

Cooperative Capacity Partnership Maturity Matrix

“[International] Aid is about building partnerships for development.”

The Paris Accord & Accra Agenda for Action



“Business is about people, partnerships, and processes.”

John Hay, cofounder Celestial Seasonings

PERFORMANCE INDICATORS FOR STRONG PARTNERS AND EFFECTIVE PARTNERSHIPS

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Introduction

“[International] Aid is about building partnerships for development.” The Paris Accord & Accra Agenda for Action

Partnerships and cooperation are intrinsic to international development. The development community recognizes that strong partnerships and cooperation are necessary for the achievement of development goals. Almost every effort by the international development community involves, whether recognized or not, a web of internal and external relationships between internal teams, outside agents, and national actors. We have observed that the quality of these relationships affects every aspect of development projects, including risk, performance, sustainability, scalability, and impact.

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Partnerships and cooperation are equally important in the private sector. Networks of partnerships between individuals, departments, and firms make up our organizations and industries. Good internal and external cooperation improves productivity in innumerable ways, including better customer experience, improved vendor/supplier integration, increased learning and innovation, transparency across silos, and real-time information exchange and response.

We believe these relationships, in both international development and the private sector, are not managed as well as they could be, and that this is due in part to the lack of tools to measure the quality of *cooperation and partnerships*. Our firm has created those tools. With these tools you can improve the performance of your partnerships. The key is a particular measurement - cooperative capacity, which predicts the future behavior of the relationship, the partnership’s ability to achieve its mission, and determines a strategy for building partner and partnership performance.

This booklet presents the core of Cooperative Capacity Partners’ intellectual property, the Partnership Maturity Matrix—a detailed tool for measuring five states of cooperative capacity.

Why We Are Publishing the Partnership Maturity Matrix

Cooperative Capacity Partners (CCP) is a for profit business. Our vision is a world of highly collaborative international partnerships, led by home countries, and supported by a community of highly cooperative partners. Our mission is to increase power sharing, cooperation, and performance in global public sector partnerships so that countries and organizations can take charge of their own development.

To achieve this vision and mission, we need for hundreds, if not thousands, of organizations to start measuring the quality of their partnerships - in order to acknowledge power differentials in their relationships, and then build cooperation and achieve real, measurable power sharing. Our tools do exactly this. Our business model is to create and support networks of partners and partnerships as they consciously improve their ability to partner.

Therefore, we want to share these tools with local and international senior managers, chiefs of party, project managers, capacity building specialists, monitoring and evaluation specialists, and all others who are interested in building organizational capacity to create strong, transparent, and truly collaborative partnerships.

Our Partnership Maturity Matrix, like a wheel, can be put to many uses. It can be used to:

- Predict how potential partners will work together in a partnership
- Predict future performance of current partners and existing partnerships based on their current management practices
- Build strong collaborative, high performing partnerships
- Develop adaptive, learning organizations and partnerships
- Assess the strengths and weaknesses of your partnership systems,
- Monitor, evaluate, and report on the quality of your partnerships.

These are just some of the uses we have imagined for this tool; you may come up with your own. That would be great! We just ask two things if you use this tool. First, please recognize Cooperative Capacity Partners as the tool's creator, and second, share with us feedback on the tool, both about how you use it and also suggestions for improvement. We are committed to improving this tool and our framework as we gain experience directly and from feedback of other users.

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A Brief Description of the Partnership Maturity Matrix

The Partnership Maturity Matrix combines two models of partnership, Elinor Ostrom and David Sloan Wilson's Core Design Principles and Cooperative Capacity Partners' cooperative capacity ladder.

1. The Core Design Principles

Ostrom studied over a thousand voluntary groups managing a common resource and developed a set of Core Design Principles based on the groups that were able to avoid the tragedy of the commons and collaboratively and successfully manage a common resource. Then later, she and Wilson generalized the Core Design Principles for any group or groups that work together.

Ostrom and Wilson's nine Core Design Principles structure the KPIs (Key Performance Indicators) of the partnership matrix. CCP has grouped the Core Design Principles into three major categories:

- *The partnership is defined*; It has strong group identity and a common understanding of purpose
- *The partnership is fair*; the partners share costs and benefits fairly
- *The partnership is able to govern itself*; it can monitor and correct itself

Ostrom and Wilson's work showed that if one or more of their core design principles were missing, an agreement failed, but their research did not define different levels of success. In other words, their work was not designed to show a relationship between how well these principles were implemented and differing levels of success. Nor did their work provide protocols for cultivating the principles.

2. The Cooperative Capacity States and Performance

Combining the Core Design Principles with the Cooperative Capacity States creates a framework that is able to correlate implementation of the principles with performance.

Cooperative Capacity Partners have identified five states of cooperation consistent with the core design principles that correlate directly with performance. Each state is a self-reinforcing cluster of organizational and partnership characteristics and management practices that result in measurable differences in performance.

In brief, partners or partnerships that are in:

Fragmented are unfocused, disorganized, and *ad-hoc* with very poor performance and a high probability of failure

Top-down are either bureaucratic or leader-focused. When bureaucratic, Top-down partners and partnerships perform minimally as they are risk averse, rigid and slow to change. Bureaucratic Top-down partners and partnerships achieve outputs, but will likely fail in competitive environments. When leader-focused, Top-down partners' and partnerships' performance is dependent on the leader. Under a strong, active leader they can achieve success; however, this success often falls apart when the leaders leaves.

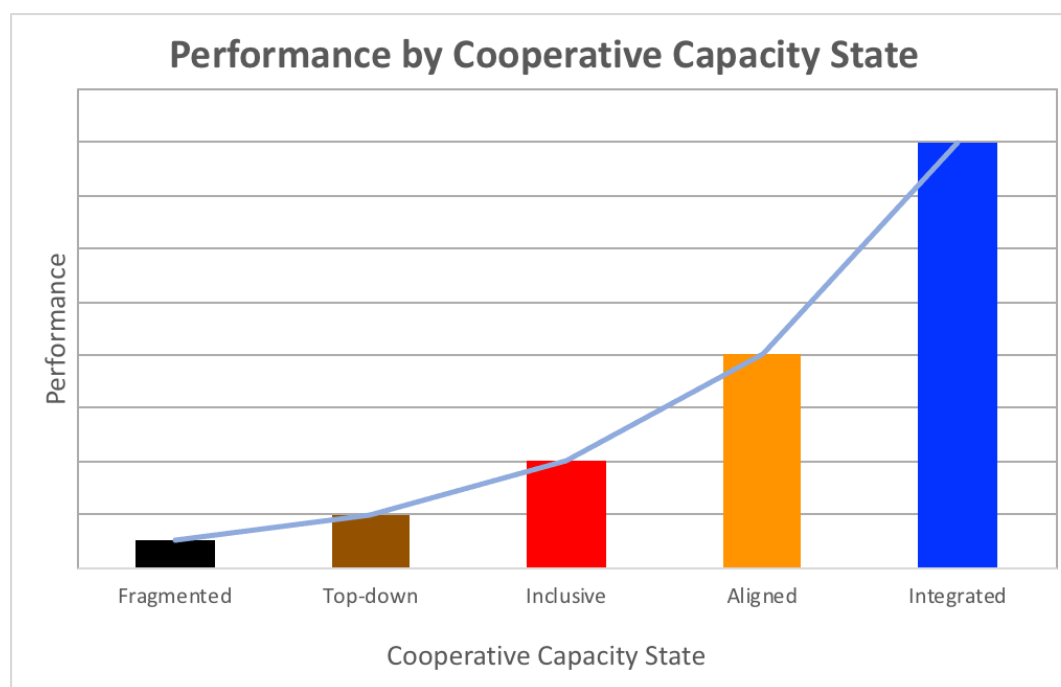
Inclusive are participative and responsive but undisciplined. Inclusive partners show good performance and are able to achieve outputs and some outcomes. Inclusive is the lowest state where capacity transfer among partners is likely to succeed. Inclusive partners and partnerships are able to survive in competitive environments

Aligned are participative, responsive, and disciplined, with priorities assigned to sub-groups and results systematically measured. The Sub-groups are strong performers within their areas of responsibilities but have difficulty cooperating with each other. Nevertheless, Aligned partners and partnerships are high performing, able to achieve capacity transfer, outcomes and some impact, and to compete at high levels in competitive environments.

Integrated are rational, adaptive, learning, and highly effective. The sub-groups of Aligned are now mutually responsible for achieving vision and mission. Integrated partners and partnerships are able to achieve impacts and create industry benchmarks.

Cooperative Capacity Partners' experience is that when a partner or partnership jumps into the next higher state, its performance, as measured by any stakeholder measure, at least doubles¹. (This makes cooperative capacity a great tool for real time monitoring and evaluation of capacity transfer efforts.)

The chart below shows the relationship between performance and cooperative state.



¹ Frank Page and Eric Wolterstorff, "Partnership Capacity, Five Cooperative States of Partnership Performance", Cooperative Capacity Partners, LLC, <https://cooperativecapacity.com/wp-content/uploads/2019/12/0.0-PARTNERSHIP-CAPACITY-5-Coop-States-web-version-12-17-2019.pdf>, 7/1/2020

3. Theoretical Background: The Cooperative Capacity Ladder

CCP has mapped out the states on a graph we call the *cooperative capacity ladder*. We are presenting the ladder here, with a brief description, to introduce the theory behind the cooperative capacity states.

The cooperative capacity ladder is derived from group-trauma and group-response-to-threat theory and shows the relationship between cooperation and stress. The Y-axis shows cooperation and the X-axis shows stress and dissociation.

In Figure 1, the Y-axis shows the level of cooperation, which is a proxy for performance. Both CCP's experience and management literature show that increased cooperation leads to increased performance. In the figure, cooperation ranges from "Fragmented," with very low levels of cooperation, to Integrated, the highest level of cooperation. The shifts from Fragmented to Integrated happens as members become invested in the vision, mission, and strategy of an organization or partnership and build and use systems and processes to enable them to optimize their cooperation.

On the right half of the X-axis, partner organizations or partnerships *feel* organizational stress because their members are invested in the vision and mission of the partner or partnership, and thus are in one of the three collaborative states. In these states, members collectively try to address the problems causing the stress. However, when stress increases beyond what an inclusive organization or partnership can manage, the members respond by dissociating from the strategy and transfer responsibility for solving problems, and therefore the *stress* in the system, to the leadership. This moves them into the detached states. The first of which is the Top-down state. Finally, if leadership is unable to solve the problems, the organization or partnership can fall into the second detached state, the Fragmented state, where 'management' effectively becomes "every man for himself" as members work as individuals to make the best of a bad situation.

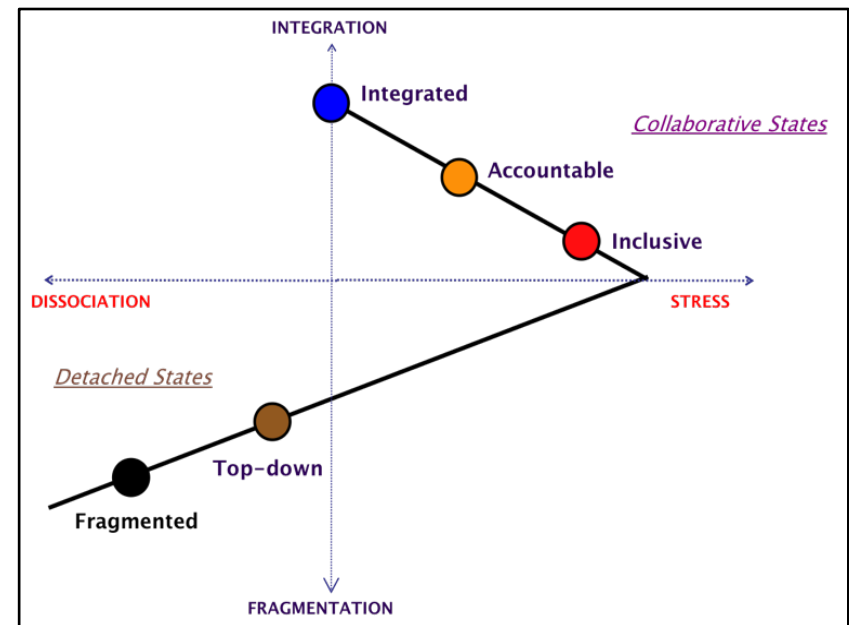


Figure 1: The Cooperative Capacity Ladder

For a more detailed explanation, see the articles on our website, www.cooperativecapacity.com under the Resources tab.

4. Combining the Core Design Principles and Cooperative Capacity: The Maturity Matrix

The rows of the maturity matrix are the nine Core Design Principles; they are the KPIs (key performance indicators). The columns are the five *cooperative capacity states*. The resulting matrix describes the characteristics of each KPI in each state.

	Fragmented	Top-down	Inclusive	Aligned	Integrated
The partnership is defined					
• Strong group identity and understanding of purpose					
• Minimal recognition by stakeholders of rights to organize					
• Self-management and ability to self-organize					
The partnership is fair					
• Proportional equivalence between costs and benefits					
• Fair and inclusive decision making					
The partnership is able to govern itself					
• Monitoring behaviors and performance					
• Graduated sanctions					
• Fair and fast conflict resolution					
• Adaptive (polycentric governance)					

The maturity matrix below fills in the boxes with descriptions for each KPI in each state. This full maturity matrix is designed as a reference for working with the cooperative states. We have tried to design it so that users can go directly to a core design principle or KPI to see descriptions for each state. By its nature as a reference document, the matrix is highly redundant.

5. Simple Rules and Using the Maturity Matrix

There are a number of rules that derive from the Cooperative Capacity Ladder.

The first rule is that when moving from state to state a partner or partnership can only move one state at a time. Each higher state builds on the state just below it. Fragmented brings resources together, Top-down instills discipline, Inclusive delegates authority and starts bottom-up communication, Aligned prioritizes tasks and resource allocation, and finally Integrated brings them all together in a system where everyone rationally collaborates to implement ideal ways to achieve the vision and mission.

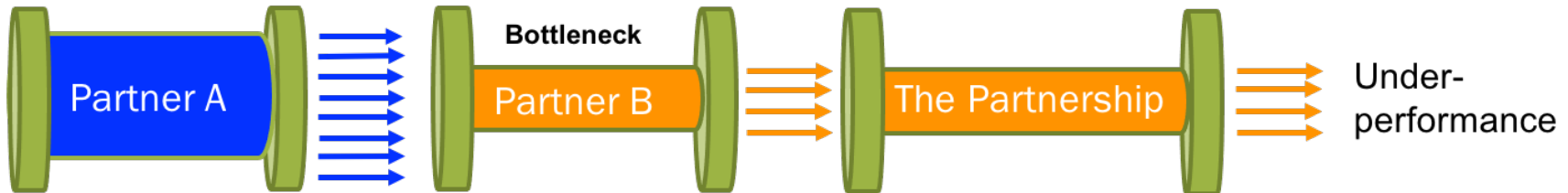
Therefore, all capacity building efforts start from the current state of a partner or partnership and progress incrementally. The current state can be determined by building a profile of a team or partnership and comparing that profile to the KPIs in the maturity matrix. The mode (the state that appears most often) of the KPIs determines the state of the partner or partnership. Quicker and more efficient assessments are available on our website, www.cooperativecapacity.com.

Once you know the state of a partner or partnership, you can design and implement interventions to move to the next higher state. For example, if you find your team is in Fragmented, your goal is to move it into Top-down. You can use the maturity matrix to choose your interventions by starting with KPI's that are in Fragmented, and then planning and implementing actions that will change them to match the description of the KPI's in Top-down. Any attempts to move into higher states will at best fail, at worst promote fragmentation.

The second rule is that a partnership's cooperative capacity cannot be higher than the lowest cooperative capacity of any partner. This leads us to two different reasons partnerships might underperform. The first reason is a mismatched partnership, in which the lower capacity of one partner is limiting the potential of the partnership. The second is a matched partnership, where the partnership itself has not reached its highest potential performance.

The graphic below shows a mismatched partnership. In the graphic, the colors and width of the pipes represent the cooperative state; the wider the pipe, the higher the cooperative state and level of performance.

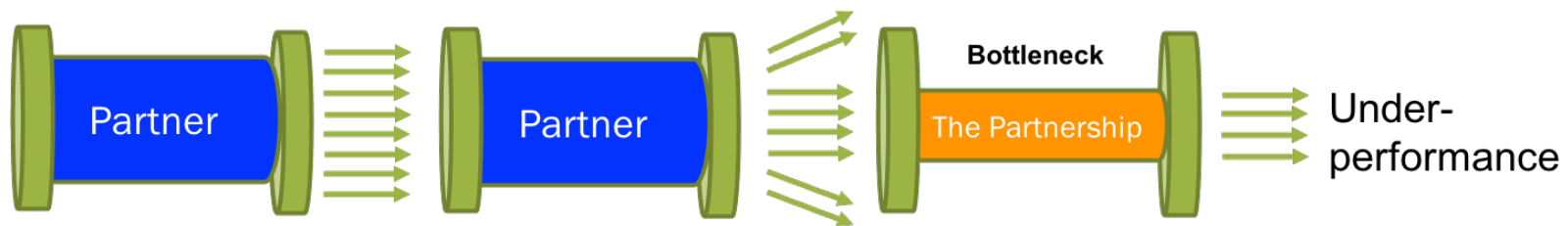
A Mismatched Partnership



In the illustration above, even though Partner A is in a relatively higher cooperative state, the performance of the partnership is limited to the cooperative state of Partner B. The solution path to increasing the performance of such a mismatched partnership is to first build the cooperative capacity of the partner with the lower cooperative capacity (Partner B), and then to build the capacity of the partnership itself.

The other way a partnership might underperform is when both partners are in the same cooperative capacity state, but the partnership is underdeveloped. This situation is illustrated below:

A Matched Partnership



In a matched partnership, the partnership itself is the limitation, and the solution is to develop the cooperative capacity of the partnership.

6. Mapping Partnership Systems

Another use of the cooperative capacity framework we would like to show you is its application to partnership systems. This is done by mapping out your partners (shown as ovals in the map below) and partnerships (the connecting lines) and color-coding their cooperative capacity. This allows managers at all levels to see strengths and weaknesses in the system that affect their ability to perform in the field, transfer capacity, and scale.

Figure 1 represents a partnership system map using one of our templates.

In this example, we see that the Fragmented State (black circle on left, third tier down) of the National Local Agency is a key bottleneck to system performance. From a systems perspective, the best strategy would be to build this partner's capacity so it and its partnerships could move into the Top-down State.

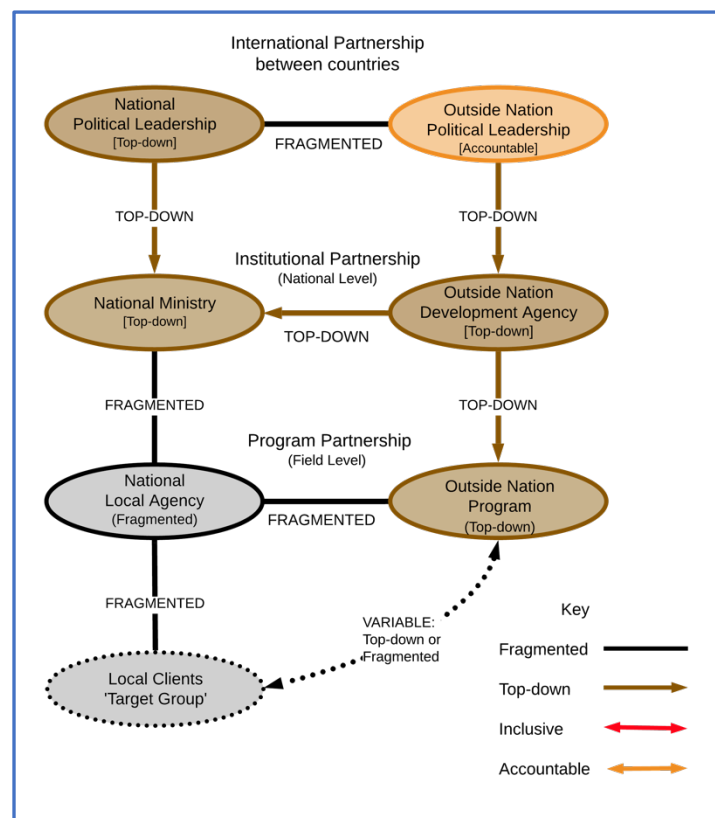
If building the capacity of the National Local Agency is impractical, the Outside Nation Program (brown circle on right, third tier down) and the National Ministry (brown circle on left, second tier down) can use their understanding of the framework to improve how they interact with the National Local Agency based the fact that it is functioning in the Fragmented State.

As a note, in this example, information and influence does not flow up due to the top-down states of those partners higher up the system. CCP's long term vision is to see all these partners and partnership in the Inclusive state or higher so that information and influence is shared throughout the system.

Recap

Developing high performing partnerships is necessary for successful international development and business. One impediment to high

Figure 2: Partnership System Map



performing partnerships is the inability to predict and measure the quality and performance of those partnerships. Our maturity matrix is a step toward solving that problem.

This Partnership Maturity Matrix is our core tool in its raw form, and can be put to many uses, including assessing partnerships, designing and implementing partnership development, building more effective partnership systems, and monitoring and evaluating partner and partnership performance.

We are making this Partnership Maturity Matrix available to senior managers, chiefs of party, project managers, capacity building specialists, M&E specialists and all others for their own use. We only ask that they clearly recognize Cooperative Capacity Partners as the maturity matrix's creator and share with us feedback on the matrix so that we can improve it for future use.

For more information, please see our website at www.cooperativecapacity.com, or feel free to contact Frank Page at fcpage@cooperativecapacity.com with any questions or suggestions you may have.

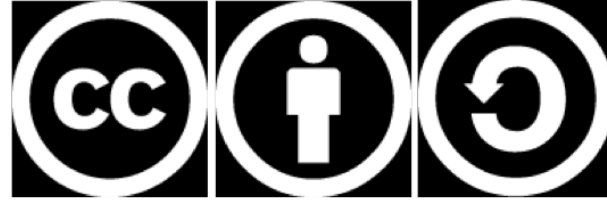
The Layout of Maturity Matrix

The following presentation of the Cooperative Capacity Maturity Matrix is divided into nine sections, one section for each of the core design principles.

Each section starts off with a set of questions that can be used to determine the state of the KPIs for that core design principle.

These questions are followed by a glossary of terms used in this section of the matrix.

Finally, the Maturity Matrix for the core design principle is presented.



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The Matrix

Pillar 1: Strong Group Identity and Understanding of Purpose

Core Question

What are the vision, mission and core values of your partnership?

Follow up questions

How well are vision, mission, and values known amongst all of the people in the partnership? Would everyone answer the question above the same way?

Do they motivate people?

How is vision and mission used in strategic and day-to-day decision making?

How are vision, mission, and values aligned with the vision/mission/values of each partners?

Glossary:

Vision	An aspirational description of what the partnership would like to achieve in the mid-term or long-term future.
Mission	A mission statement defines what the partnership is, why it exists, and what it does. At a minimum, a mission statement should identify the products, services, or programs the partnership will deliver and define the primary users of those products, services, or programs.
Strategy	A strategy is a plan of action or policy designed to achieve an overarching goal.
Values	The principles that guide a partnership’s internal conduct as well as its interactions with its external stakeholders.
Lane	Usually beginning in the Aligned State, ‘Lanes’ are silos that result from the use of the hard, measurable goals for outcomes. Lanes include any subgroup that has been delegated responsibility for achieving a strategy or outcome; this may include individual partners, departments, functional units, or geographical units. Lanes are not possible in Fragmented, Top-down, or Inclusive states, and they become integrated with one another in the Integrated state.
Optimize	To make as effective and functional as possible by adapting or adjusting strategies, adapting or innovating improved products, services, or programs, adapting or innovating new management systems or processes, or continually improving the efficiency of current processes.
Permanent Operations	Ability to maintain the provision of goods, services, or programs, directly or by transferring operations to another permanent entity.

PILLAR / KPI	STATE A: FRAGMENTED	STATE B: TOP-DOWN	STATE C: INCLUSIVE	STATE D: ALIGNED	STATE E: INTEGRATED
1. Group identity and understanding of purpose					
Vision	There is no single vision, mission, or strategy: They are unclear, lacking, or there are multiple contested versions	The vision is held by a dominant partner, and understood and accepted by all other partners	The vision is held by all partners and includes an ideal of sustainable or permanent operations until vision is achieved		The vision is held by all partners and includes an ideal of permanent operations with the capacity to scale until vision is achieved
Mission		The mission is understood and accepted by all partners	All partners understand the mission and use it as a guide for decision-making. The mission of the partnership is congruent with the mission of each partner	All partners understand and are invested in achieving the mission and use it to set and prioritize measurable strategic goals for a lane	All partners understand the mission and use it as a guide for decision making, coordination and making strategic adjustments naturally and quickly
Strategy		There is no comprehensive strategy, or there is a strategy that is held and directed by the dominant partner but not explicitly shared with other partners or staff. Other partners do not necessarily 'buy into' in the strategy	An overly ambitious strategy is held in common by all partners and lays out the whole of the work to be achieved by the partnership	The strategy has measurable objectives and the partners use them as a guide for decision making. Each partner creates indicators and work plans for the areas for which they are responsible (lanes)	A shared strategy is in place with strategic goals with clear indicators, plans, and budgets, which allow for natural adjustments in resource allocation and scheduling to optimize achievement the mission
Values	There are no explicit values shared by all members of the partnership	Values are made explicit, modeled, and imposed by the dominant partner	All partners are invested in an explicit set of values, use them as rules for interaction, and enforce real consequences for infractions		

Pillar 2: Minimal Recognition (by stakeholders) of Rights to Organize

Core Question

Who are your external stakeholders - How would they rate the partnership?

How do you build relationships with stakeholders and determine stakeholder satisfaction?

Follow up questions

To what extent are suppliers or stakeholders involved in partnership planning and problem solving?

How does the partnership use the "voice of the stakeholder" and stakeholder data and information?

How does the partnership enable each stakeholder to seek information and support?

Glossary:

Supply chain	The network of all the individuals, organizations, resources, activities and technology involved in the creation and delivery of a product, from the delivery of source materials from the supplier to the manufacturer, through to its eventual distribution to the end user.
Stakeholder understanding	Understanding of the partnership's vision, mission, strategy, and workplans
Stakeholder communication	Communication channels between the partnership and its stakeholders
Lane	Usually beginning in the Aligned State, 'Lanes' are silos that result from the use of the hard, measurable goals for outcomes. Lanes include any subgroup that has been delegated responsibility for achieving a strategy or outcome; this may include individual partners, departments, functional units, or geographical units. Lanes are not possible in Fragmented, Top-down, or Inclusive states, and they become integrated with one another in the Integrated state.
Stakeholders	Stakeholders are individuals, groups, or other organizations that can affect or be affected by the partnership's actions, objectives and policies.

PILLAR / KPI	STATE A: FRAGMENTED	STATE B: TOP-DOWN	STATE C: INCLUSIVE	STATE D: ALIGNED	STATE E: INTEGRATED
2. Minimal recognition by external stakeholders of right to organize					
Stakeholder understanding	Stakeholders are confused about the workgroup's vision and mission	Stakeholders understand the mission, vision and some team activities	Stakeholders understand the mission, vision & strategy	Stakeholders understand the mission, vision, strategy & progress of one or more lanes*	Stakeholders understand mission, vision, strategy & the coordinated progress of all lanes*
Stakeholder feedback	No systematic channels for stakeholder feedback	Communication is mostly with the dominant partner. Only positive feedback flows up to the dominant partner	Stakeholders have some channels to express critical feedback on the mission, vision & strategy	Stakeholders have formal channels to express all feedback on the mission, vision, strategy & the progress of one or more lanes*	Stakeholders have formal channels to express all feedback on the mission, vision, strategy & the overall progress of the partnership
Stakeholder satisfaction	Highly dissatisfied	Dissatisfied	Somewhat satisfied	Satisfied	Very satisfied
Suppliers and supply chains	Suppliers confused by lack of, inconsistent, or changing requests or requirements	Suppliers generally not involved in defining the contract and are held to contracted agreement. Feedback is not invited	Some subgroups and their suppliers share feedback and participate in collaborative contracting and mutual problem solving	Lanes* share and receive feedback with suppliers and participate in collaborative contracting and mutual problem solving	The partnership systemically invites and accepts feedback from suppliers and participates in collaborative contracting and mutual problem solving across lanes
Results (including profitability, if applicable)	Achieves only few outputs at best (unprofitable if any competition)	Achieves outputs (unprofitable in competitive, fast changing environments)	Achieves outputs and some outcomes (profitable in competitive environments)	Achieves outputs, outcomes, and some impact (often highly competitive)	Achieves outputs, outcomes, and impact (highly competitive and industry leaders)

Pillar 3: Self-Management and Ability to Self Organize

Core Question

How well is the partnership being managed? - what is working well, what is not working well?

Follow up questions

What are the strengths and weaknesses of the partnership's leadership?

How is the partnership structured? Is all necessary work assigned to a position in the structure? Are roles and responsibilities clearly understood and respected?

What are the partnerships processes or systems (such as program, planning, finance, procurement systems)? Are they clear? Are they widely understood? Are they followed?

Does those working in the partnership have the skills they need to do their work?

Glossary:

Leadership	The capacity to lead; the art of motivating a group of people to act toward achieving a common goal
Partnership Cooperative Culture Value	The underlying value on which each cooperative capacity state is built.
Partnership Management Structure	An outline of the positions that direct the activities of the partnership and their reporting relationships; at its most basic, the partnership management structure lays out who does what so the partnership can meet its objectives
Processes	A collection of related, structured activities or tasks by people or equipment which in a specific sequence produces a service or product for a particular customer or customers (these customers are either internal or external to the partnership)
Strategy	A strategy is a plan of action or policy designed to achieve a long-term major or overall goal.
Lane	Lanes are any group that has been delegated responsibility for achieving a strategy or outcome; this may include individual partners, departments, functional units, and geographical units.

PILLAR / KPI	STATE A: FRAGMENTED	STATE B: TOP-DOWN	STATE C: INCLUSIVE	STATE D: ALIGNED	STATE E: INTEGRATED
3. Self-Management and Ability to Self Organize					
Leadership	Leadership is contested, disempowered, incompetent, or non-existence	One partner leads the partnership	Leaders and leadership are respected but the lack of capacity results in frustrations across the partnership	Leaders are highly effective and driven to make their own lanes the best	Leaders are highly effective, disciplined, often understated, and driven to make the partnership ever more effective.
Cooperative Culture Value	The <i>potential contribution</i> of each partner to the aspirations of the partnership	<i>Obedience</i> to the mission & vision, to the dominant partner & chain of command, to protocols, & to agreements	<i>Responsibility w/o measurement for the success of the mission & strategy</i> is felt by every partner & every person in the partnership, with open communication, honest feedback, & delegation	<i>Accountability for measurement, prioritization, and results for their lane</i> (including the discipline to say "no" to all but the essentials required to achieve the strategy)	<i>Adaptation, optimization, and balance</i> to best achieve mission, vision, & strategy of the partnership (as a whole)
Strategic Implementation	With no shared vision and mission, there is no strategy	If there is a strategy it is held and implemented by the dominant partner; other partners may not be aware of the strategy	All partners are invested in the strategy, understand the strategic direction, and use it in their planning and decision making	All partners are invested in the strategy, understand the strategic direction, and use it in their planning and decision making. Partners are involved in setting strategic goals for their lanes; these are shared with all the partners	All partners are involved in setting the strategic goals, and work collaboratively to see that all (not just their lane's) strategic goals are met

Partnership management structure	Management structure of the partnership is unclear or vague	Management structure of the partnership is clear and inflexible, usually established by the dominant partner	In the design of the management structure, authority is shared with non-dominant partners, but in practice the structure is unclear	Management structure of the partnership distributes responsibility among the partners clearly. Structures may be flexible within lanes but not between lanes	Management structure is flexible and responsive; partners adjust their structures as needed to optimize the performance of the partnership as a whole
Process management (repeated in pillar 9 - adaptive)	Processes are informal, unwritten, or not followed, and are changed in an <i>ad hoc</i> fashion	Each partner has their own situation-specific or idiosyncratic processes which are written down; the dominant partner typically attempts to force their processes on other partners. Process compliance is enforced by the dominant partner	There is one set of key processes that are written down and used by all partners and changed in an irregular fashion.	The key processes of the partnership are measured, and lanes take responsibility for improving their own processes with a formal process management system	The key processes of the partnership are continuously monitored and optimized within and across partners and lanes with a formal process management system
Demonstrated skills and capacities	Each partner seems to be able to contribute in particular ways to the partnership's aspirations (but without clear criteria, we don't know what each partner can contribute)	Partnership members are able to perform assigned tasks	Partnership members are able to grasp the mission and strategy, and are able to initiate solutions supporting the mission and strategy without guidance or explicit permission	Partnership members are highly skilled, able to organize their activities efficiently and embrace accountability for the success of their lanes	Partnership members have the cooperative skills to adapt, optimize, and balance competing demands to best achieve the mission, vision, and strategy

Left Blank on Purpose

Pillar 4. Proportional Equivalence between Costs and Benefits

Core Question (What the assessor wants to determine)

How are the costs and benefits shared among the partners? Are they considered fair by all partners?

Follow up questions

What are the key resources needed by the partnership? Who supplies them? Do you consider this fair?

How are resources allocated by the partnership? Do you consider resource allocation fair?

What are the benefits of the partnership for your organization? Do you find this fair?

When you balance the costs and benefits, how valuable is it for your organization to be in the partnership?

Glossary:

Resource Contribution	Resources (funds, staff, office, equipment, intellectual property, etc.) provided by each of the partners
Resource Allocation	The process of assigning and managing partnership resources to achieve the vision and mission
Benefits	Things gained from the partnership that help each partner achieve its own vision and mission. [All partners have a conscious or unconscious set of wants or needs they want to get out of the partnership - those wants and needs are the benefits. For example, of course funding can be a benefit, but also the use and development of methodology and technology, staff development and experience, growth, new partnerships, new markets, new skills, new products, etc. are benefits]
Benefit Sharing	The distribution of benefits among the partners. (Benefits are not zero sum; as collaboration increases, total benefits increase, and the distribution will change.)
Cost Benefit Ration	The relationship between the costs and benefits of the partnership for each of the partners. All partners continually assess whether or not to stay in the partnership. When the cost benefit ratio is considered positive to decision makers, partners will likely stay in the partnership.

PILLAR / KPI	STATE A: FRAGMENTED	STATE B: TOP-DOWN	STATE C: INCLUSIVE	STATE D: ALIGNED	STATE E: INTEGRATED
4. Proportional Equivalence between Costs and Benefits					
Resource Contribution	Impossible to say if resources are aligned or adequate without clear vision, mission, and strategy	A majority of critical resource contributions are dictated by the dominant partner for all partners	All partners are perceived to have roughly contributed fairly to the partnership (resource contribution intuitively feels right to all partners)	The investment of resources by each partner is perceived by all partners as fair, and partnership resource contributions adjust as resource needs change within each lane	The investment of resources by each partner is perceived by all partners as fair, and partnership resource contributions adjust as overall resource needs change.
Resource allocation	Resources are allocated in an <i>ad hoc</i> manner through persuasion or personal power, with unclear connections to vision and mission.	Resources are allocated by dominant partner or top-down leadership through inflexible systems	Informal opportunities to shift resources among partners and activities	Resources are allocated by partners to lanes; lanes negotiate and compete for resources	Resources are quickly and easily allocated within and between lanes* to optimize* partnership results as requirements vary over time.
Benefit Sharing	There is little or no clear benefit sharing among partners. Benefits of partnering tend to flow to individuals and their interests.	The dominant partner receives the greatest share of the benefits. The other partners may or may not receive what they perceive to be a fair share of the benefits	All partners are perceived to have roughly contributed fairly to the partnership (distribution of benefits intuitively feels right to all partners). Formal process may not be in place to determine distribution of benefits	Benefit sharing is perceived to be fair within lanes, but not necessarily between lanes	Benefit sharing is perceived as fair, with all partners receiving what they consider proportional benefits from the partnership

Cost benefit ratio		One or more leaders commit the organization to the partnership; All that is known is that someone in the organization is benefiting	The leadership of partner organizations see a benefit of the partnership. The dominant partner establishes the cost benefit for each partner	There is rough agreement by all partners that the partnership is a benefit to each partner	Rough agreement by all partners that the partnership is of benefit to each partner, and there is an understanding that the partnership may benefit some lanes (within the partners and the partnership) more than others	Rough agreement by all partners that the partnership is of benefit to each partner, and there is an understanding and embracing of the partnership benefits as a whole
Reward Systems (only for organizational (partner) assessments)		No or ad hoc reward systems. With no criteria set, it is impossible to assess behavior and so any rewards are arbitrary	Reward systems are designed and managed by leadership and tend to reward individuals	There are disorganized reward systems that may mix rewarding individual and group performance	There are formal reward systems in place that base rewards on lane performance	There are formal reward systems in place that base rewards on overall partnership performance

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Pillar 5: Fair and Inclusive Decision Making

Core Question

How are decisions made within the partnership?

Follow up questions

Who made (or makes) the decisions for the partnership regarding vision and mission? Regarding day-to-day actions?

How is power shared in the partnership? Who has it, who doesn't?

Apart from the formal leaders, who has influence in the partnership? How do they use that influence?

How does information and knowledge flow through the partnership?

What is the decision-making process for the partnership (the steps and participation used to make decisions)?

Glossary:

Power sharing The sharing among each of the partners in the decision-making regarding vision, mission, and operations of the partnership.

Participation The level and manner the partners participate in planning and implementing the partnership's activities.

Informal leadership Informal leadership is the ability of a person to influence the behavior of others by means other than formal authority conferred by the organization through its rules and procedures. Informal leadership is any type of leadership that is not based upon formal authority.

Communication The sending and receiving of information and ideas.

Fact based decision making Fact-based decision-making is based on the gathering of facts, figures, data and evidence and maintaining focus on these throughout the decision-making process in order to avoid decisions based on unsupported assumptions, untested intuition, or power.

Lanes: Lanes means any subgroup that has been delegated responsibility for achieving a strategy or outcome; this may include individual partners, departments, functional units, and geographical units.

PILLAR / KPI	STATE A: FRAGMENTED	STATE B: TOP-DOWN	STATE C: INCLUSIVE	STATE D: ALIGNED	STATE E: INTEGRATED
5. Fair and Inclusive Decision Making					
Power Sharing	Power and decision-making authority are scattered and uncoordinated among partners	Power and decision making are held by a dominant partner	Power and decision making are perceived to be shared fairly with no partner feeling forced into any decision	Power and decision making are perceived to be shared fairly and delegated into lanes to advance one or more strategic goals of the partnership	Power and decision making are perceived by all partners as prioritized to optimally advance the mission, vision, and strategy of the partnership
Participation	Participation in partnership planning and implementation is <i>ad hoc</i>	The dominant partner makes the plan. The other partners participate in implementation	All partners participate in strategic and program planning and implementation in a somewhat disorganized manner	All partners participate in strategic planning and each partner takes responsibility for planning and implementation in their lane	All partners participate in strategic planning, the planning for the lanes, and supporting implementation in all the lanes
Informal leadership	Informal leaders pursue their own interests or the interests of their organizations as they see fit	Informal leaders from every partner might work for or against the commands of the leader of the dominant partner	Known informal leaders are invited to participate in solving problems in their domain of influence	Within their lanes, informal leaders are aligned with the goals of formal leadership	Informal leaders are aligned with formal leaders and solve problems across the partnership
Communication (both formal and informal)	Flows are ad hoc, and depend heavily on informal relationships	Flows from the dominant partners to other partners. Only positive feedback flows up to the dominant partner	Flows both down and up between the dominant partner and other partners, including—and most importantly—negative feedback	Within each lane, communication flows down, up and across (however, not necessarily across lanes)	Communication flows down, up, and across, within and among lanes. Information is both pulled and pushed everywhere in the service innovation and continuous improvement.
Fact Based Decision Making	Individuals rely on anecdotal data for decision making	The dominant partner might use data, information, and knowledge to direct the partnership	Partners struggle to use data, information, and knowledge to support fact-based decision making	Data and information used to make fact-based decisions within lanes*	Data and information used to make fact-based decision making across the partnership

Pillar 6: Monitoring and Evaluation (Performance and Behaviors)

Core Question

How do you know the partnership is achieving its vision and mission and all partners are complying with the partnership agreements?

Follow up questions

How do you know if partners are working toward the partnership's vision and mission?

How do you know if the partnership is actually achieving its vision and mission?

How do you know if partners are practicing the partnership's values?

How do you know if the partners are following the processes of the partnership?

How does the partnership know the needs of its users, and customers? How does the partnership know if it is responding to its users and costumers?

Glossary:

Mission, Vision, Values Compliance	The partnership's ability to focus activities on the achievement of the vision and mission, and practice the values of the partnership.
Process Compliance	The partnership's ability to implement the processes of the partnership.
Market (user and customer) Responsiveness	The effectiveness and speed of the partnership's responses to its users' and customers' needs, wants, and expectations.
Customer	An actual or potential user of the partnership's products, services, or programs.
Results - outputs, outcomes, and Impact	Outputs are results of activities or processes. Outcomes are the results of one or more outputs. And impact is the result of one or more outcomes.

PILLAR / KPI	STATE A: FRAGMENTED	STATE B: TOP-DOWN	STATE C: INCLUSIVE	STATE D: ALIGNED	STATE E: INTEGRATED
6. Monitoring and Evaluation					
Mission, Vision, Values Compliance	Without clear vision, mission, or values, there is nothing to monitor, or there is no monitoring system in place	The dominant partner formally monitors compliance with vision, mission, and values	All partners monitor their own and other partners' compliance in a haphazard manner	There are formal systems in place for the partners to monitor the compliance within each lane	There are formal systems in place for the partners to monitor compliance across the partnership
Processes Compliance	Processes are not monitored, and compliance is not required	The dominant partner monitors and enforces compliance to the partnership systems	All partners begin to measure and monitor their own and other partner's compliance with partnership processes	There are formal systems in place to monitor and enforce compliance with processes within each lane	There are formal systems to monitor and enforce process compliance across the partnership
Market (user and customer) Responsiveness	No systematic definition or tracking of customers, the market or market trends	Dominant partner defines and decides how to track and respond to customers, the market, and market trends	Disorganized tracking of and responding to customers, the market, and market trends across the partnership	Partners and lanes track, anticipate, and respond to their customers, the market, and the market trends with positive but often suboptimal results	The partnership anticipates and adapts to its customers and the market to optimize results
Monitoring, outputs, outcomes and Impact	No systematic definition or tracking of performance (outputs, outcomes, or impacts)	The dominant partner tracks activities and outputs	All partners begin to measure and track outputs and some outcomes in a haphazard manner	Partners and lanes have systems in place to track outputs, outcomes, and some impacts	There are formal systems in place to monitor partnership outputs, outcomes, and impacts

Pillar 7: Graduated Sanctions

Core Question

How are transgressions defined and dealt with?

Follow up questions

What behaviors are not allowed?

How are major transgressions dealt with?

Who deals with transgressions?

Glossary:

Transgression	An act that goes against an agreement, a rule or regulation, or code of conduct; an offense.
Transparency	Timely access to the data, information, & knowledge partnership staff need to make decisions.
Data	Raw quantitative data
Information	Data that is organized.
Knowledge	Organized data that has been analyzed.
Punitive	Inflicting, involving, or aiming at punishment.
Sanction	A penalty for disobeying a formal or informal rule.

PILLAR / KPI	STATE A: FRAGMENTED	STATE B: TOP-DOWN	STATE C: INCLUSIVE	STATE D: ALIGNED	STATE E: INTEGRATED
7. Graduated Sanctions					
Access to and sharing of data, information, & knowledge (transparency)	Data, information, and knowledge is scattered and held informally throughout the partnership	The dominant partner defines and has access to much of the partnership's data, information, and knowledge, and decides what to share	Partners have permission to access to partnership data, information, and knowledge, but access and sharing is haphazard due to disorganization	Within lanes, partners have timely access to the data, information, and knowledge they need to make decisions	All partners have timely access to the data, information, & knowledge from all partnership sources that they need to make decisions. All partners drive information to anywhere it is needed for innovation and continuous improvement
Communication of transgressions	Communication of transgressions is <i>ad hoc</i> : coming from those with the interest to communicate them	Definition and communication of transgressions come from the dominant partner	Definition and communication of transgressions may come from any or all of the partners, but in a disorganized manner	There is a formal process for the definition and communication of transgressions within each lane	There is a formal process for the definition and communication of transgressions across the partnership
Penalty Process	No defined penalty process: With no criteria set, it is impossible to assess behavior and so any penalties are arbitrary	Sanctions are decided on and imposed by the dominant partner.	Sanctions are agreed upon and imposed by all the partners in a disorganized manner	There is a formal process for deciding on and imposing sanctions within each lane. Sanctions are graduated and designed to regulate and improve lane performance	There is a formal process for deciding on and imposing sanctions for the partnership. Sanctions are graduated and designed to regulate and improve partnership performance

Pillar 8: Fast and Fair Conflict Resolution

Core Question

How does the partnership manage conflicts between the partners?

Follow up questions

What systems are used to identify conflicts between the partners?

What systems are used to manage conflicts between the partners?

Glossary:

Conflict	[Partnership or organizational] Conflict is a state of disagreement or misunderstanding, resulting from the actual or perceived dissent of needs, beliefs, resources, gains and relationship between the members of the partnership or organization.
Governing body	The governing body establishes the partnership, sets or confirms the vision and mission and broad policies of the partnership, and ensures, at the highest level, the continuation and performance of the partnership. (The governing body or its proxy arbitrates conflicts that partners are unable to resolve quickly and to their mutual satisfaction.)
Decision making authority	People or positions in the partnership that have the power or right to make a decision and the duty to answer for its success or failure.
Outputs and outcomes	Outputs are the direct results of activities. Outcomes are the results of one or more outputs.
Lanes	Lanes means any subgroup that has been delegated responsibility for achieving a strategy or outcome; this may include individual partners, departments, functional units, and geographical units.

PILLAR / KPI	STATE A: FRAGMENTED	STATE B: TOP-DOWN	STATE C: INCLUSIVE	STATE D: ALIGNED	STATE E: INTEGRATED
8. Fast and Fair Conflict Resolution					
Governing body	A governing body does not exist, is passive, inactive, internally conflicted, or incompetent	Governing body dominated by one partner who is the final arbiter for conflicts	A governing board is chosen by the partners, with that choice having been subject to veto by the dominant partner. Partners bring conflicts they are unable to resolve quickly and to mutual satisfaction to the board (or their proxy) who arbitrates them.		
Decision-making authority	No clear accountability for decision making or follow through.	Dominant partner makes decisions and partnership members are accountable for implementation and outputs*	All partners begin to make decisions together, delegate responsibility, and assume accountability for unmeasured outcomes, resulting in disorganized empowerment across the organization	Partners fully delegate decision-making authority within lanes and are accountable for measured outcomes	All partners collaborate to maximize partnership results

Pillar 9: Ability to Adapt

Core Question

How quickly and effectively can the partnership respond and adapt to experiences in implementation, external changes, and internal changes?

Follow up questions

How are strategies and action plans monitored, changed and deployed?

What might cause a strategic change?

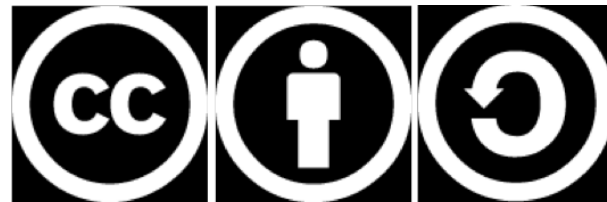
How are processes monitored, changed and deployed?

What might cause a change in the partnership's processes?

Glossary:

Strategy	A strategy is a plan of action or policy designed to achieve a long-term major or overall goal.
Strategic change management	Strategic change management is the process for monitoring strategic plan implementation and internal and external environments and adjusting strategies as needed in a structured, thoughtful way in order to achieve the partnership's mission and vision.
Processes	A collection of related, structured activities or tasks by people and/or equipment which in a specific sequence produces a service or product [output] for a particular customer or customers (these customers are either internal or external to the partnership).
Process management	The design, measurement, redesign and deployment of the partnership's processes in order to most efficiently and effectively achieve the partnerships vision and mission.
Cultural Environments	The different cultures involved in each partner and among the partners in the partnership.

PILLAR / KPI	STATE A: FRAGMENTED	STATE B: TOP-DOWN	STATE C: INCLUSIVE	STATE D: ALIGNED	STATE E: INTEGRATED
9. Adaptive (Polycentric Governance)					
Strategic change management	Individual partners make ad-hoc changes that impact the partnership. Other partners might or might not be included or informed about the decision	Only the dominant partner might make changes to the strategy, might include other partners in the decision, and might inform them of the decision	Partners might meet and make changes to the strategy in an irregular fashion in response to an internal or external shock or a new opportunity for the partnership	A leadership team meets at prescribed intervals to assess whether to make changes to the strategy and what changes to make	A leadership team that includes all functional areas of the partnership, and representatives of all partner interests and responsibilities, meets at prescribed intervals to assess whether to make changes to the strategy and what changes to make
Process management (repeat from pillar 3)	Processes are informal, unwritten, or not followed and changed in an <i>ad hoc</i> fashion	Each partner has their own situation-specific or idiosyncratic processes which are written down; the dominant partner typically attempts to force their processes on other partners. Process compliance is enforced by the dominant partner	There is one set of key processes that are written down and used by all partners and changed in an irregular fashion.	The key processes of the partnership are measured, and lanes take responsibility for improving their own processes with a formal process management system	The key processes of the partnership are continuously monitored and optimized within & across partners and lanes with a formal process management system
Ability to flourish in different cultural environments	Cross-cultural training is ad hoc, likely between individuals, or non-existent. Individuals arise as brokers between the two cultures on an ad hoc basis	The dominant partner likely expects partners from other countries or cultures to adapt its processes, with minimal "cross-cultural" training	Partners are aware of cultural and national differences and attempt to strengthen cross-cultural cooperation in an unsystematic manner	Partners are aware of culture and national differences among organizations and staff from different cultures and countries, and have trainings and other processes to optimize cooperation and performance within each lane	Partners are aware of culture and national differences among organizations and staff from different cultures and countries, and have trainings and other processes to optimize cooperation and performance across the whole partnership



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