**FINAL DRAFT (for submission) – December 2016**

**Vertical 1. Chief Innovation Officer**

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| **Content Areas (“Deliverables” for now):**   1. **An “elevator pitch,” which provides highlights of the content, such as why the approach is important, how it works, and examples of where it has worked** 2. **A short, digestible summary of underlying premises and rationales, supported by research (i.e., not a report)** 3. **Profiles of major categories of candidate users, including specific examples of when, and under what circumstances, the approach may be employed, supported by research into the target audience and their needs** 4. **One or more “success stories” or other learning narratives that highlight the impact of and justification for using this approach.** 5. **Documentation of challenges to deployment, and potential limitations of the approach, including barriers or obstacles encountered within agencies employing the approach** 6. **A “How-To” document, detailing key steps for deploying the approach, including promising practices in adaptation and deployment** 7. **An online inventory of resources** 8. **Examples of policy (e.g. legislation, Executive Order, etc.) that have enabled or encouraged the approach** 9. **Future directions (next practices as opposed to best practices)**   **(Note – D7-9 appears in order 9, 8, 7)** |

**Pull Quotes for Website**

"People often feel that they are in a box where the lid is closing. It is hard to execute on ideas in a hierarchical system full of red tape." ***Bryan Sivak, former CTO of HHS [Place: Why CINO] [****Sivak, B., in-person interview by Science and Technology Policy Institute, January 29, 2015]*

“Innovation very rarely comes from one person; it usually comes from a number of people with diverse backgrounds who come together and talk.” ***Bryan Sivak, former CTO of HHS*** *[Sivak, B., in-person interview by Science and Technology Policy Institute, January 29, 2015]*

“Innovation is the path, and impact is the destination.” ***– Ann Mei Chang, executive director and CINO of USAID’s Global Development Lab [Place: D4] [Chang, A.M., in-person interview by Policy Design Lab, July 7, 2016]***

### Deliverable 1: Elevator pitch summary

**Intro**

Whether leadership is tasked with confronting emerging, novel challenges or improving the efficiency of decades-old service delivery processes, Federal agencies can substantially benefit from the appointment of a Chief Innovation Officer (CINO) to serve as a catalyst for change. A CINO serves as a beacon for innovation, working to harness, foster, execute, and manage innovative ideas.

CINOs can be valuable assets for actualizing an agency’s priorities, from leading agency-wide initiatives; addressing employee engagement and culture change; tapping employee ideas in innovative ways; and in some contexts, leading efforts to change core underlying processes and improve performance and efficiency. Appointing a CINO can return persistent, high-value benefits for agency leadership. Appointing a person whose top priority is to focus on innovation and relentlessly drive it forward can amplify any senior leadership’s capacity for realizing an agency’s mission.

In times of tight budgetary constraints, chief innovation officers act as catalysts for transforming an agency’s operations. “[CINO’s] look across the board and figure out how to do things better, faster, and tie it into the overall management structure,” said Bryan Sivak, former CTO and entrepreneur in residence at the Department of Health and Human Services. [[Quoted in Stinson, J., “Chief Innovation Officers: Do They Deliver?,” Pew, February 2015]](http://www.pewtrusts.org/en/research-and-analysis/blogs/stateline/2015/2/06/chief-innovation-officers-do-they-deliver)

CINOs are force multipliers. These innovators teach and enable others, and they cast a spotlight on staff doing or wanting to do innovative work. One CINO described his role as an evangelizer for innovative tools and empowered Federal employees to effect change by learning and working through their struggle points. [Gerdes, C., phone interview by Policy Design Lab, July 1, 2016.]

The role of a CINO is inherently flexible with sometimes ambiguous boundaries. To use a football metaphor, CINOs can be a bit like a “free safety” position, with their portfolios defined around an agency’s priority needs. In broad terms, CINOs can:

* Reframe problems in order to change thinking patterns;
* Connect people and break down silos;
* Celebrate innovative work within an agency, which encourages more of it.

**Why**

A CINO can help disrupt traditional ways of doing business and institute more effective approaches. In doing so, CINOs nurture the entire ecosystem of innovation within their agencies. They’re positioned to take on difficult organizational management challenges like information silos, closed process systems, or simple resistance to change.

Appointing a CINO signals an agency’s commitment to innovation and provides an actual mechanism for execution. We know that it’s not enough to talk about innovation; it’s essential to commit to activities that apply innovative thinking. To explicitly and seriously embrace innovation, an organization needs to put it in the context where it returns the highest value. A senior point person is essential. “Innovation can't be an ’other duty as assigned,’ or an add-on -- it needs to be somebody's job,” argues Chris Gerdes, CINO for DOT. [Gerdes, C., phone interview by Policy Design Lab, July 1, 2016] Appointing a CINO to senior level leadership demonstrates that commitment and also makes it easier for new approaches to be embedded within core processes. CINOs also help to “de-risk” innovation, using smart risk management and guiding departments through the transition between old and new processes.

**How**

There’s no single playbook for how to define a CINO role; senior leaders have created and scoped this role in a variety of ways that best address their agency’s needs. In all cases, though, it’s important to have a clear understanding of a CINO’s mission, role, and authority within an agency, in order to attract the most qualified candidates and to enable them to succeed. In some instances, it may be more appropriate to promote operational innovation by designating an innovation “home” in key functional roles such as human resources (HR), legal, and acquisition. [[Crosslink operational innovation content]] In other contexts where the top priorities involve technology integration and deployment, a Chief Technology Officer (CTO) may also be a suitable leadership “home” for an innovation portfolio. In other instances, agencies designate their Chief Information Officers (CIO) as the lead for identifying and implementing innovative activities. Varied CxO arrangements for CINO roles may best fit agencies’ organizational structures and missions (see the box below).

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| **On CxO role distinction:*[pop-out site content]***  CIO, CTO, and now CINO: The current CxO soup of acronyms can create confusion. Because of their recency, this nomenclature is not fully standardized. However, the distinctions between these roles can be described as follows:   * **CIO:** The individual tasked with managing internal business operations like HR and procurement systems. * **CTO:** The individual - preferably with a technologist background - overseeing deployment of technologies and also sourcing new technological solutions to address the organization’s mission. * **CINO:** The individual specifically responsible for driving and directing innovation efforts within an organization.For example, an agency may wish to hire or designate a CINO to lead a reorganization to increase organizational efficiency and promote internal mobility, to oversee the re-engineering of business processes, to develop new policies, and/or to strengthen engagement with stakeholders and the public. A broader vision for this position opens new possibilities for organizing and leading change.   While the CINO role is often ambiguous, Jen Pahlka, founder of Code for America, cautions that “There is one definition of the [CINO] role that we need to watch out for. Increasingly, [CINOs] are being appointed with “fix the website(s)” as one of their many mandates […] There is no inherent reason someone qualified to be a Chief Innovation Officer (however defined) is not competent to lead digital services. But there is a huge danger in using the word “innovation” to describe the practices that result in websites that work.” If leadership is looking to *modernize* its digital tools and services, then recruiting for a CTO or CIO may better address that need. [[Pahlka, J., “The CIO Problem, Part 2: Innovation,” Medium, May 31, 2016](https://medium.com/code-for-america/the-cio-problem-part-2-innovation-af24ebc038e5" \l ".zighmgj0d). ]  At times, the distinction between leadership roles is less clear. “There are cases where organizations have both [the CTO and the CINO] filled by the same person because there is some overlap in skillset,” notes Ann Mei Chang, Chief Innovation Officer and Executive Director of the U.S. Global Development Lab at the U.S. Agency for International Development (USAID)[Chang, A.M., in-person interview by Policy Design Lab, July 7, 2016] The challenge is to understand innovation as a related but distinct task from digital services or information technology priorities. “Innovation often gets conflated with technology, which is an issue because it implies that innovation requires technology,” Chang explains. “Innovation is about achieving better results by changing the way we do business, being more agile, being more data driven, and being more open to new ideas. The tech industry has been a leader of innovation, but technology is only one of many tools that can drive innovation.” [Chang, A.M., in-person interview by Policy Design Lab, July 7, 2016] |

For CINOs or any leadership position tasked with overseeing innovation, the position must be imbued with clear authority and direction in order to fully realize their potential impact. According to past CINOs and CTOs, the most effective approach for senior leadership is a balance between explicit and visible leadership commitment with a degree of hands-off management and implicit trust [Kalil, T., in-person interview by Policy Design Lab, July 21, 2016].

### Deliverable 2: Summary of underlying rationales / empirical research

The benefits of a CINO depend on getting the details right. If leadership recognizes the value that CINOs can bring and scope the position with very explicit goals in mind, the result can be tangential thinking and different, impactful solutions that would not have otherwise occurred. Positive results may hinge on a CINO position being filled by the right person, with appropriate access to stakeholders and information, resources, and authority.

One of the biggest impacts of hiring a CINO is that career employees can be more empowered and supported to take initiative. [Kalil, T., in-person interview by Policy Design Lab, July 21, 2016].

[A 2012 survey](http://info.theinnovationenterprise.com/rs/innovationenterprise/images/Rise-innovation-officer.pdf) on the impact of corporate CINOs found that among surveyed employees, more than a quarter had avoided pursuing an idea due to a fear of a negative impact. A process to reward Federal employee initiative and their attempts to do something new can help foster openness to innovation

[Correa, D., in-person interview by Policy Design Lab, July 21, 2016].

**Evolution of CINO role**

The role of CINOs was first coined and described in 1998, and it has rapidly become standard practice in the corporate world and increasingly established in state and local governments [Miller, W. and Morris, L. *[Fourth Generation R&D](https://en.wikipedia.org/w/index.php?title=Fourth_Generation_R%26D&action=edit&redlink=1)*- Managing Knowledge, Technology, and Innovation, Wiley, 1998.]. Organizations have received benefits from appointing a CINO to help bring new, innovative ideas to fruition. [A 2012 survey](http://info.theinnovationenterprise.com/rs/innovationenterprise/images/Rise-innovation-officer.pdf) found that 60% of organizations responding to the survey employed a CINO, with the trend continuing to rise.

There are similarities between CINO roles in the private and public sectors. Where corporate CINOs typically identify and pursue new markets, new services, and new ways of working, Federal CINOs identify and pursue new ways of problem-solving, new service delivery mechanisms, and new ways of improving the services provided to citizens of the United States. In both cases, CINOs allow for institutionalization of innovation to occur smoothly, using their expertise to create pathways in which innovations are sustainably implemented and effectively communicated. CINOs can also provide key strategic insight, as they are in a prime position to rapidly evaluate new ideas and decide whether or not they deserve support.

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| **Primary Responsibilities of Corporate Chief Innovation Officers**   1. **Supporting best practices.** This involves scouting and standardizing market research methods for novel ideas and insights; strategic innovation; promoting open innovation; and introducing group tools and processes that encourage creative thinking. 2. **Developing skills.** This is about training company personnel on the skills they need, and developing and applying measures to track improvements in innovation and the skills underpinning them. 3. **Supporting business units in new product and service initiatives.** This means acting as methodology expert and facilitator for the most critical innovation teams across the company, supporting them in “raising the bar” of their aspirations. Training other managers to perform these roles also allows them to support innovation in business units. 4. **Identifying new market spaces.** This includes analyzing trends and market disruptions and searching for emerging new market opportunities. In some cases, they’ll need to be developed at the corporate level when they do not fit into the current business units’ boundaries. 5. **Helping people generate ideas.** Setting up and running ideas generation platforms and formats like jam sessions, hackathons, and internal or external crowdsourcing for the benefit of the corporation. 6. **Directing seed funding.** Owning and allocating a yearly budget to fund “homeless ideas” that are either too risky for the business units, or outside their existing business boundaries, which might not otherwise get funded. This provides an organizational home to nourish and protect new ideas. 7. **Designing shelter for promising projects.** Designing resource allocation processes (portfolio, stage-gate, capex, budgeting) to take potentially disruptive innovations forward from the seed stage to the market without getting killed on the way by managers who are invested in the status quo.   (Source: “A Chief Innovation Officer’s Actual Responsibilities,” Harvard Business Review, November 2014.) |

The value of CINOs has also been increasingly recognized in state and local governments, where CINO positions have been established to tackle a range of challenges, from fixing potholes to alleviating homelessness and violent crime and bolstering economic development. [A recent Pew report](http://www.pewtrusts.org/en/research-and-analysis/blogs/stateline/2015/2/06/chief-innovation-officers-do-they-deliver) finds that multiple states, including Colorado and Massachusetts, have CINOs – as do more than two dozen cities. [[Stinson, J., “Chief Innovation Officers: Do They Deliver?,” Pew, February 2015]](http://www.pewtrusts.org/en/research-and-analysis/blogs/stateline/2015/2/06/chief-innovation-officers-do-they-deliver) It is still common for chief information officers (CIOs) to essentially act as CINOs, according to Doug Robinson, executive director of the National Association of State Chief Information Officers (NASCIO) [[Stinson, J., “Chief Innovation Officers: Do They Deliver?,” Pew, February 2015]](http://www.pewtrusts.org/en/research-and-analysis/blogs/stateline/2015/2/06/chief-innovation-officers-do-they-deliver) . A 2015 [survey of state CIOs](http://www.pewtrusts.org/en/research-and-analysis/blogs/stateline/2015/2/06/chief-innovation-officers-do-they-deliver) found that two-thirds of respondents perceived sparking innovation government operations as a critical part of their role. [[Stinson, J., “Chief Innovation Officers: Do They Deliver?,” Pew, February 2015]](http://www.pewtrusts.org/en/research-and-analysis/blogs/stateline/2015/2/06/chief-innovation-officers-do-they-deliver)

### Deliverable 3: Profiles of major cats of candidate users - examples of when to deploy

Federal agencies may wish to consider deploying a CINO when there is a priority need to:

* Champion organizational innovation within the agency;
* Improve the organizations innovative capability;
* Actively facilitate and lead innovation implementation;
* Influence agency culture to create an environment open to innovation;
* Recognize the structural and personal barriers to innovation;
* Explain and assist colleagues in overcoming these barriers.

**What is the role of a CINO?**

The role of a CINO is *not* to innovate. The chief function of CINOs is to provide recognition and support (time, funding, training, top cover) for Federal employees to identify and implement innovative ideas. Despite working in Federal agencies with different operating contexts, CINOs have similar understandings of their role:

“Innovation does not come from one person. What a CINO can do is create the right conditions to cultivate innovation. This begins by creating a space for multidisciplinary teams to interact.”Bryan Sivak, Department of Health and Human Services (HHS) [Sivak, B., in-person interview by Science and Technology Policy Institute, January 29, 2015]

* "It's not about me. I'm not the Chief Innovator, I'm the Chief Facilitator of Innovation; I help other people, and celebrate how awesome their work is."

Chris Gerdes, DOT [Gerdes, C., phone interview by Policy Design Lab, July 1, 2016.]

* “CINOs who see themselves as coaches, obstacle removers, and air cover for career bureaucrats to innovate on their own terms can have significant success, but often need to ensure the credit goes to the departments, not those formally charged with innovation. “ Jen Pahlka, founding member of United States Digital Services and founder of Code for America[[Pahlka, J., “The CIO Problem, Part 2: Innovation,” Medium, May 31, 2016](https://medium.com/code-for-america/the-cio-problem-part-2-innovation-af24ebc038e5" \l ".zighmgj0d). ]

**Placing the position within organizational structure**

The flexibility inherent to creating a CINO position allows agencies to tailor the position to specific contexts. However, multiple CINOs stress the importance of embedding the position at the top of the organizational chart in order to be effective. "There’s something very important about being part of the Office of the Secretary in such a hierarchal organization," explains Susannah Fox, CTO at HHS, explains [Fox, S., in-person interview with Policy Design Lab, August 5, 2016]. It enables her to play an ambassadorial role and bridge internal and external sources of innovative ideas. Multiple CINOs also stressed the benefit of having CINOs present at the table for both emergent time-critical situations and important, strategic business decisions. “If the person in this role has a seat in those discussions (and, importantly, contributes based on their unique positioning and skillset), very interesting things can happen,” comments Bryan Sivak. [Sivak, B., email correspondence with Policy Design Lab, November 6, 2016].

### Deliverable 4: One or more “success stories” or learning narratives to underscore impact

Each CINO’s experience in their role is different; whether the key priority is culture change or instituting new processes for agency work, the following narratives help to illustrate the ways they were able to drive change and innovation within their organizations.

Case Study Profiles:

* Bryan Sivak – former HHS CTO
* Chris Gerdes – DOT CINO
* Ann Mei Chang – USAID
* Matt Dunne – DOE (EERE/ARPA-E)

**Case Study 1: Bryan Sivak – former CTO, Department of Health and Human Services (HHS)**

[Case study derived from Sivak, B., phone interview with Policy Design Lab, July 27, 2016, **and** Sivak, B., in-person interview by Science and Technology Policy Institute, January 29, 2015]**]**

**Background:**

Bryan Sivak served as Chief Technology Officer between 2012 and 2015. Prior to that, he was the CINO for the State of Maryland, CTO of the District of Columbia, and a founder of software companies InQuira and Electric Knowledge.

**Key accomplishments:**

Sivak entered and built on the work of predecessor Todd Park and Susannah Fox has since taken on this role. Todd had built the Health Data Initiative and shaped other specific programs, which Sivak picked up and built into a formalized structure. Sivak launched the [HHS IDEA Lab](https://www.hhs.gov/idealab/) to house some of the early programs established under Park. The IDEA Lab functions as a wrapper for all innovation activities within HHS and works to create a space for employees to pilot, test, and grow innovative ideas. It is designed to solve cross-cutting departmental issues that significantly improve HHS’ business processes, products, services, or use of technology. [[crosslink Innovation Labs content]] Sivak launched several new programs that sit within the IDEA Lab including the [HHS Ignite Accelerator](https://www.hhs.gov/idealab/ignite-accelerator/) and Entrepreneurs-in-Residence program, The HHS Ignite Accelerator functions as a way for staff to infuse startup approaches to their problem-solving and improve programs. Innovative ideas are crowdsourced from employees, and the promising ideas are then funded as pilots. The [Entrepreneur-in-Residence](https://www.hhs.gov/idealab/eir-program/) program brings external talent into HHS for a tour-of-duty. [[crosslink V7 EIR case study and Accelerator content]]

**How he led innovation:**

Sivak, in part, saw his role as helping to “reignite the flame” that initially brought people to work for the government. [Sivak, B., in-person interview by Science and Technology Policy Institute, January 29, 2015]His goal was to help empower them to instill change and to make them feel value and freedom again. “Many who have been in government for a while feel that they are ‘stuck in a box with the lid closing,’” he observed. [Sivak, B., in-person interview by Science and Technology Policy Institute, January 29, 2015].This may stem from a culture of responding to new ideas with a “no,” where potential solutions are met with reservation and a list of reasons why the problem is impossible to overcome. This attitude is lethal for employee motivation and goes against many people’s intrinsic values (a sense of value, freedom, and skill development). [Sivak, B., phone interview with Policy Design Lab, July 27, 2016.]Sivak emphasized measures that agencies could employ to concurrently change culture and processes: [Sivak, B., phone interview with Policy Design Lab, July 27, 2016.]]

* **Realigning incentives:** Organizations needs to be realigned to spark innovation, as the current incentive system encourages people to follow processes. Straying from the process in an attempt to innovate risks reprimand for not following an agency’s prescribed policies and procedures. This can oddly divorce outcomes from accountability—after all, if the project fails they can disavow responsibility since the individual in charge followed the predetermined procedure.
* **Help employees feel valued for creativity and performance.** Give credit to high-performing or creative employees. Instead of taking credit for the work of their employees, managers should defer successes to them. This incentivizes employees for going above and beyond, and also reflects well on the manager who oversaw their work.

**Read more:** [[Crosslink HHS deep dive]]

**Read More:** [Q&A with HHS CTO Bryan Sivak: Disrupting Government Culture](http://www.healthcareitnews.com/news/qa-hhs-cto-bryan-sivak-disrupting-government-culture)

**Listen:** [Implementing a department-wide innovation strategy](http://govinnovator.com/bryan_sivak/): GovInnovator interview of Bryan Sivak

**Case Study 2: Chris Gerdes – CINO, Department of Transportation (DOT)**

[Case study derived from Gerdes, C., phone interview by Policy Design Lab, July 1, 2016.]

**Background:**

Appointed as the CINO for DOT in 2016, Dr. Chris Gerdes is a professor on leave from the Mechanical Engineering at Stanford University as well as the Director of the Center for Automotive Research at Stanford.

Gerdes explains his role as CINO as having three primary objectives: [Gerdes, C., phone interview by Policy Design Lab, July 1, 2016.]

1. Fostering the department’s culture of innovation
2. Reducing the internal barriers to innovation
3. Looking for other ways the department can further support outside innovation

He sees himself as an evangelist for popularizing innovative tools. His day-to-day work focuses on empowering Federal employees, understanding their struggle points, and helping them to work through them. “People are trying to do things differently and they’re really open to people who can help do that,” he says [Gerdes, C., phone interview by Policy Design Lab, July 1, 2016.] . “I try to be very high energy and excited about this and about the new ideas. But it’s important that this is not about me; I’m not the chief innovator, but really the chief facilitator of innovation.” [Gerdes, C., phone interview by Policy Design Lab, July 1, 2016.]

**How he has led innovation:**

Gerdes’ experience provides an interesting contrast to several other CINO positions, underscoring that there is no one-size-fits-all prescription. Each appointment needs to be tailored to a department or agency. He lacks his own budget and staff, and sees himself as somewhat outside of the organizational structure – but is adamant that this has helped him be more effective. Because his role is not strongly defined within the organizational hierarchy, he has flexibility to go up and down the organization and relies on strongly motivated volunteers to diffuse a more innovation-minded culture. He even sees an upside to not having a budget, noting, “You’re not tracking it, you’re busy creating value.” [Gerdes, C., phone interview by Policy Design Lab, July 1, 2016.]

For Gerdes, just getting staff talking about and appreciating new approaches has been a significant step in shifting agency culture – and approaches that may seem trivial can have big impacts. For example, Gerdes began carving out a few minutes in the weekly agency meeting of senior leadership to spotlight staff doing innovative work. He saw that with everyone intently focused on day-to-day demand, there hadn’t been time to celebrate people who were doing things in different ways. When Monday morning meetings began acknowledging and celebrating that new approaches were important and were succeeding, he received very positive feedback that it was changing the narrative.

Two phrases were essential tools for getting things done: “What if?” and “Yes, and.” Gerdes pushed agency employees to set aside constraints and imagine the solutions. “Everywhere has constraints,” he observed; a useful way forward is to set obstacles aside momentarily. Start envisioning ideal outcomes, and then add the constraints back in. Frequently, perceived constraints are not the same thing as actual constraints. One of the most commonly barriers is the *perception* of legal constraints (whether or not they exist in practice). Saying, “Oh, you need to talk to counsel,” often functions as a conversation-ender and initiative-killer. From there, the idea of a legal obstacle often “takes on urban legend [status], and it grows and it grows until you can’t do anything. […] What I did in a couple of cases was say, ‘Well, okay, I’m going to counsel,’’’ Gerdes said. He stressed that in his experience, counsel was actually thrilled to be engaged and take part in problem-solving conversations.

The concept of “Yes, and” was also brought to bear on perceived obstacles. The goal of “Yes, and” is to consciously think about what somebody is saying, acknowledge that it’s been heard, but deliberately build on top of it instead of rejecting the communication. Asking counsel to apply “Yes, and” may not eliminate actual legal barriers; the answer may be “Yes, and you will go to jail,” but the goal is to keep the conversation active and to explore ways to (legally) accomplish the great idea.

The final step was popularizing the concept of a prototype. Just as the moon landing resulted from a series of very carefully designed and incremental missions with their associated prototypes, every innovative idea requires a starting point. [[crosslink to V8 Moonshot text]] “I often suggest people think of the simplest way to test their idea. Then make it simpler,” says Gerdes. [Gerdes, C., phone interview by Policy Design Lab, July 1, 2016.]Committing to making a prototype or concrete step in 30 to 60 days keeps ideas moving forward.

**Ingredients for CINO success:**  
Gerdes’ comfort with pedagogy and background in improvisation have been crucial tools in his work. For any CINO, though, he explained that it is vital to take an interest in the hands-on details as well as the big picture. “I do feel like that’s really important to be willing to kind of roll up your sleeves and say, Let me help,’ as opposed to, ‘Let me just talk in bullet points,’” Gerdes states, continuing to say “We are made up of a lot of different agencies here in the DOT and some of them are much more mature in their thinking than others. The FAA, for instance, their idea generation is pretty good. But what they’re struggling with is, “Now, how do we actually take that first step?” […] Whereas some of the other agencies, the Maritime Administration in coming to terms with automation, for instance, they’re asking, ‘How do we start to think of ideas? How do we think about possible things that we can do?’” [Gerdes, C., phone interview by Policy Design Lab, July 1, 2016.]

**Why a CINO is essential:**

Innovation can't be an add-on; it has to be core to an agency’s mission, argues Gerdes: “It can't be an "other duty as assigned," or an add-on -- it needs to be somebody's job.” At the same time, he observes, there are numerous people with different titles related to innovation here across DOT. His goal is not to consolidate innovation solely under him, but rather act as a connector and enabler, offering to build a network across stove-piped portfolios and sending the message that he is a resource to help others do their job. [Gerdes, C., phone interview by Policy Design Lab, July 1, 2016.]

But Gerdes’ “outsider status” has allowed him to push breakthroughs in ways of thinking. “People here are so smart, so dedicated,” he says, “[but] they do get locked into patterns of the ways that things have always been done. What I find is that sometimes just a slight suggestion, a slight reframe, sets people really off and running. A lot of times it may just even be an observation about where the discussion is going, and people are like, ‘Wow, that’s brilliant. You changed our thinking’” [Gerdes, C., phone interview by Policy Design Lab, July 1, 2016.] Actually, Gerdes says, “I didn’t do much. [They] were [already] thinking that way. I just pointed [something] out.” [Gerdes, C., phone interview by Policy Design Lab, July 1, 2016.]

**Read more:** [Where Does USDOT Fit in with Innovation?](https://www.transportation.gov/fastlane/innovation-month-here-where-does-usdot-fit) Blog post by Dr. Gerdes

Read more: “FMCSA and the Future of Safety,” Dr. Gerdes, October 18, 2016

# **Listen:** [HHS, DoT making the buzz around innovation a reality](http://federalnewsradio.com/ask-the-cio/2016/07/hhs-dot-making-buzz-around-innovation-reality/) (July 2016 interview)

**Watch:** [Culture of Innovation](https://connectdot.connectsolutions.com/p6e3ao619f2/?launcher=false&fcsContent=true&pbMode=normal) (1 hour webinar led by Dr. Gerdes)

**3. Ann Mei Chang – CINO and Executive Director, U.S. Global Development Lab, United States Agency for International Development (USAID)**

[Case study derived from Chang, A.M., in-person interview by Policy Design Lab, July 7, 2016]

**Background:**

Before coming to USAID, Ann Mei Chang spent more than 20 years in Silicon Valley, including serving as Senior Engineering Director at Google for 8 years. There, she led global engineering for Google's mobile applications and services, oversaw the growth of Google's mobile business by a factor of 20 in just three years, delivering over $1 billion in annualized revenues.

Chang was recruited as the first Executive Director for the [U.S. Global Development Lab](https://www.usaid.gov/globaldevlab) (herein “the Lab”). The title of CINO came later when the office became vacant. The Lab was established in April 2014. The U.S. Global Development Lab serves as an innovation hub. It takes smart risks to test new ideas and partner within USAID and with other actors to harness the power of innovative tools and approaches that accelerate development impact. Its two-part mission is to: [[“Our Mission,” USAID Global Development Lab.](https://www.usaid.gov/GlobalDevLab/about)]

1. Using open and directed innovation to produce breakthrough development innovations that are sourced, tested, and scaled solutions with proven impact; and
2. Catalyzing the transformation of the development community, opening up development work to anyone with good ideas, creating new and sustaining existing partnerships, applying data and evidence to decision-making, and harnessing advances in science and technology.

**Key accomplishments:**

In a short period of time, the Global Development Lab has begun to transform the Agency’s work – through building internal capacity for science, technology, and innovation while deepening the impact of partnerships. The Lab’s innovation programs have invested in 900 innovations in more than 60 countries, which are helping USAID and its partners reach the massive scale needed to promote growth and reduce global poverty. [Pepek, C., email communications, USAID communications team, December 5, 2016] The Lab is also testing new ways to catalyze investment in entrepreneurs in developing countries by working with 40 incubators, accelerators, and seed-stage impact investors, and is expected to leverage more than $100 million in private resources. [Pepek, C., email communications, USAID communications team, December 5, 2016] Additionally, in 2015, USAID had more than 360 active public-private partnerships with leverage commitments of $5.9 billion. [Pepek, C., email communications, USAID communications team, December 5, 2016] On average, for each dollar USAID invests through these partnerships, private sector partners have committed $3.35 over the life of the projects. [Pepek, C., email communications, USAID communications team, December 5, 2016]

**How she leads innovation:**

Chang describes the Lab’s role as leading a three-stage innovation process: disrupt, develop, and mainstream.

* Disruption is sourcing new ideas for innovations, tools, or approaches that could be transformative. The goal is to test as many ideas as possible, as quickly as possible, to figure out which have most potential impact. Failure is common and expected at this point.
* At the develop stage, the Lab works with missions and the rest of USAID to apply the most promising solutions to the agency’s most pressing problems – commonly by embedding elements in existing programs. In this stage, the goal is to gather evidence that the innovation can have positive impact on the agency priority.
* Idea iteration and refinement continues, and eventually the successful and validated solutions are mainstreamed into standard best practice across the agency. Chang notes that some innovation teams focus too heavily on the “disrupt” phase; the Lab emphasizes the whole life cycle, to ensure that impactful innovations are integrated into the agency.

Chang believes that “sexy” new things tend to get over-emphasized when promoting innovation: “That’s the flashy part, but not the substance. Innovation is about achieving dramatically better results – which comes from taking risks, a persistent focus on testing and improving on a solution, and breaking through impediments in the current system. Sometimes that comes in the form of a cool gadget, but more often it is the result of application and tedious refinement of existing tools” [Chang, A.M., in-person interview by Policy Design Lab, July 7, 2016]She says, “At the Lab we seek to drive greater innovation across the agency by changing the culture, the systems, the incentives and the mechanisms -- so that we become more open, agile, evidence-based, and catalytic with the result of more cost-effective and sustainable solutions” [Chang, A.M., in-person interview by Policy Design Lab, July 7, 2016]

“Often,” Chang observes, “We think of innovation as the *thing* we’re trying to do -- and so we hold hackathons or contests, to invent something that no one has thought it before. But I believe that most of the good ideas that can transform our lives probably have already been thought of somewhere. The question is, how do we create the right systems and culture that will nurture those and help them thrive and become mainstream so that they can have massive impact?” [Chang, A.M., in-person interview by Policy Design Lab, July 7, 2016]

**Why a CINO is essential:**

If the agency’s top priority is delivering stronger results for the dollar, Chang argues, innovation is absolutely key to continue to move the needle: “Otherwise, most organizations have a tendency to stick with lower risk, proven approaches. The incentives are often to stick with the tried-and-true solutions that you won’t get in trouble for” [Chang, A.M., in-person interview by Policy Design Lab, July 7, 2016]

Agency leadership faces so many different pressures, it’s key to have an innovation leader focused on building momentum for innovation and constantly trying to bend the curve in its direction. Even better yet to have a separate innovation team, as USAID does – because it generates more critical mass, bringing together best practices, and helping to evangelize across the organization. “It’s much harder,” she observes, “When people are trying to work in isolation to push the boulder up a hill rather than having a team and space to innovate together.” [Chang, A.M., in-person interview by Policy Design Lab, July 7, 2016]

**4. Matthew Dunne, former Strategic Innovations Officer, Department of Energy (DOE)**

[Case derived from Dunne, M., phone interview with Policy Design Lab, July 18. 2016]

**Background:**

While not designated as a CINO, Matthew Dunne played two key innovation leadership roles at DOE. He was hired from the private sector, with a background working in a law firm work on international business litigation and counseling. He first served as the Acting Chief Counsel for then-nascent Advanced Research Projects Agency for Energy (ARPA-E) from 2010 to 2012. He was subsequently recruited to be chief of operations and strategic innovations officer by the Assistant Secretary for Energy Efficient and Renewable Energy (EERE) and led a comprehensive transformation of the office.

**Key accomplishments:**

He helped support the launch of ARPA-E, functioning (with support of agency leadership) as the acting COO. There’s no handbook on how to launch an agency, but Matthew influenced the creation of its organizational structure.

When Dunne came on board, ARPA-E had a small staff and had only been in existence for less than a year. ARPA-E received $400 million allocated through the [2009 American Recovery and Reinvestment Act](https://www.gpo.gov/fdsys/pkg/BILLS-111hr1enr/pdf/BILLS-111hr1enr.pdf). [[“ARPA-E Budget,” ARPA-E.](https://arpa-e.energy.gov/?q=arpa-e-site-page/about)] The agency’s resources focused on launching the first funding solicitation, and winnowing approximately 3,700 applications to about 30 or so projects that would receive funding. Dunne helped develop a document template and institutionalized processes to streamline funding awards. As a result, EERE generally contracted awards within roughly 60 days, which received positive reception in industry.

At EERE, Dunne helped to oversee a transformation of the agency’s culture. A lack of up-to-date manuals or documentation had created wide variation in processes and practice within the agency, especially across different field offices. Overseeing a large re-organization, Dunne consolidated multiple offices and established clear lines of authority and reporting chains. Hundreds of employees were classified with common titles and common job descriptions. The harmonization of the agency reaffirmed its common mission and brought a more coherent set of processes to the office.

**How he led innovation:**

Dunne’s time at ARPA-E focused on business process creation and from-scratch documentation.

“I had to just dive in to the weeds, talk to a large number of people to try to figure what were the things I needed to know about. I didn’t know what I didn’t know. And so I took on myself a lot of the responsibilities,” Dunne said. [Dunne, M., phone interview with Policy Design Lab, July 18. 2016] “Multiple responsibilities were outside the legal realm, such as [NEPA Compliance Officer](https://energy.gov/nepa/office-nepa-policy-and-compliance), audit liaison, record official, unsolicited proposal coordinator. I just put a lot of hats on my own head. The idea was not to accumulate power, but instead to start out a new process that would be compliant with the key legal provisions but also administratively efficient. We had scarce resources in terms of Federal employees…and also a limited budget…Once I got the process started up, I would train someone else to take over the job, then I would hand off those hats so that we would continue to have a smoothly running machine.” [Dunne, M., phone interview with Policy Design Lab, July 18. 2016]

Stepping into EERE, Dunne’s tasking, from the Assistant Secretary, “was to change as much as possible, with a preference towards changing everything as quickly as possible." Managing culture change became an integral part of Dunne’s portfolio. Sensing disconnects between executive leadership and staff and between DC headquarters and regional field offices in West Virginia and Colorado, he undertook a comprehensive listening tour with the Assistant Secretary. The listening tour included 20 sessions in which he met with over 800 Federal employees and contractors on Colorado, West Virginia and DC. These activities sourced insights for how the agency could be functioning more effectively and, crucially, it also built trust and support with career staff.

**Essential ingredients for CINO success:**

Being directly empowered by the Assistant Secretary of EERE was critical to Dunne’s efforts. But beyond support from the top leadership, career senior executive service (SES) support is also essential. Ideally, shares Dunne, a consensus will exist among SES leadership that there are discrete areas for agency improvement. Political appointments inherently have shorter tenures; without career staff buy-in, you'll lose the war even if winning a battle. To grow a culture of innovation, it is vital that SES employees authorize the employees they manage to invest time in innovative activities, such as participation in communities of practice. It’s also critical that political appointees receive training on Federal and agency procedures to facilitate effective implementation.

**Challenges:**

Some obstacles in implementing culture change in agencies include shifting practices across HR, IT, legal, and contracting, among other functional offices, from compliance to performance. A culture of compliance is characterized by an emphasis on stringent rules and punitive measures. “A culture of compliance constantly emphasizes what the rules are ‘You can't do this, you can't do that; this is prohibited; that's verboten.’” [Dunne, M., phone interview with Policy Design Lab, July 18. 2016] ]Dunne perceives that this issue is institutional, not individual, noting that training and performance measurement are heavily based on rule adherence; this context can make it difficult to advance novel (but legal) approaches. [Dunne, M., phone interview with Policy Design Lab, July 18. 2016]

For instance, Dunne explains, the [Federal Acquisition Regulations (FAR) i](https://www.acquisition.gov/far)n actuality provides a degree of latitude and white space for creativity, but a compliance-driven culture has difficulty embracing that flexibility. In a culture of performance, “Sit down with the customer, preferably face-to-face or maybe video conference if you’re geographically dispersed, and say, ‘Explain to me what your mission objective is. Explain to me what you want to accomplish.’ And after their full understanding of what the customer is trying to achieve then you give that customer five different options of how to achieve that.” [Dunne, M., phone interview with Policy Design Lab, July 18. 2016]

“I would tell my customers at ARPA-E or EERE […], “Look, treat me as a travel agent. You explain to me that you want to go to San Francisco, and maybe you want to have a non-stop, but you have to be pathway agnostic; you can’t ask for a non-stop. If I get you to San Francisco by next week, let me choose if I’m going to fly you non-stop, if I’m going to put on a red-eye, if I’m going to fly you to Chicago, or maybe you’ll have three stops on the way. But don’t care about the path by which you get there. [….] All you should care about is that you ended up accomplishing your objective.” [Dunne, M., phone interview with Policy Design Lab, July 18. 2016]

**Why a CINO is essential:**

Dunne argues that a CINO or equivalent role is essential, given the existing capacity constraints on both human and financial resources. Many Federal employees may have multiple responsibilities on top of their normal duties. Without someone dedicated full-time to working on innovation and pushing it, he believes, it is difficult to realize effective change.

A CINO can break down organizational silos, particularly where agency areas are highly segmented with little interaction. Bell Labs was so successful, Dunne explained, because everyone ate lunch together in the same cafeteria—studies have documented that common daily interaction was the genesis for so many of the innovative breakthroughs Bell Labs produced. Conversations that cut across silos and create informal relationships are essential for building trust. “Without trust, you can’t have innovation,” Dunne says. [Dunne, M., phone interview with Policy Design Lab, July 18. 2016] “You have to know the people, trust their expert judgment and be able to work together to accomplish the common objective. Without trust, there is a very quick communication; someone will shoot a question and the response is almost always, ‘No, you can’t do that.’ Instead, [with more developed relationships], the response should be, “Okay. I understand your question. Tell me more. Help me understand what you’re trying to do and then I’ll give you some advice over how you can do it maybe a different ways and what you envision.” [Dunne, M., phone interview with Policy Design Lab, July 18. 2016]

**Read More**: [The Quiet Clean Energy Innovation Revolution at the Department of Energy](http://www.forbes.com/sites/matthewstepp/2013/01/07/the-quiet-clean-energy-innovation-revolution-at-the-department-of-energy/#4f48649a6c98)

### Deliverable 5: Challenges to deployment / approach limitations (inc. lessons learned from agencies where implemented)

Key ingredients for successful CINO roles include:

* Strong support from leadership to embed CINOs within agency structure
* Clear role definition… but also
* Managing risks of personality-driven change
* Realistic expectations for cultural change management

Strong support from leadership to embed CINOs within agency structure

The role of CINO cannot be created and then abandoned to succeed on its own; a lesson learned from past CINOs is that support is needed from the top of the organization [Kalil, T., in-person interview by Policy Design Lab, July 21, 2016]. Otherwise, agencies run the risk of creating an island of innovation that no one listens to or takes seriously. Clear expectations and firm support from the leadership is essential for the innovation officer to work credibly with other parts of an organization, notes Bryan Sivak (HHS). [Sivak, B., phone interview with Policy Design Lab, July 27, 2016.] Without explicit and visible support, CINOs run the risk of being “[window dressing.”](http://www.forbes.com/sites/frederickallen/2012/04/03/most-chief-innovation-officers-are-just-window-dressing) [Allen, F., "[Most Chief Innovation Officers are Just Window Dressing,](http://www.forbes.com/sites/frederickallen/2012/04/03/most-chief-innovation-officers-are-just-window-dressing/" \l "1220b3c1439d)" Forbes, April 2012.]

Leadership and the CINO him/herself also need to understand and look for a supportive context, including bringing in expertise external to the agency to mediate and support innovation in discussions with general counsel and contracting officers. Staff from the Office of Science and Technology Policy (OSTP) within the Executive Office of the President may support in this capacity.

Clear role definition, empowered with authority and connected to the mission

“When a government leader creates a role like a [CINO] and defines it too broadly,” Jen Pahlka comments, “it is usually driven by a diagnosis that’s hard to argue with: ossified processes and practices, lack of questioning of the status quo, resulting in low performance. Too much structure and overly prescriptive solutions seem to be the problem, so giving a [CINO] a lot of freedom to do whatever is necessary to change the organization seems like the right answer. But it can end up looking like a bit of magical thinking.” [[Pahlka, J., “The CIO Problem, Part 2: Innovation,” Medium, May 31, 2016](https://medium.com/code-for-america/the-cio-problem-part-2-innovation-af24ebc038e5" \l ".zighmgj0d).] In creating a CINO role, senior leadership needs to ensure the position has a direct connection between responsibilities and actual authority to execute on strategy and innovation. It’s also essential that innovation champions have metrics and measurements for tracking success that are also in alignment with agency priorities. [Kalil, T., in-person interview by Policy Design Lab, July 21, 2016].

Managing risks of personality-driven change, or, ensuring sustainability with turnover

As with many leadership positions, the personality of a CINO indelibly shapes their portfolio. Progress may stall or end when the individual leaves if innovation activities rely on the CINO’s personality. The challenge for both CINOs and for senior agency leadership is to ensure that innovative approaches are successfully institutionalized and mainstreamed to an adequate extent before a CINO’s tenure ends.

Realistic expectations for cultural change management

Successfully building an innovation culture remains [one of the CINO’s main challenges.](http://www.innovationmanagement.se/2015/12/01/3-key-challenges-for-the-cino/) Change management in government takes time – often, more time than in the private sector. A frequent challenge with bringing in private sector talent is unfamiliarity with navigating the structure and timeline of government processes. What they perceive as a 5 minute change is a bit more complicated – and extreme frustration can ensue. “There's a sweet spot between wanting to see change and wanting to see change occur in a reasonable time frame, but not being so impatient that you lose your ship,” observes Tom Kalil, deputy director at the Office of Science and Technology Policy. [Kalil, T., in-person interview by Policy Design Lab, July 21, 2016].

On the other hand, senior leadership can bring unrealistic expectations on the timeline for innovation management. “You never know quite how fast the clock is ticking…or when the alarm is set, but you can be darn sure that at some point, it will ring….If that moment comes and all you have is potential, you’d better start polishing your résumé” [Clayton Christensen’s concept of “[the ticking clock”](https://hbr.org/2013/03/the-case-for-stealth-innovation) (the deadline for creating results) described in Anthony, S., *Little Black Book of Innovation,* Harvard Business School Press, 2011.][



### Deliverable 6: How-To: Steps for deploying, practices for adapting

Federal agencies may wish to consider the following when establishing a CINO position:

* Traits of effective CINOs
* Implementation insights for setting up a CINO to succeed
* Checklist for defining the CINO’s role
* Sample job description
* Sourcing CINO candidates
* Guidance and various pathways for hiring

**Traits of effective CINOs**

CINOs are not cookie-cutter positions. Each Federal agency has its own context. The specialty skills that individual CINO candidates bring should align with the high-priority needs of the agency. If technological change is at the top of an agency’s agenda, prioritize candidates who bring product design and development experience with a background in high-tech centers (Silicon Valley, New York, etc.) If the overriding concern is to suffuse innovation culture within the organization, agencies may wish to prioritize a candidate with a strong sense of empathy, and thoughtfully consider where they would be best positioned in the organizational structure to work within the agency culture.

Effective CINO candidates tend to have several common traits:

* Background: Often sourced from outside of government
* Diverse range of key skills, which can include:
  + Standard behavioral or managerial skillset;
  + Strategy tools and skills;
  + Change agent skills, or, an understanding of the process of change management;
  + Creative and innovative skill set, with a unique mindset and outsider mentality;
  + Knowledge in systematic innovation methods (i.e. analogous thinking skills) and integrative thinking skills (salience, causality, sequencing, resolution);
  + Ability to focus on problem-solving as well as problem-*finding.*

[Sources: Platt, R., “[Roles and Skills of a Chief Innovation Officer](http://www.slideshare.net/rplatt/roles-and-skills-of-a-chief-innovation-officer-final),“ Slide presentation, Apr 20, 2010, and Martin R., [“How Successful Leaders Think,”](https://hbr.org/2007/06/how-successful-leaders-think) Harvard Business Review, June 2007.]

According a [Harvard Business Reviews’ assessment of CINOs](https://hbr.org/2014/12/what-it-really-means-to-be-a-chief-innovation-officer), the most successful innovation leaders do two things:

* They measure their actual impact, even though identifying accurate metrics can be difficult;
* They do not prematurely settle on identifying those metrics; they begin with flexibility in their role and take the needed time (often a year or longer) to define success metrics -- which often need to go beyond process measures.

Personal leadership style also matters. The role demands passionate belief in the mission, optimism, and perseverance: A shared characteristic among HHS’ recent CTOs has been an “unfair advantage of total joy and belief that we’re on the right path," Susannah Fox explains. [Fox, S., in-person interview with Policy Design Lab, August 5, 2016] “My favorite definition of an entrepreneur is someone who goes towards a goal without regard for the resources they currently control.” [Fox, S., in-person interview with Policy Design Lab, August 5, 2016] She laughs: “Boy, does that describe this job. You're given little money and a very small staff, and being asked to tackle 18 different agendas at the same time. You have to have an inner drive that no one can extinguish." [Fox, S., in-person interview with Policy Design Lab, August 5, 2016]

**Implementation insights for setting up a CINO to succeed:**

An agency’s implementation of the CINO position can include:

* **Use a buddy system.** If bringing in a non-Federal candidate to lead innovation, consider pairing them with SES staff who can help them navigate the learning curve of getting things done in the government. Make sure this “buddy” has strong credibility within the organization, and have them “joined at the hip” with your CINO.
* **Physical proximity and face time matters.** A minor but essential element reported by several CINOs was proximity [Kalil, T., in-person interview by Policy Design Lab, July 21, 2016].Simply having their office located near a deputy or assistant secretary was important to being integrated into the agency’s work. The practical metric for senior leadership support is not an expression of commitment to innovation, but whether or not the CINO can easily get on leadership’s calendar.
* **Bring in outside support**. Agencies with a strong track record of success in mainstreaming innovation with the use of CINOs have used senior leadership in other agencies (e.g. OSTP) to help mediate and support CINOs as they discuss potential changes with general counsel and contracting officers.

**Brief checklist for defining a CINO role**

* **Clarify vision.** Start out by asking yourself, why have you decided to hire someone for this role? What are the goals you are trying to achieve? Are you willing to commit to making this a fundamentally important role in your agency? Taking the time to articulate these answers is an essential clarification exercise. If appointments are just a “checkbox” decision without a thoughtful direction in mind, then the outcomes are likely to be ineffective.
* **Establish clear goals...** At the outset, clearly scope the CINO role, its expectations, and the measurements of success. Consider working collaboratively with your incoming CINO to fully articulate their job description. (Dr. Chris Gerdes at DOT created his own [[link to sample CINO job description]]



* **…But remain flexible.** An inherent amount of flexibility is essential to success: “By now, it is widely recognized that if you are developing a new idea, you have to stay flexible in the beginning and be ready to deviate from the original plan. What fewer people realize is that this is equally true when you establish innovation *units*. Marry yourself too firmly to a specific setup, model or metric at the outset, and trouble will soon ensue.” [Blank, S., “[Why the Lean Startup Changes Everything](https://hbr.org/2013/05/why-the-lean-start-up-changes-everything)” Harvard Business Review, May 2013.] In a spirit of continuous learning, agency leadership may consider how to re-visit and re-evaluate the job responsibilities assigned to the CINO. Bryan Sivak adds, “Innovation itself should be an iterative process -- so why shouldn't the job as well?” [Sivak, B., email correspondence with Policy Design Lab, November 6, 2016].

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| **Sample CINO Job Description**  “The Chief Innovation Officer (CINO) shall serve as the chief facilitator of innovation, looking across and outside of the department for opportunities and assisting senior leadership in obtaining the tools and connections necessary to successfully move those opportunities forward. The CINO will assist in training and educating employees on how to support innovation and create processes that encourage employees to turn their ideas into a prototype that may be tested and evaluated for broader adoption. He shall serve as a liaison between bottom-up innovation from those closest to the challenges and top-down innovation at the strategic level. Specific duties include:   * Assisting [Department] in establishing a culture of innovation through the development and implementation of tools, training and processes * Identifying and, with the support of the Secretary, Deputy Secretary and [other relevant top senior leadership], removing barriers to innovation across the Department while creating mechanisms for Department staff to prototype and develop their ideas; and * Identifying potential innovation that could aid the Department’s mission and mobilize resources of the Federal government to support its development.”   [Dr. Chris Gerdes, email correspondence with Policy Design Lab, November 2, 2016] |

**Sourcing CINO candidates:**

[Embed or crosslink V7 module on active recruiting practices]

**Guidance and various pathways for hiring: [[crosslink V7 hiring guidances]]**

There are several avenues for hiring a CINO or senior innovation position; the most appropriate choice depends on your agency’s context. However, according to Mathew Dunne, a menu of hiring options can be used, including:

1. Temporary hires
2. Permanent hires
3. Intergovernmental Personnel Act assignments
4. Fellowships (to build an innovation team)

**1. Temporary hires:**

1. Directed. An employee may be directed by his/her supervisor to serve on a detail for a particular timeframe.
2. Advertised. A detail announcement can be prepared and posted within days. The announcement can be limited to existing agency personnel, the larger organization (e.g., Department), or the entire Federal Government. A detail can last from 60 days to multiple years. The detail can be reimbursable (e.g., the host agency reimburses all salary costs, travel, and administrative costs) or non-reimbursable.

**2. Permanent hires:**

1. [Special Hiring Authorities.](https://www.opm.gov/FAQs/QA.aspx?fid=de14aff4-4f77-4e17-afaa-fa109430fc7b&pid=8f814f58-3b23-4ad2-a246-1f620c32f61a) Some agencies have special hiring authority to hire a limited number of scientific, engineering, professional, and/or administrative personnel without regard to the civil service laws. Such authorities can enable agencies to recruit and hire quickly.
2. Candidate Development Programs: For an SES position, Federal agencies may wish to focus on graduates of Candidate Development Programs, who are certified by [OPM’s Qualifications Review Board (QRB](https://www.opm.gov/policy-data-oversight/senior-executive-service/selection-process/)) to receive an initial career SES appointment without further competition.
3. [Flexible hiring authorities.](https://www.opm.gov/policy-data-oversight/human-capital-management/reference-materials/talent-management/hiringflexibilities.pdf) Federal agencies can hire veterans, disabled veterans, military spouses, and others without competition.

**3. Intergovernmental Personnel Act assignments:**

Another avenue that has been used to bring in CINOs and CTOs has been the [Intergovernmental Personnel Act (IPA)](https://www.gpo.gov/fdsys/granule/CFR-2012-title5-vol1/CFR-2012-title5-vol1-part334). Under the IPA, personnel from other Federal agencies, state and local governments, colleges and universities, Indian tribal governments, Federally funded research and development centers (e.g., national laboratories), and other eligible organizations can be recruited to serve in a temporary position. The initial term can be up to two years, but it can be extended for another two years. The assignment may be reimbursable (e.g., the host agency reimburses all salary costs, travel, and administrative costs) or non-reimbursable.

**4. Fellowships**

 A number of fellowships can be used to recruit CINOs. Most fellowships target people who are early in their careers. Some fellows are Federal employees, and others have the same status as contractors, which may limit their ability to perform certain functions within the agency (e.g., being a supervisor and making decisions).

a. Federal Status[: Presidential Management Fellows.](https://www.pmf.gov/) Federal agencies can hire from a pool of candidates selected by OPM. The candidates are recent graduates of graduate school programs. Please note PMFs may convert non-competitively to permanent hires after the end of their two-year fellowship.

b. Contractor Status: Two examples of fellowship programs are:

(1) [AAAS Fellows](https://www.aaas.org/page/fellowships). Federal agencies can hire from a pool of candidates selected by AAAS.

(2) [ORISE Fellows](http://orise.orau.gov/science-education/internships-scholarships-fellowships/): Federal agencies have flexibility in hiring candidates through the ORISE program.

### Deliverable 9: Future directions (“next practices as opposed to best practices”)

**Questions to ask your CINO candidates:**

A strong shared vision between agency leadership and the CINO is ideal. Ask your candidates to take an active role in a conversation in co-creating the position’s responsibilities. Additionally, consider asking the following questions:

* “How do you plan to take on entrenched interests to drive core innovations as opposed to innovation around the edges?”[Raths, D., "[Will the Chief Innovation Officer Transform Government?](http://www.govtech.com/e-government/Will-the-Chief-Innovation-Officer-Transform-Government.html)" Government Technology, January 2013.]
* “Innovation can be fuzzy, unpredictable, and prone to failure. What are realistic goals and metrics for success for this agency in the next 12 months?” [Kalil, T., in-person interview by Policy Design Lab, July 21, 2016]
* “How can we change the culture in the next five years so that innovation is expected, and not mandated from the top?” ["[Will Chief Innovation Officers still exist in five years](http://www.game-changer.net/2015/01/09/will-chief-innovation-officers-still-exist-five-years/)?" Game-Changer.net, January 2015]
* “How prepared are you for the humbling realities of introducing change in the government?” [Kalil, T., in-person interview by Policy Design Lab, July 21, 2016]

### Deliverable 8: Examples of policy that have enabled or encouraged approach (legislation, exec order)

**Intergovernmental Personnel Act (IPA)**

Under the IPA, personnel from other Federal agencies, state and local governments, colleges and universities, Indian tribal governments, Federally funded research and development centers (e.g., national laboratories), and other eligible organizations can be recruited to serve in a temporary position. The initial term can be up to two years, but it can be extended for another two years. The assignment may be reimbursable (e.g., the host agency reimburses all salary costs, travel, and administrative costs) or non-reimbursable.

IPA is a powerful but commonly misunderstood policy. OPM offers the following guidance:

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| **Recruitment and Hiring Policy "Myth Busters" On IPA:** The Office of Personnel Management (OPM) encourages agencies to re-think the following myths and misperceptions:   1. **Myth:** IPAs are a popular and a widely used flexibility.   **Truth:** Agencies do not take full advantage of the IPA program which, if used strategically, can help agencies meet their needs for "hard-to-fill" positions such as Information Technology and Nurses.   1. **Myth:** IPAs are cumbersome to use and require OPM approval.   **Truth:** Agencies do not need OPM approval to make assignments under the IPA authority. Federal agencies interested in using the authority simply enter into a written agreement.   1. **Myth:** IPAs are expensive to use.   **Truth:** Agencies may enter into IPA assignments on a reimbursable or non-reimbursable basis. This means they may be cost-neutral to Federal agencies. Whether an IPA assignment is reimbursable is determined by the agency and non-Federal entity involved in the assignment.   1. **Myth:** An agency may only enter into an IPA agreement with a State Government entity.   **Truth:** An agency may enter into an IPA agreement with State and local governments, institutions of higher education, and Indian tribal governments.   1. **Myth:** Agencies receive no recruitment benefit from sending employees on IPA assignments.   **Truth:** Federal employees serving in IPA assignments can serve as both recruiters and ambassadors for positions in your agency. For example, Federal nurses sent to colleges and universities as teachers/instructors can inspire students about Federal employment and encourage them to consider employment with your agency via the Pathways Program. This results in a win-win for the academic institution as well as your agency.   1. **Myth:** An agency may document IPA assignments for full-time employment only.   **Truth:** An agency may document IPA assignments for intermittent, part-time, and full-time employment.”  Source: https://www.opm.gov/policy-data-oversight/hiring-information/intergovernment-personnel-act/ |

Recent Policy Guidance on hiring:

“[Institutionalizing Hiring Excellence to Achieve Mission Outcomes](https://www.whitehouse.gov/sites/default/files/omb/memoranda/2017/m-17-03.pdf)." OMB M-17-03. Nov 1 2016

### Deliverable 7: Online inventory of resources

**Contact**

Federal agencies interested in a dialogue about how a CINO can help achieve agency priorities can contact

* Kelly Olson, acting director, Technology Transformation Service's Innovation Portfolio at GSA at [kelly.olson@gsa.gov](mailto:kelly.olson@gsa.gov).
* Ann Mei Chang, CINO, USAID at [annmei@usaid.gov](mailto:annmei@usaid.gov)
* Arthur Plews, CIO, Small Business Administration at [Arthur.Plews@sba.gov](mailto:Arthur.Plews@sba.gov)

**Further reading:**

**To inform priorities in the search process:**

Martin R., [“How Successful Leaders Think,”](https://hbr.org/2007/06/how-successful-leaders-think) Harvard Business Review, June 2007. Discussion on leadership mindset.

McKinney, P.,[“Top Five Skills a CINO Needs,”](http://philmckinney.com/the-top-5-skills-a-chief-innovation-officer-needs/) Ideas to Innovation, April 28, 2016. Discussion of CINO skillsets.

Platt, R., “,“ Slide presentation, Apr 20, 2010. Advice on attractive CINO skillsets.

**For more background on the CINO role in state/local governments and the private sector:**

Raths, D., "[Will the Chief Innovation Officer Transform Government?](http://www.govtech.com/e-government/Will-the-Chief-Innovation-Officer-Transform-Government.html)" Government Technology, January 2013. Assessment of CINO role in state government.

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**Read further:**

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[2015 Global CIO Survey, Deloitte.](http://www2.deloitte.com/uk/en/pages/technology/articles/cio-survey.html) Focused on CIOs, with relevant commentary on role taxonomy for CINO portfolios.

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