing and sustaining local community presence and involvement</p>	<ul style="list-style-type: none"> <li>◆ Your organization is widely known within communities in the state and is perceived as actively engaged and extremely responsive.</li> <li>◆ Many members of the communities are actively and constructively involved in your organization efforts (such as, implementing goals).</li> </ul>	<ul style="list-style-type: none"> <li>◆ Your organization is reasonably well known within communities within the state and is perceived as open and responsive to community needs.</li> <li>◆ Community members are constructively involved in management efforts.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Your organization's presence is somewhat recognized and is viewed neutrally by communities.</li> <li>◆ Some members of larger communities are constructively engaged.</li> </ul>	<p><input type="checkbox"/>High <input type="checkbox"/>Moderate <input type="checkbox"/>Basic</p> <p><b>Notes:</b></p>
<p>2.c. Implementing formal feedback loops as part of stakeholder engagement</p>	<ul style="list-style-type: none"> <li>◆ Your organization has a formal feedback loop in place that:                             <ul style="list-style-type: none"> <li>■ provides opportunities for families and providers to engage in leadership and inform decisions;</li> <li>■ ensures effective lines of communication among service providers, administrators, policymakers, and other professionals across sectors regarding goals and policies;</li> <li>■ uses available data and assessment systems to reach out and inform stakeholders about project efforts; and</li> <li>■ measures stakeholder engagement and, in particular, parent and provider engagement with decisions.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>◆ Your organization has some elements of a feedback loop in place that:                             <ul style="list-style-type: none"> <li>■ connects with families and providers;</li> <li>■ has some lines of communication among service providers, administrators, policymakers, and other professionals across sectors regarding their goals and policies; and</li> <li>■ is beginning to measure stakeholder engagement.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>◆ Your organization has started to plan the necessary elements of a feedback loop to authentically engage parents, providers, and stakeholders in a more formal process to inform decisionmaking.</li> </ul>	<p><input type="checkbox"/>High <input type="checkbox"/>Moderate <input type="checkbox"/>Basic</p> <p><b>Notes:</b></p>



Subdimensions	Benchmark of Capacity: High Level in Place	Benchmark of Capacity: Moderate Level in Place	Benchmark of Capacity: Basic Level in Place	Current Capacity Level and Notes
2.d. Mobilizing and motivating stakeholders	<ul style="list-style-type: none"> <li>◆ Stakeholders most affected by the project see the work as inspiring and motivating.</li> <li>◆ Stakeholders are authentically engaged in taking action.</li> <li>◆ Meetings are held regularly at convenient times for stakeholders and are well attended.</li> <li>◆ Your organization has the ability to mobilize a broad range of stakeholder groups into specific action.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Those with potential to be most affected by the project are knowledgeable and likely to be engaged.</li> <li>◆ Meetings are held regularly and are generally well attended.</li> <li>◆ Your organization has the ability to motivate a segment of stakeholders to mobilize.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Those with potential to be most affected by the project have some knowledge of the work.</li> <li>◆ Meetings are held regularly to inform but attendance varies widely.</li> <li>◆ Your organization has the ability to motivate a small core group of stakeholders.</li> </ul>	<p> <input type="checkbox"/>High <input type="checkbox"/>Moderate <input type="checkbox"/>Basic  <b>Notes:</b> </p>

### DIMENSION 3: Financial Resources

Financial resources consist of the tangible assets that support your organization, programs, practice improvements, and service delivery. They encompass adequate and stable funding, staffing, budget materials, the authority to direct or redirect funds, and the capacity to raise capital or advocate for increased resources.



Subdimensions	Benchmark of Capacity: High Level in Place	Benchmark of Capacity: Moderate Level in Place	Benchmark of Capacity: Basic Level in Place	Current Capacity Level and Notes
3.a. Maximizing revenue	<ul style="list-style-type: none"> <li>◆ Your organization has identified and mobilized sufficient resources—within limited budget realities—from across the team and other partner organizations for the project to maximize impact.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Your organization has identified possible sources of funding and other resources from partner organizations.</li> <li>◆ Your organization has access to expertise to coordinate (pool) or integrate (blend or braid) funding for maximum impact.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Your organization has started to have discussions about leveraging and coordinating resources for funding the project and maximizing impact.</li> </ul>	<p><input type="checkbox"/>High <input type="checkbox"/>Moderate <input type="checkbox"/>Basic</p> <p><b>Notes:</b></p>
3.b. Managing finances	<ul style="list-style-type: none"> <li>◆ There are very solid financial plans and management in place.</li> <li>◆ There are continuous updates regarding finances.</li> <li>◆ The budget is integrated into full operation.</li> <li>◆ Use your financial plan as a strategic tool.</li> <li>◆ The financing plan reflects your organization’s needs and objectives.</li> <li>◆ There are well-understood divisional project budgets within the overall budget.</li> <li>◆ The performance-to-budget is closely and regularly monitored.</li> </ul>	<ul style="list-style-type: none"> <li>◆ There are solid financial plans in place.</li> <li>◆ Your organization is regularly updated regarding finances.</li> <li>◆ The budget is integrated into operations.</li> <li>◆ Financial plans reflect organizational needs.</li> <li>◆ Solid efforts are made to isolate project budgets within the central budget.</li> <li>◆ The performance-to-budget is monitored regularly.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Your organization has limited financial plans and financing is rarely discussed.</li> <li>◆ The budget is used as an operational tool.</li> <li>◆ The budget is used to guide or assess financial activities.</li> <li>◆ There is some attempt to isolate project budgets within the overall budget.</li> <li>◆ The performance-to-budget is monitored periodically.</li> </ul>	<p><input type="checkbox"/>High <input type="checkbox"/>Moderate <input type="checkbox"/>Basic</p> <p><b>Notes:</b></p>

## DIMENSION 4: Infrastructure

This dimension consists of the systems, protocols, and processes that give structure to the organization, support its key functions, and embed routine practice. This includes the policies and operating procedures that guide practice and build a shared understanding of how to advance early learning opportunities and outcomes. Infrastructure also includes an agency’s systems for operations—from human resources, training, supervision, and ongoing communication systems to data, evaluation, and continuous quality improvement systems.



Subdimensions	Benchmark of Capacity: High Level in Place	Benchmark of Capacity: Moderate Level in Place	Benchmark of Capacity: Basic Level in Place	Current Capacity Level and Notes
<p>4.a. Creating a high-functioning organization that includes a plethora of experience and skillset</p>	<ul style="list-style-type: none"> <li>◆ There is diverse representation in staff—they are from a variety of fields of practice and have functional and program content-related expertise as well as experience thinking and operating at both a strategic and systemic level.</li> <li>◆ Staff members are highly motivated to invest in learning about the organization and addressing its issues.</li> <li>◆ Staff members have an outstanding commitment to the organization’s vision and success; they meet in person regularly (including subcommittee meetings), there is good attendance, and they achieve results.</li> </ul>	<ul style="list-style-type: none"> <li>◆ There is good diversity among staff, including their fields of practice and expertise.</li> <li>◆ Staff have a diverse skillset and experience.</li> <li>◆ Staff have a good commitment to the organization’s success, vision, and mission.</li> <li>◆ Staff have regular, purposeful meetings that are well planned, have consistently good attendance, and that achieve results, including occasional subcommittee meetings.</li> </ul>	<ul style="list-style-type: none"> <li>◆ There is some diversity among staff, including their fields of practice.</li> <li>◆ There is a lack of a diverse skillset among staff and leadership and only a moderate commitment to the organization’s vision and success.</li> <li>◆ Staff have regular, purposeful meetings that are well planned and during which attendance is good overall.</li> </ul>	<p><input type="checkbox"/>High <input type="checkbox"/>Moderate <input type="checkbox"/>Basic</p> <p><b>Notes:</b></p>
<p>4.b. Establishing high-functioning interagency planning and implementation</p>	<ul style="list-style-type: none"> <li>◆ There is constant and seamless integration between staff and leadership within your organization; they work together effectively on planning and implementation.</li> <li>◆ Relationships are dictated by project planning and implementation needs (rather than hierarchy or politics).</li> </ul>	<ul style="list-style-type: none"> <li>◆ Staff within your organization function together effectively; they share information and resources and work together on planning efforts.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Interactions between the different areas of your organization are generally good or somewhat effective in planning efforts.</li> </ul>	<p><input type="checkbox"/>High <input type="checkbox"/>Moderate <input type="checkbox"/>Basic</p> <p><b>Notes:</b></p>



Subdimensions	Benchmark of Capacity: High Level in Place	Benchmark of Capacity: Moderate Level in Place	Benchmark of Capacity: Basic Level in Place	Current Capacity Level and Notes
<p>4.c. Developing and using a strategic plan</p>	<ul style="list-style-type: none"> <li>◆ A strategic plan is used extensively to guide the organization’s decisions.</li> <li>◆ Strategic planning exercises and revisions are carried out regularly.</li> <li>◆ There is regular progress reporting on strategic plan execution and revisions as needed.</li> <li>◆ Sustainability planning is routinely incorporated as part of the process.</li> <li>◆ There is efficient use of external, sustainable, highly-quality resources.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Staff have the ability and tendency to develop and refine concrete, specific, and realistic goals.</li> <li>◆ There is some internal expertise on strategic planning or access to relevant external assistance.</li> <li>◆ Strategic planning is an activity occurring on a near-regular basis.</li> <li>◆ Sustainability planning is included in strategic planning.</li> </ul>	<ul style="list-style-type: none"> <li>◆ The team intends to develop a high-level strategic plan but has not written or updated such a plan.</li> </ul>	<p><input type="checkbox"/>High <input type="checkbox"/>Moderate <input type="checkbox"/>Basic</p> <p><b>Notes:</b></p>
<p>4.d. Using performance management and continuous quality improvement</p>	<ul style="list-style-type: none"> <li>◆ There is a high-functioning performance team and a well-developed comprehensive, integrated system (such as, PDCA cycle; balanced scorecard) used for measuring performance and continuous quality improvement, including modifying activities.</li> <li>◆ There is a small number of clear, measurable, and key performance indicators.</li> <li>◆ Social impact is measured based on evaluation.</li> </ul>	<ul style="list-style-type: none"> <li>◆ There is a performance team in place, performance is measured, and progress is tracked in multiple ways, several times a year; there is no formal continuous quality improvement system in place.</li> <li>◆ Stakeholder input is a part of the performance process, as well as other social, financial, and organizational activities.</li> <li>◆ There are some performance indicators but an evaluation is missing.</li> </ul>	<ul style="list-style-type: none"> <li>◆ There is a performance team in place, and performance is partially measured and progress is partially tracked.</li> <li>◆ The organization regularly collects quality data on activities and outputs but lacks data-driven impact measurement.</li> </ul>	<p><input type="checkbox"/>High <input type="checkbox"/>Moderate <input type="checkbox"/>Basic</p> <p><b>Notes:</b></p>



Subdimensions	Benchmark of Capacity: High Level in Place	Benchmark of Capacity: Moderate Level in Place	Benchmark of Capacity: Basic Level in Place	Current Capacity Level and Notes
<p>4.e. Ability to influence high-level decisionmakers and policymaking</p>	<ul style="list-style-type: none"> <li>◆ Your organization proactively and reactively influences other decisionmakers and policymaking relevant to the project in a highly effective manner, on state and national levels.</li> <li>◆ The organization is always ready for and often called on to participate in substantive discussion and at times initiates discussions.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Your organization is fully aware of its potential to influence other key decisionmakers and policymaking and is active in relevant discussions at the state or national level.</li> </ul>	<ul style="list-style-type: none"> <li>◆ Your organization is aware of its potential to influence high-level decisionmakers and policymaking.</li> <li>◆ There is some readiness and skill to participate in higher-level policy discussion.</li> </ul>	<p><input type="checkbox"/>High <input type="checkbox"/>Moderate <input type="checkbox"/>Basic <b>Notes:</b></p>
<p>4.f. Using organizational structures and processes to function effectively and efficiently in critical areas, such as communication, decisionmaking, and planning</p>	<ul style="list-style-type: none"> <li>◆ There is a robust, lean, and well-designed set of processes (such as, communication, decisionmaking, planning) in place in all areas to ensure effective and efficient functioning of the organization.</li> <li>◆ The organizational processes are widely known, used, and accepted, and are key to ensuring the organization’s full impact.</li> <li>◆ There is continual monitoring and assessment of processes and systematic improvements made.</li> </ul>	<ul style="list-style-type: none"> <li>◆ There is a solid, well-designed set of processes in place in core areas to ensure the organization’s smooth, effective functioning.</li> <li>◆ The organizational processes are known and accepted by many and are often used and contribute to increased impact.</li> <li>◆ There is occasional monitoring and assessment of processes, with some improvements made.</li> </ul>	<ul style="list-style-type: none"> <li>◆ There is a basic set of processes in place, such as communication, decisionmaking, and planning; however, processes are known, used, and accepted by only a portion of the team.</li> <li>◆ There is limited monitoring and assessment of processes, with few improvements made in consequence.</li> </ul>	<p><input type="checkbox"/>High <input type="checkbox"/>Moderate <input type="checkbox"/>Basic <b>Notes:</b></p>
<p>4.g. Developing, aligning, and integrating a system of support for children, families, and early childhood programs</p>	<ul style="list-style-type: none"> <li>◆ There is a clear set of integrated cross-sector expectations and monitoring systems for early childhood programs and professionals so that services and practices reach common goals on behalf of children and families.</li> <li>◆ Early childhood program policies and activities build on one another rather than contradict or duplicate.</li> </ul>	<ul style="list-style-type: none"> <li>◆ There are clear and aligned expectations for early childhood programs and professionals so that services and practices reach common goals on behalf of children and families.</li> <li>◆ Work has begun to reconceptualize programs so that there is an integrated vision.</li> </ul>	<ul style="list-style-type: none"> <li>◆ There are well-designed programs, monitoring, standards and policies, which are effectively implemented. However, they were conceptualized and are delivered as stand alone, often contradicting or duplicating other similar programs.</li> </ul>	<p><input type="checkbox"/>High <input type="checkbox"/>Moderate <input type="checkbox"/>Basic <b>Notes:</b></p>



## DIMENSION 5: Knowledge and Skills

Organizational knowledge and skills consist of the essential expertise and competencies needed to perform your organization’s early learning work. Think of this as the organization’s know-how. For each level of an organization, this will look different. At the frontline, this may include understanding and application of effective practices, decisionmaking, performance tracking, and cultural competence. For managers and administrators, it may include knowledge and skills related to leadership, systems thinking, management, critical analysis, policymaking, workforce development, and change management.

Subdimensions	Benchmark of Capacity: High Level in Place	Benchmark of Capacity: Moderate Level in Place	Benchmark of Capacity: Basic Level in Place	Current Capacity Level and Notes
5.a. Using systems thinking	<ul style="list-style-type: none"> <li>◆ The organization has the ability to see the whole ecosystem.</li> <li>◆ The organization has the ability to help groups of people see the larger system so they can build a shared understanding of complex problems.</li> <li>◆ The organization has the ability to foster reflection and creativity and generative conversations.</li> <li>◆ The organization has the ability to examine its thinking, see the underlying assumptions that can be carried into any conversation, and appreciate how mental models may limit staff.</li> </ul>	<ul style="list-style-type: none"> <li>◆ The organization has a clear understanding of the whole system but is not yet moving groups of people to a shared understanding of complex problems.</li> <li>◆ The organization has the ability to reflect and think creatively and test assumptions.</li> </ul>	<ul style="list-style-type: none"> <li>◆ The organization understands the concept of systems thinking but has not had the opportunity to practice in settings with a group of people.</li> </ul>	<p><input type="checkbox"/>High <input type="checkbox"/>Moderate <input type="checkbox"/>Basic</p> <p><b>Notes:</b></p>



Subdimensions	Benchmark of Capacity: High Level in Place	Benchmark of Capacity: Moderate Level in Place	Benchmark of Capacity: Basic Level in Place	Current Capacity Level and Notes
<p>5.b. Incorporating a distributed leadership perspective</p>	<ul style="list-style-type: none"> <li>◆ The organization is able to set new directions through a distributive leadership model, empowering others to lead jointly and manage.</li> <li>◆ The organization is able to shift the group focus from reactive problem solving to cocreating the future.</li> <li>◆ The organization is artful at helping people move beyond just reacting to problems to building positive visions for the future in a joint approach.</li> </ul>	<ul style="list-style-type: none"> <li>◆ The organization understands the concepts of a distributed leadership perspective, such as leading and managing from multiple places within a system and not just from formal designated leadership positions.</li> <li>◆ The organization empowers others to share leadership.</li> <li>◆ The organization has practiced in real-life situations but is not yet able to move groups beyond reacting to problems.</li> </ul>	<ul style="list-style-type: none"> <li>◆ The organization understands the concepts of a distributed leadership perspective, such as leading and managing from multiple places within a system and not just from formal designated leadership positions.</li> <li>◆ The organization empowers others to share leadership.</li> <li>◆ The organization has not had very many opportunities to practice in real-life situations.</li> </ul>	<p><input type="checkbox"/>High <input type="checkbox"/>Moderate <input type="checkbox"/>Basic</p> <p><b>Notes:</b></p>
<p>5.c. Using strategic thinking</p>	<ul style="list-style-type: none"> <li>◆ The organization possesses keen and exceptional ability to synthesize complexity.</li> <li>◆ The organization makes informed decisions in ambiguous, uncertain situations.</li> <li>◆ The organization develops strategic alternatives and identifies associated rewards, risks, and actions.</li> </ul>	<ul style="list-style-type: none"> <li>◆ The organization quickly assimilates complex information and is able to distill it to core issues.</li> <li>◆ The organization welcomes ambiguity and is comfortable dealing with the unknown.</li> <li>◆ The organization sometimes or often develops robust strategies.</li> </ul>	<ul style="list-style-type: none"> <li>◆ The organization is able to cope with some complexity and ambiguity.</li> <li>◆ The organization is able to analyze and periodically generate strategies.</li> </ul>	<p><input type="checkbox"/>High <input type="checkbox"/>Moderate <input type="checkbox"/>Basic</p> <p><b>Notes:</b></p>



Subdimensions	Benchmark of Capacity: High Level in Place	Benchmark of Capacity: Moderate Level in Place	Benchmark of Capacity: Basic Level in Place	Current Capacity Level and Notes
5.d. Executing the work	<ul style="list-style-type: none"> <li>◆ The organization has an extremely capable set of individuals who bring exceptional implementation skills.</li> <li>◆ The organization is culturally competent, reliable, loyal, and highly committed to the project's success and to making things happen.</li> <li>◆ The organization often goes beyond call of duty.</li> </ul>	<ul style="list-style-type: none"> <li>◆ The organization has a capable set of individuals who bring complimentary skills to the organization.</li> <li>◆ The organization is culturally competent, reliable, and committed to the project's success and to making things happen.</li> </ul>	<ul style="list-style-type: none"> <li>◆ The organization has a capable set of individuals, but they do not have all the skills or abilities necessary for the project's success.</li> </ul>	<p><input type="checkbox"/>High <input type="checkbox"/>Moderate <input type="checkbox"/>Basic</p> <p><b>Notes:</b></p>
5.e. Valuing equity and diversity	<ul style="list-style-type: none"> <li>◆ The organization has widespread knowledge and skills for equity and diversity practices, such as the following:                             <ul style="list-style-type: none"> <li>■ Work groups or staff positions in place to implement equity policies;</li> <li>■ Ongoing training and dialogue among staff and management to help make cultural competency and equity a part of standard operating procedures;</li> <li>■ Staff accountable for activities that support equity policies; and</li> <li>■ Data tracking those who are benefiting from services and those who are not.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>◆ The organization has shared understanding for equity and diversity policies, but they are not fully implemented. Some practices that may be in use are as follows:                             <ul style="list-style-type: none"> <li>■ Work groups or staff positions in place to implement equity policies;</li> <li>■ Ongoing training and dialogue among staff and management to help make cultural competency and equity a part of standard operating procedures;</li> <li>■ Staff accountable for activities that support equity policies; and</li> <li>■ Data tracking those who are benefiting from services and those who are not.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>◆ The organization has shared awareness of equity and diversity, but practices are not in place.</li> </ul>	<p><input type="checkbox"/>High <input type="checkbox"/>Moderate <input type="checkbox"/>Basic</p> <p><b>Notes:</b></p>



## Summary of Findings (Notes and Ratings)



## Glossary

- ◆ **Distributed leadership:** This type of leadership focuses on how people complete tasks that involve different people distributed across an organization. This approach is used to determine how leadership works in complex organizations. (Spillane & Diamond, 2007)
- ◆ **Promoting equity:** The process of eliminating disparities that adversely affect groups of people who have systematically experienced greater obstacles to participating in quality early learning experiences.
- ◆ **Social impact:** The effect of an activity or investment on the social fabric of the community and well-being of individuals and families.
- ◆ **Bronfenbrenner's ecological systems theory:** Developed by American psychologist Urie Bronfenbrenner, this theory explains how the environment interacts with children to influence how they develop. Bronfenbrenner stresses the importance of studying a child in the context of multiple environments, also known as ecological systems. A child is usually enmeshed in different ecosystems, from the home ecological system moving outward to the school system and then the most expansive system—society and culture. Each of these systems interact with and influence each other to impact all aspects of a child's life. (Psychology Notes HQ, 2013)
- ◆ **PDCA cycle:** The plan-do-check-act (PDCA) cycle is a four-step approach that calls for constant interaction and repetition among the steps to support continuous improvement. This dynamic and deliberate nonlinear process can instill sustainable change.
  - Plan what to do.
  - Do it.
  - Check the results.
  - Act to make adjustments and improve. (W. Edwards Deming Institute, n.d.)

## Resources

### Dimension 1. Culture and Climate

- ◆ Aspen Education and Society Program, & Council of Chief State School Officers. (2017). Appendix B. Additional resources to support equity commitments. *Leading for equity: Opportunities for state education chiefs* (pp. 1–15). Retrieved from <http://www.ccsso.org/sites/default/files/2017-11/LeadingforEquityResourceAppendixB02022017.pdf>
  - This bibliography shares resources that promote equity practices. Some of the following concepts are covered: prioritizing equity by setting equity targets and goals, creating accountability measures for equity, and implementing and measuring equity programs.
- ◆ Child Care State Capacity Building Center. (2019). Chapter 1. Leadership. *Systems building resource guide* (pp. 1–21). Washington, DC: Office of Child Care. Retrieved from



[https://childcareta.acf.hhs.gov/systemsbuilding/sites/default/files/media/20130\\_OCC\\_EarlyChildhoodSystem\\_BuildingResourceGuides\\_Chapter1\\_V14\\_508.pdf](https://childcareta.acf.hhs.gov/systemsbuilding/sites/default/files/media/20130_OCC_EarlyChildhoodSystem_BuildingResourceGuides_Chapter1_V14_508.pdf)

- As leaders, one of the best ways to intervene and bring about change is to deepen our learning about ourselves—to improve our understanding of our own actions, behaviors, decision-making processes, conversations, questions, and choices. To help us with this type of learning, we can turn to the latest in neuroscience, which has discovered new insights into the key drivers of adult learning and behavior. “Leadership,” chapter 1 of *Systems Building Resource Guide*, shares cutting edge, brain-based models for improving our individual and systems leadership practices as well as approaches for leading change.
- ◆ Child Care State Capacity Building Center. (2019). Chapter 2. Strategic plans. *Systems building resource guide* (pp. 1–10). Washington, DC: Office of Child Care. Retrieved from [https://childcareta.acf.hhs.gov/systemsbuilding/sites/default/files/media/SystemsBuildingResource%20Guide\\_2\\_PrintFile\\_0.pdf](https://childcareta.acf.hhs.gov/systemsbuilding/sites/default/files/media/SystemsBuildingResource%20Guide_2_PrintFile_0.pdf)
  - Strategic planning is an essential part of early childhood systems building, providing a state and its partners with a coherent vision and roadmap. Chapter 2 of *Systems Building Resource Guide* provides an overview of key concepts linking strategic planning and systems building, describing what strategic planning is and its importance to systems building. This chapter presents key elements, quick tips for strategic planning, and dangers to avoid in the planning process. It also provides an organizational design approach that helps accelerate the work getting done, examples of statewide and city-specific strategic plans, and resources.
- ◆ Colorado Department of Education. (2019). *Equity toolkit for administrators* [Guide]. Retrieved from [https://www.cde.state.co.us/sites/default/files/documents/cde\\_english/download/resources-links/equity%20toolkit%20final\\_2010.pdf](https://www.cde.state.co.us/sites/default/files/documents/cde_english/download/resources-links/equity%20toolkit%20final_2010.pdf)
  - This toolkit includes information for administrators and their communities as they create strategies and measures to promote equity. The resource shares information about how to address the effects of a crisis within an organization. It also outlines interventions for and maintenance of an accepting culture.
- ◆ Hendrix, A. T., & Pillsbury, J. B. (n.d.). Journey mapping: Becoming aware of the influence of race, class, and culture on results. Retrieved from <http://rbl-apps.com/JourneyMapping.php>
  - This exercise helps leaders consider how their life experiences affect their thoughts on race, class, culture, and sexual orientation, which can inform how they approach disparities. Through this self-awareness exercise, leaders learn to share their experiences and listen to others’ experiences, helping them better understand the basic ideas that guide their actions.
- ◆ National Farm to School Network. (2019). *Racial and social equity assessment tool for farm to school programs and policy*. Retrieved from <http://www.farmtoschool.org/Resources/NFSNEquityAssessmentTool.pdf>
  - This assessment tool is designed to support the National Farm to School Network’s racial and social equity goal by expanding our knowledge of structural, institutional, and relational racism. This tool is intended to be used by participants to accomplish the following:
    - Improve the ability to find racial and social inequities within an organization; local, state, and national programs; and policy initiatives.
    - Support decision-making processes that use opportunities for improving racial and social equity.
    - Build a community of practice to allow us to take initiative within our area.
    - Boost our collective power to discuss the aspects needed for change.



- ◆ Nelson, J., & Brooks, L. (2016). *Racial equity toolkit: An opportunity to operationalize equity*. Retrieved from the Government Alliance on Race and Equity at [http://racialequityalliance.org/wp-content/uploads/2015/10/GARE-Racial\\_Equity\\_Toolkit.pdf](http://racialequityalliance.org/wp-content/uploads/2015/10/GARE-Racial_Equity_Toolkit.pdf)
  - This toolkit can help your organization apply equity. Racial equity tools are intended to mix specific considerations of racial equity in decisions, such as policies, practices, programs, and budgets. This racial equity tool can help you develop plans and actions that decrease racial inequalities and increase success for every group.
- ◆ Rock, D., Grant, H., & Slaughter, M. (2018). *The NLI guide: How culture change really happens*. Retrieved from <https://neuroleadership.com/your-brain-at-work/how-culture-change-really-happens/>
  - This guide from the NeuroLeadership Institute uses science to create approaches for enhancing leadership practices. The guide shares a framework for making permanent behavior-change, such as setting priorities for cultural change, recognizing new practices for applying change, and removing problems in accepting new practices in the work process.
- ◆ Shapiro, I. (2002). *Training for racial equity and inclusion: A guide to selected programs*. Retrieved from the Aspen Institute at [https://assets.aspeninstitute.org/content/uploads/files/content/docs/pubs/training\\_racial\\_equity.pdf](https://assets.aspeninstitute.org/content/uploads/files/content/docs/pubs/training_racial_equity.pdf)
  - This guide offers information on racial equity training programs for organizations. It reviews and compares ten racial equity programs. It outlines how programs recognize the foundations and dynamics of racial and ethnic oppression and the ideas and approaches they use to discuss problems. This guide is designed to help community leaders, organizations, policy makers, funders, and other participants choose and promote methods that align with their goals and needs.

## Dimension 2. Engagement and Partnerships

- ◆ Chawla, R. (n.d.). Strategies for acting politically worksheet: Leverage input from and collaboration with stakeholders. Retrieved from <http://theoclgrou.com/resources/>
  - This worksheet helps readers perform a stakeholder analysis to improve plans for engagement. Involving stakeholders provides an opportunity for them to share their expertise, have their concerns addressed, and contribute to the decisionmaking process. Engaging stakeholders also encourages system-building partnerships.
- ◆ Child Care State Capacity Building Center. (2019). Chapter 4. Strategic relationships. *Systems building resource guide* (pp. 1–10). Washington, DC: Office of Child Care. Retrieved from <https://childcareta.acf.hhs.gov/systemsbuilding/systems-guides/strategic-relationships>
  - “Strategic Relationships,” chapter 4 of *Systems Building Resource Guide*, is about building and sustaining strategic relationships in the context of systems building, understanding the value of strategic relationships, and initiating and sustaining relationships. This guide also provides quick tips for CCDF Administrators and resources.
- ◆ Child Care State Capacity Building Center. (2019). Chapter 5. Stakeholder communications. *Systems building resource guide* (pp. 1–12). Washington, DC: Office of Child Care. Retrieved from <https://childcareta.acf.hhs.gov/systemsbuilding/systems-guides/stakeholder-communications>



- Engaging stakeholders, parents, state and local officials, and philanthropy and business leaders in conversation about the importance of high quality early childhood services, and the challenges of providing them, requires collaborative leadership and thoughtful, intentional planning to discern what children really need at home, school, and in the community to be successful. “Stakeholder Communications,” chapter 5 of *Systems Building Resource Guide*, addresses the benefits of communicating and engaging with stakeholders, communication plans, making the most of stakeholder meetings, and resources.
- ◆ Early Learning Challenge Technical Assistance Program, U.S. Department of Education in partnership with Administration for Children and Families, U.S. Department of Health and Human Services. (2014). *Increasing provider engagement in quality rating and improvement systems* [Brief]. Retrieved from <https://www.qrisnetwork.org/sites/all/files/resources/mrobinson%40buildinitiative.org/2014-10-14%2013%3A25/Increasing%20Provider%20Engagement%20in%20Quality%20Rating%20and%20Improvement%20Systems.pdf>
  - This resource shares information about creative ways to increase provider participation in quality rating and improvement systems. It includes examples from Indiana, Kentucky, and Washington.
- ◆ National Center on Early Childhood Quality Assurance. (2019). Family and stakeholder engagement [Fact sheet]. *Quality compendium*. Washington, DC: Office of Child Care. Retrieved from <https://childcareta.acf.hhs.gov/resource/family-and-stakeholder-engagement-qris-2017-fact-sheet>
  - This fact sheet describes QRIS family-engagement indicators and stakeholder-engagement campaigns implemented nationwide in 2017.
- ◆ Western and Pacific Child Welfare Implementation Center. (2013). *Stakeholder engagement: Tools for action* [Toolkit]. Retrieved from [http://www.advancingstates.org/sites/nasuad/files/WPIC\\_DCFS\\_Stakeholder\\_Engagement\\_Toolkit.pdf](http://www.advancingstates.org/sites/nasuad/files/WPIC_DCFS_Stakeholder_Engagement_Toolkit.pdf)
  - This toolkit was designed to help the Los Angeles Department of Children and Family Services implement stakeholder engagement goals in its strategic plan. However, other organizations can use this resource to develop and implement strategies for involving internal and external stakeholders.
- ◆ Wolf, T., & Antoni, G. (2012). *More than the sum of its parts: Collaboration and sustainability in arts education* [Report]. Retrieved from [https://www.bighthought.org/wp-content/uploads/2015/09/MoreThanSumParts\\_Full\\_e-Version4-1.pdf](https://www.bighthought.org/wp-content/uploads/2015/09/MoreThanSumParts_Full_e-Version4-1.pdf)
  - This report shares tools and tips to help organizations improve their community engagement work. Effective community engagement leads to increased credibility and better access to resources and expertise.

### Dimension 3. Financial Resources

- ◆ BUILD Initiative. (2019). *Funding our future: Generating state and local tax revenue for quality early care and education* [Report]. Retrieved from <https://www.buildinitiative.org/blog/funding-our-future-generating-state-and-local-tax-revenue-for-quality-early-care-and-education->
  - This report provides information on how tax revenue can increase the accessibility of quality early care and education programs. The report provides insight on how to produce funds for early child care programs, such as through particular tax policies.
- ◆ Center for Health Care Strategies, Inc. (2019). The first 1,000 days: Medicaid’s critical role [Infographic]. Retrieved from [https://www.chcs.org/media/Medicaid-Early-Childhood-Lab-Infographic\\_060917.pdf](https://www.chcs.org/media/Medicaid-Early-Childhood-Lab-Infographic_060917.pdf)



- This infographic explains the role of Medicaid in helping low-income families. It describes how this program can help prevent adverse childhood experiences in young children. For example, Medicaid provides coverage for developmental screenings and preventive care.
- ◆ Center for Health Care Strategies, Inc. (2019). *What makes an early childhood Medicaid partnership work? Insights from three cross-sector collaborations* [Brief]. Retrieved from [https://www.chcs.org/media/MECIL-Brief\\_011719.pdf](https://www.chcs.org/media/MECIL-Brief_011719.pdf)
  - This brief provides information on Medicaid-driven strategies to support young children and their families. It describes factors that contribute to successful cross-sector partnerships as well as specific examples from three sites.
- ◆ Center on Enhancing Early Learning Outcomes. (2016). *Financing early care and education: Annotated bibliography of resources*. Retrieved from [http://ceelo.org/wp-content/uploads/2014/05/CEELO\\_annotated\\_bibliography\\_ec\\_finance.pdf](http://ceelo.org/wp-content/uploads/2014/05/CEELO_annotated_bibliography_ec_finance.pdf)
  - This document offers selected resources on financing strategies for early care and education.
- ◆ Child Care State Capacity Building Center. (2019). Chapter 7. Financing strategically. *Systems building resource guide* (pp. 1–21). Washington, DC: Office of Child Care. Retrieved from <https://childcareta.acf.hhs.gov/systemsbuilding/systems-guides/financing-strategically>
  - This guide provides an overview of key concepts linking state financing options and systems building. The focus is on defining key state-based financing strategies, providing an overview of practical financial management practices, and reviewing financing forecasting tools.
- ◆ Child Care State Systems Specialist Network. (2014). *Federal and state funding for child care and early learning*. Retrieved from [https://childcareta.acf.hhs.gov/sites/default/files/public/federal\\_and\\_state\\_funding\\_for\\_child\\_care\\_and\\_early\\_learning\\_edited.pdf](https://childcareta.acf.hhs.gov/sites/default/files/public/federal_and_state_funding_for_child_care_and_early_learning_edited.pdf)
  - This summary includes facts about early childhood funding streams and the government agencies to which they correspond.
- ◆ Children's Defense Fund. (2018). *The Family First Prevention Services Act: Historic reforms to the child welfare system will improve outcomes for vulnerable children*. Retrieved from <https://www.childrensdefense.org/wp-content/uploads/2018/08/family-first-detailed-summary.pdf>
  - This summary shares information about the Family First Prevention Services Act, which was signed into law in 2018. The law helps children safely stay with their families and avoid having to enter foster care when possible. It also helps ensure children are placed in family-like environments suited to meet their specific needs when foster care is needed.
- ◆ Early Learning Challenge Technical Assistance. (2017). *Worksheet: Federal funding and other funding sources for early childhood*. Retrieved from <https://files.eric.ed.gov/fulltext/ED583843.pdf>
  - This resource helps stakeholders understand and determine next steps for federal funding sources. The worksheet helps users determine top funding sources for further exploration, questions to consider, who to contact, and suggested next steps.
- ◆ Finaldi, L. (2015). *Existing funding streams* [Handout]. Retrieved from <https://financingtools.buildthefoundation.org/wp-content/uploads/2016/03/Existing-Funding-Streams.pdf>
  - This toolkit offers information for communities about existing funding sources and how best to use them, including available dollars and ways to meet match requirements.



- ◆ Funding the Next Generation. (2018). *Creating local dedicated funding streams for kids: A guide to planning a local initiative to fund services for children, youth and their families*. Retrieved from <http://www.fundingthenextgeneration.org/nextgenwp/wp-content/uploads/2018/06/201805-FTNG-PlanningGuide-v25-web.pdf>
  - This guide describes how San Francisco built stable funding so that its service delivery system is of greater quality and is more accessible. Reading about the city's work can help readers learn how they can develop steady, local funding streams for children, youth, and family service delivery programs in their communities.
- ◆ Johnson-Staub, C. (2012). *Putting it together: A guide to financing comprehensive services in child care and early education*. Retrieved from <https://www.clasp.org/sites/default/files/public/resources-and-publications/publication-1/A-Guide-to-Financing-Comprehensive-Services-in-Child-Care-and-Early-Education.pdf>
  - This guide provides strategies and examples of how to finance comprehensive early care and education services. Strategies focus on policy changes that lead to the innovative use of funds and state and local partnerships.
- ◆ National Academies of Sciences, Engineering, and Medicine. (2018). *Issue brief for policy makers: A vision for financing early care and education*. Retrieved from [http://sites.nationalacademies.org/cs/groups/dbassesite/documents/webpage/dbasse\\_189173.pdf](http://sites.nationalacademies.org/cs/groups/dbassesite/documents/webpage/dbasse_189173.pdf)
  - This report for policy makers summarizes suggestions from the *Transforming the Financing of Early Care and Education* report.
- ◆ Save the Children Action Network. (2015). *Innovative financing for early childhood education: Federal options* [White paper]. Retrieved from <https://www.savethechildrenactionnetwork.org/wp-content/uploads/2015/07/federal-toolbox-financing-solutions.pdf>
  - This white paper offers solutions for expanding access to early childhood education while balancing the budget. The resource summarizes several ways to fund early learning programs, such as increasing private investments, levying excise taxes, and controlling government spending.
- ◆ Wallen, M., & Hubbard, A. (2013). *Blending and braiding early childhood funding program toolkit: Enhancing financing for high-quality early learning programs*. Retrieved from <https://www.theounce.org/wp-content/uploads/2017/03/NPT-Blended-Funding-Toolkit.pdf>
  - This resource offers information on making the most of public and private investments, such as combining funding from multiple programs to support early learning.

## Dimension 4. Infrastructure

- ◆ Baker, N. (2015). *Are flaws in decision-making processes causing conflict and poor alignment?—A quick diagnostic tool* [Handout]. Retrieved from [http://www.neilbakerconsulting.com/uploads/2/6/2/4/26245708/are\\_flaws\\_in\\_decision\\_making\\_processes\\_causing\\_conflict\\_and\\_poor\\_alignment-a\\_quick\\_diagnostic\\_april\\_2018.pdf](http://www.neilbakerconsulting.com/uploads/2/6/2/4/26245708/are_flaws_in_decision_making_processes_causing_conflict_and_poor_alignment-a_quick_diagnostic_april_2018.pdf)
  - This diagnostic tool helps recognize flaws in an organizational process, which improves the clarity and quality of decision-making.



- ◆ Brett, J., Behfar, K., & Kern, M. C. (2006). Managing multicultural teams. *Harvard Business Review*, November, 84–91. Retrieved from <https://hbr.org/2006/11/managing-multicultural-teams>
  - This resource offers suggested practices for managing multicultural teams and organizations.
- ◆ Bryson, J. M. (2011). *Strategic planning for public and nonprofit organizations: A guide to strengthening and sustaining organizational achievement* (4th ed.). Chicago, IL: Jossey-Bass, Inc.
  - This resource provides guidance to leaders, managers, and planners for strategic planning and management processes so that their organizations are more effective and responsive. This book offers strategies for public and nonprofit organizations through directions for specific processes as well as examples.
- ◆ BUILD Initiative. (n.d.). *Community systems development toolkit*. Retrieved from <http://www.buildinitiative.org/Resources/CommunitySystemsDevelopmentToolkit.aspx>
  - This toolkit shares resources and examples of cross-system activities that focus on systemic change. Shared activities include professional development and coordination of resources and referrals.
- ◆ Child Care State Capacity Building Center. (2019). Chapter 2. Strategic plans. *Systems building resource guide* (pp. 1–10). Washington, DC: Office of Child Care. Retrieved from <https://childcareta.acf.hhs.gov/systemsbuilding/systems-guides/strategic-plans>
  - Chapter 2 of the *Systems Building Resource Guide* provides an overview of key concepts linking strategic planning and systems building, describing what strategic planning is and its importance to systems building. This chapter presents key elements, quick tips for strategic planning, and dangers to avoid in the planning process. It also provides resources, examples of statewide and city-specific strategic plans, and an organizational design approach that helps accelerate the work getting done.
- ◆ Dholakia, A., Wolk, A., & Kreitz, K. (2009). Building a performance measurement system: Using data to accelerate social impact [Guide]. Retrieved from <https://www.issuelab.org/resource/building-a-performance-measurement-system-using-data-to-accelerate-social-impact.html>
  - This resource shares information about ways to build or refine a performance measurement system through a five-step process. The resource can be used to evaluate an organization's progress toward carrying out its mission and determine areas for improvement.
- ◆ Druskat, V. U., & Wolff, S. B. (2001). Building the emotional intelligence of groups. *Harvard Business Review*, March, 80–91. Retrieved from <https://hbr.org/2001/03/building-the-emotional-intelligence-of-groups>
  - This resource shares strategies for building and sustaining three conditions that are essential for group effectiveness: trust among members, group identity, and group efficacy. The authors suggest that teams can develop norms that encourage member participation, and those norms support behaviors for building trust, forming group identity, and ensuring group efficacy.
- ◆ Duhigg, C. (2016, February 25). What Google learned from its quest to build the perfect team. *New York Times*. Retrieved from <https://www.nytimes.com/2016/02/28/magazine/what-google-learned-from-its-quest-to-build-the-perfect-team.html>
  - This article shares information about Google's Project Aristotle, a research project to discover why some teams fall while others rise. Google found that high-performing teams have higher levels of psychological safety, measured by turn taking in team discussions and social sensitivity, which translates to the ability to read each other's social signals.



- ◆ Harvard Business Review. (2013). *HBR's 10 must reads on teams*. Boston, MA: Harvard Business Review Press.
  - This resource shares 10 articles on building better teams. These articles will help you build and direct teams that achieve results.
- ◆ Intersector Project. (2017). *The intersector toolkit: Tools for cross-sector collaboration*. Retrieved from <http://intersector.com/toolkit/>
  - This toolkit shares information for professionals in government, business, and the nonprofit sector. Readers can use the information to design, implement, and assess cross-sector collaborations.
- ◆ Jolles, R. (2013). *How to change minds: The art of influence without manipulation*. San Francisco, CA: Berrett-Koehler Publishers, Inc. Retrieved from [https://www.bkconnection.com/static/How\\_to\\_Change\\_Minds\\_EXCERPT.pdf](https://www.bkconnection.com/static/How_to_Change_Minds_EXCERPT.pdf)
  - This resource offers information on the process of influencing others. This book shares a repeatable and predictable process that will help you change another person's mind. The author helps you understand the difference between manipulation and influence.
- ◆ KPI.org. (n.d.). How to develop KPIS/performance measures [Web page]. Retrieved from <https://kpi.org/KPI-Basics/KPI-Development>
  - This resource offers strategies and tools to help create performance measures.
- ◆ National Implementation Research Network, Frank Porter Graham Child Development Institute. (n.d.). Decision support data system [Web page]. Retrieved from <https://nirn.fpg.unc.edu/module-2/decision-support-data-system>
  - This site highlights information about implementation drivers, such as decision-support data systems. These systems help create the infrastructure needed to improve and maintain practices and behaviors that improve outcomes.
- ◆ Ömürgönülşen, U. (2002). *Performance measurement in the public sector: Rising concern, problems in practice and prospects*. Retrieved from <http://dergipark.gov.tr/download/article-file/310550>
  - This paper shares research on performance management in the public sector. Performance management should be measured through technical, procedural, cultural, and attitudinal characteristics of an organization. The resource notes that organizations need to measure elements such as perceptions of responsiveness, honesty, equity, fairness, and accountability.
- ◆ Results for America. (n.d.). 2019 state standard of excellence: Performance management/continuous improvement [Web page]. Retrieved from <https://2019state.results4america.org/state-standard-of-excellence/performance-management--continuous-improvement.html>
  - This resource shares state and city performance management examples.
- ◆ Wallen, M., & Hubbard, A. (2013). *Blending and braiding early childhood funding program funding streams toolkit: Enhancing financing for high-quality early learning programs* (Version 2). Chicago, IL: Ounce of Prevention Fund. Retrieved from <https://www.theounce.org/wp-content/uploads/2017/03/NPT-Blended-Funding-Toolkit.pdf>
  - This toolkit offers information about making the most of public and private investments, such as combining funding from multiple programs.



## Dimension 5. Knowledge and Skills

- ◆ Ancona, D., & Backman, E. (2017). *Distributed leadership—From pyramids to networks: The changing leadership landscape*. Cambridge, MA: Massachusetts Institute of Technology Leadership Center. Retrieved from [http://problemledleadership.mit.edu/wp-content/uploads/MIT\\_Whitepaper-From\\_Pyramids\\_to\\_Networks.pdf](http://problemledleadership.mit.edu/wp-content/uploads/MIT_Whitepaper-From_Pyramids_to_Networks.pdf)
  - This resource provides information on the changing leadership structure from a pyramid to a network approach. The resource provides information on the concept of distributed leadership, which is a collaborative leadership practice.
- ◆ Aspen Education & Society Program, & Council of Chief State School Officers. (2017). Appendix B. Additional resources to support equity commitments. In *Leading for equity: Opportunities for state education chiefs*. Retrieved from <http://www.ccsso.org/sites/default/files/2017-11/LeadingforEquityResourceAppendixB02022017.pdf>
  - This bibliography shares resources that promote equity practices. Some of the following concepts are covered: prioritizing equity by setting equity targets and goals, creating accountability measures for equity, and implementing and measuring equity programs.
- ◆ Chien, N., Blasberg, A., Daneri, P., Halle, T., King, C., Zaslow, M., Fisher, K., & Dwyer, K. (2013). *Conceptualizing and measuring collaboration in the context of early childhood care and education* (Research brief OPRE 2013-29). Washington, DC: Office of Planning, Research and Evaluation (OPRE), Administration for Children and Families, U.S. Department of Health and Human Services. Retrieved from [https://www.acf.hhs.gov/sites/default/files/opre/collaborations\\_brief.pdf](https://www.acf.hhs.gov/sites/default/files/opre/collaborations_brief.pdf)
  - This brief provides information about a study focusing on key collaboration components in the early care and education field. It presents a logic model that measures collaboration and explains its components. These components are brought to life through a collaboration example. Finally, it shares findings from a review of current measures of collaboration, provides key considerations for measurement, and presents areas for future research.
- ◆ Child Care State Capacity Building Center. (2019). Resource guide 1: Leadership. In *Early childhood systems building resource guide*. Washington, DC: Office of Child Care. Retrieved from <https://childcareta.acf.hhs.gov/systemsbuilding/systems-guides/leadership>
  - This guide shares leadership approaches and issues that are often in play during times of change. The guide covers the following topics: change management, teams and change, governance, decision-making, conflict resolution, public-private partnerships, and resources.
- ◆ Colorado Department of Education. (2010). *Equity toolkit for administrators*. Retrieved from [https://www.cde.state.co.us/sites/default/files/documents/cde\\_english/download/resources-links/equity%20toolkit%20final\\_2010.pdf](https://www.cde.state.co.us/sites/default/files/documents/cde_english/download/resources-links/equity%20toolkit%20final_2010.pdf)
  - This toolkit includes information for administrators and their communities as they create strategies and measures to promote equity. The resource shares information about how to address the effects of a crisis within an organization. It also outlines interventions for and maintenance of an accepting culture.
- ◆ Council of Chief State School Officers. (2019). *Leadership playbook for Chief State School Officers*. Retrieved from <http://www.ccsso.org/resource-library/leadership-playbook-chief-state-school-officers>



- This resource shares information about inspirational leadership at a state education agency. It outlines positive management practices and explains the behaviors and actions of inspirational leaders. This resource also includes tips, case studies, and guiding questions to make the ideas noticeable and significant for all types of situations.
- ◆ Dichter, H. (2015). Chapter 1: State systems building through governance. In BUILD Initiative's *Rising to the challenge: Building effective systems for young children and families*. Retrieved from <http://www.buildinitiative.org/Portals/0/Uploads/Documents/E-BookChapter1StateSystemsBuildingThroughGovernance.pdf>
  - This chapter provides information on governance work from 14 state leaders. The resource helps early childhood leaders and advocates recognize the influence governance has on services for children and families using examples from the Early Learning Challenge states.
- ◆ Early Childhood Systems Working Group. (2013). *Comprehensive early childhood system-building: A tool to inform discussions on collaborative, cross-sector planning*. Retrieved from the Build Initiative's website at [http://www.buildinitiative.org/Portals/0/Uploads/Documents/ECSWG%20Systems%20Planning%20Tool\\_2014.pdf](http://www.buildinitiative.org/Portals/0/Uploads/Documents/ECSWG%20Systems%20Planning%20Tool_2014.pdf)
  - This tool uses the framework from the Early Childhood Systems Working Group. It gives state and community leaders information about how to collaborate more in order to create early childhood systems that best meet the needs of children and families.
- ◆ First 5 LA. (2013). *Elements of successful collaboration: Lessons learned by the Family Literacy Support Network*. Retrieved from [http://www.first5la.org/files/FLSN\\_Collaboration\\_final\\_11042013.pdf](http://www.first5la.org/files/FLSN_Collaboration_final_11042013.pdf)
  - This brief includes information about elements of successful collaboration for building capacity. It uses examples of lessons learned from the Family Literacy Support Network in Los Angeles County. This network recognizes factors that support collaboration, which ultimately benefits children, families, and communities.
- ◆ Hanleybrown, F., Kania, J., & Kramer, M. (2012, January 26). Channeling change: Making collective impact work. *Stanford Social Innovation Review*. Retrieved from [https://ssir.org/articles/entry/channeling\\_change\\_making\\_collective\\_impact\\_work](https://ssir.org/articles/entry/channeling_change_making_collective_impact_work)
  - This article describes collective impact work. It supports leaders of collective impact initiatives by addressing how to start, align, and maintain such initiatives.
- ◆ Haywood, J. (2015). *An executive book summary—Execution: The discipline of getting things done*. Retrieved from <https://keithwalker.ca/wp-content/summaries/d-f/Execution.Bossidy%20&%20Charan.EBS.pdf>
  - This book summary defines execution and how to achieve it. The summary shares how the book provides leaders with strategies for building execution in their organization through strategies, goals, and culture.
- ◆ Kania, J., & Kramer, M. (2011). Collective impact. *Stanford Social Innovation Review*. Retrieved from [https://ssir.org/articles/entry/collective\\_impact#](https://ssir.org/articles/entry/collective_impact#)
  - This article shares information about collective impact and the use of cross-sector collaboration to address social problems. The author shares five conditions of collective success, which are a common agenda, shared measurement systems, mutually reinforcing activities, continuous communication, and backbone support organizations.



- ◆ National Conference of State Legislatures. (2018). *A fair start: Ensuring all students are ready to learn*. Retrieved from [http://www.ncsl.org/Portals/1/Documents/educ/SPREE\\_Final\\_31940.pdf](http://www.ncsl.org/Portals/1/Documents/educ/SPREE_Final_31940.pdf)
  - This report is informed by a bipartisan framework that the State Policy and Research for Early Education Working Group designed to help state policymakers ensure that every child is prepared to learn. It offers strategies and policy options to help state leaders improve their state policy discussions as well as specific actions to take to ensure children's school readiness.
- ◆ Rock, D. (2008). SCARF: A brain-based model for collaborating with and influencing others. *NeuroLeadership Journal*, 1(1), 1–9. Retrieved from <https://schoolguide.casel.org/uploads/sites/2/2018/12/SCARF-NeuroleadershipArticle.pdf>
  - This article shares a neuroscience-based model for successfully collaborating with and influencing others. It argues that neuroscience is relevant to our leadership practices because it clarifies which factors drive our behavior. Considering our neurobiology can help us better understand how we respond to challenges in our field.
- ◆ Senge, P., Hamilton, H., & Kania, J. (2015). The dawn of system leadership. *Stanford Social Innovation Review*. Retrieved from [https://ssir.org/articles/entry/the\\_dawn\\_of\\_system\\_leadership](https://ssir.org/articles/entry/the_dawn_of_system_leadership)
  - This article outlines a systems leader's main capabilities. It identifies the competencies needed to bring about collective leadership.
- ◆ Zenger, J., & Folkman, J. (2016, May 23). 4 ways to be more effective at execution. *Harvard Business Review*. Retrieved from <https://hbr.org/2016/05/4-ways-to-be-more-effective-at-execution>
  - This article shares four ways to execute your efforts more effectively without increasing the number of hours you work.