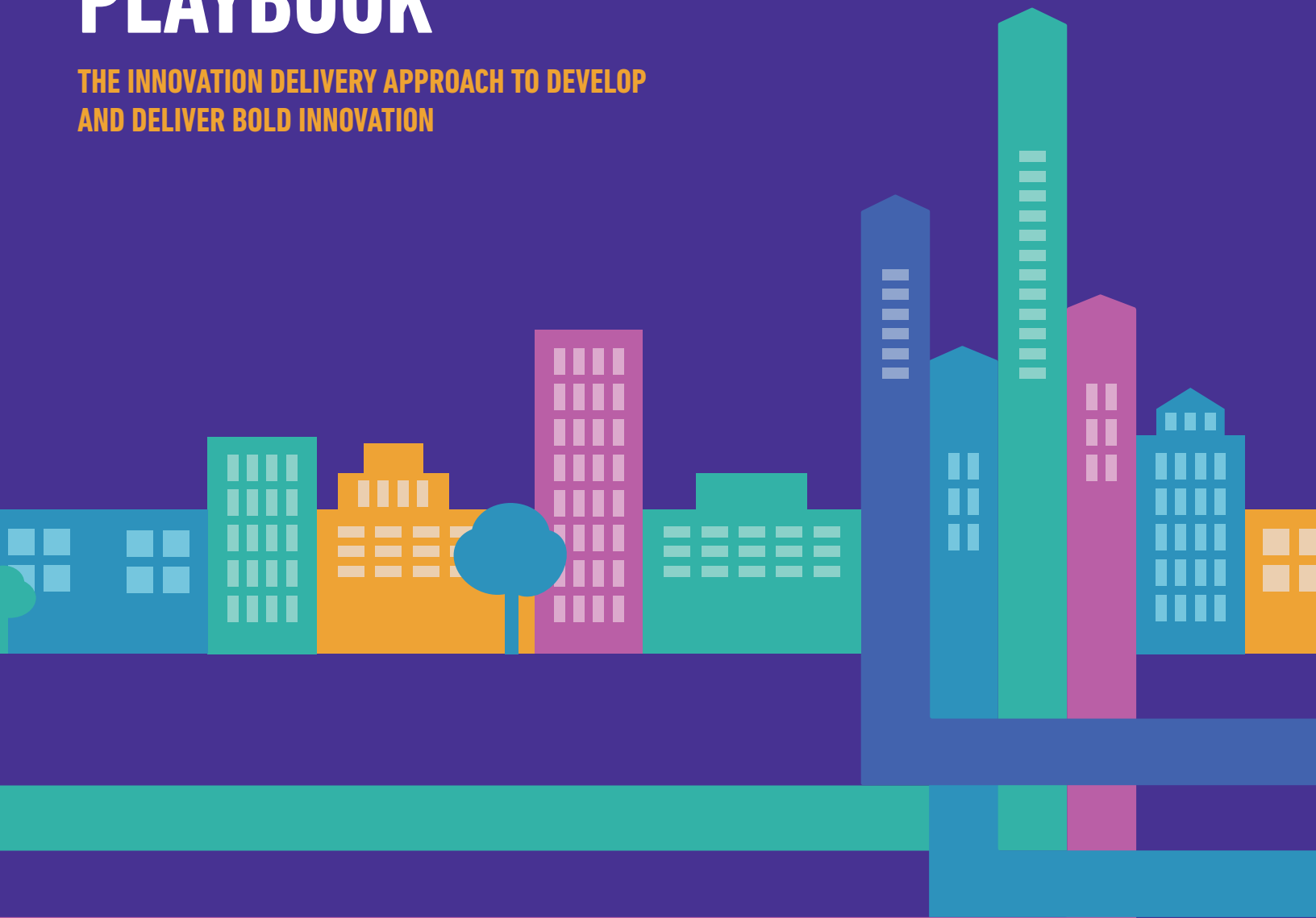# CITY HALL INNOVATION TEAM PLAYBOOK

THE INNOVATION DELIVERY APPROACH TO DEVELOP AND DELIVER BOLD INNOVATION

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Bloomberg
Philanthropies

CONTENTS

INTRODUCTION

THE IMPERATIVE FOR INNOVATION

Cities are uniquely able to innovate and transform citizens' lives, but face many barriers to developing and implementing solutions to tough challenges. City governments are not always organized to support innovation, especially when it comes to addressing "horizontal" issues—such as poverty reduction, sustainability, or customer service—that are the shared responsibility of multiple departments. The absence of standard management and engagement strategies to overcome department silos makes it harder for leaders to develop, deliver, and sustain new approaches to these complex and multifaceted challenges.

Further, many mayors' offices lack the human capital, organizational capacity, or financial resources to take on bold ideas. A tension exists between "putting out fires" and managing day-to-day responsibilities and finding the time and space needed to think, plan, and launch new solutions. There are few incentives within bureaucracies to experiment and try new things—but there are plenty of motivations to maintain the status quo or settle for incremental change. New programs that fail tend to attract more attention than those that succeed. And when it comes to innovation, there will inevitably be efforts that do not work as planned.

Bloomberg Philanthropies' Innovation Teams program was created to provide cities with a method to address these barriers and deliver change more effectively to their citizens. Using the Innovation Delivery approach, innovation teams (i-teams) greatly reduce the risks associated with innovation, and provide mayors with assurance in their ability to develop and implement effective solutions to their highest-priority problems.

Innovation teams function as in-house innovation consultants, moving from one city priority to the next. Innovation teams unlock the creativity that already exists within city governments by taking partners and stakeholders through the steps of the Innovation Delivery approach to tackle big, challenging urban issues.

Bloomberg Philanthropies tested the Innovation Delivery approach with i-teams in five cities: Atlanta, Chicago, Louisville, Memphis, and New Orleans. The results were strong. In New Orleans, the i-team helped the city reduce its murder rate by 19%. Memphis' i-team leveraged the approach to fill 53% of the empty storefronts in key commercial tracts of the city, giving hope to small business owners and reinvigorating the city's core. The mayors of all five cities have seen the value of Innovation Delivery and are investing public dollars to sustain their i-teams when their grants end.

This Playbook is informed by the real and varied experiences of these five pioneer cities, and describes how the approach can be applied to generate new ideas that drive significant and meaningful impact in other cities.

THE INNOVATION TEAM

Innovation teams are based in city hall and report to the mayor. Serving as in-house innovation consultants, i-teams move from one priority to the next. They work side by side with other senior staff members (e.g., deputy mayors, chiefs of staff), city units, and departments, but they sit outside the regular organizational hierarchy, neither managing nor managed by their collaborators.

Innovation teams are designed to be 100% focused on bringing new approaches to bear in narrowly defined, though significant, priority areas—even as key partners have broader responsibilities and potentially competing priorities. Innovation teams are uniquely positioned to coordinate across departments and functions, leveraging the talent and commitment of all actors to achieve concrete results.

Innovation teams are not responsible for direct implementation. Direct implementation responsibility lies with partners within city government that collaborate with the i-team throughout the innovation and solution-development process, and then assume responsibility for execution as the i-team's role shifts to performance management. This division of responsibility enables the i-team to be continually deployed to new challenges.

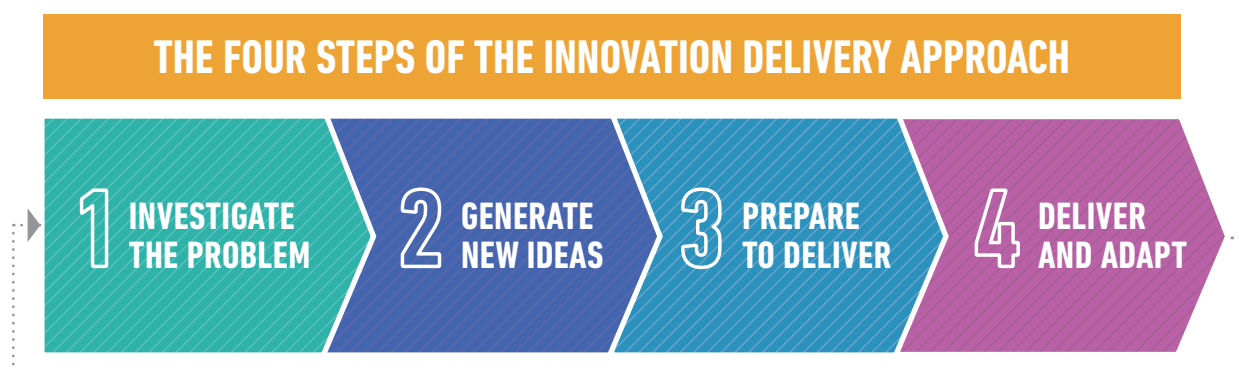Reflecting this fact, in the Innovation Delivery approach, each discrete effort (called an "initiative") to be implemented is formally assigned an Owner and a Sponsor. The Owner is responsible for day-to-day implementation and is typically, but not always, a manager within a city agency or division. The Sponsor is responsible for the overall success of the initiative and is usually a person to whom the Owner reports.

THE INNOVATION DELIVERY APPROACH

The Innovation Delivery approach builds on best practices from around the world. It combines proven strategies to generate innovative approaches with exceptional project management techniques that reliably deliver results. Innovation teams focus not just on the development of new ideas, but also their successful implementation. The approach emphasizes:

- **Commitment to data.** A relentless focus on using information to understand a problem—how things are working, trends over time, what has been tried and to what effect—underpins successful development and implementation.

- **Careful exploration of what has worked before.** Existing solutions that have been successful elsewhere are often promising pathways. If you know what works, adopt it and adapt it.

- **Space and techniques to generate new ideas.** Dedicated time, tested strategies, and a bold philosophical imperative to expand thinking and engage new voices.

- **Structured project and performance management.** New ideas are developed into detailed implementation plans. Proven techniques are used to establish specific, measurable targets for the impact of the work, as well as a process for regular assessment and reflection on progress toward these targets.

- **Engaging partners.** The approach is collaborative, and its success depends on the involvement of a range of players—city agencies, county, state, and national governments, not-for-profits, chambers of commerce, community groups—to leverage one another's influence to get the job done.

This Playbook describes the Innovation Delivery approach using a series of steps that, from start to finish, chart a proven method for tackling difficult problems at the city level. The approach's four core steps are depicted below.

THE FOUR STEPS OF THE INNOVATION DELIVERY APPROACH

| 1 INVESTIGATE THE PROBLEM | 2 GENERATE NEW IDEAS | 3 PREPARE TO DELIVER | 4 DELIVER AND ADAPT |

Once substantial progress is made, return to Step 1 to address a new priority

These four steps repeat: innovation teams quickly address a major problem area and then move back to Step 1 to address the next important issue.

While the innovation team can be a powerful vehicle to tackle city problems, success is not automatic. In addition to fidelity to the approach, the most successful efforts share at least three critical ingredients:

1. COMMITTED MAYORAL SUPPORT

Innovation teams struggle when the mayor is not engaged. The mayor can leverage his or her influence to position an i-team for success by underscoring the urgency of the issues they have been charged to address. The mayor should be involved enough with the i-team that he or she is knowledgeable about progress on the priorities, informed when major issues arise, and available to step in quickly with resources, time, or political leverage to ensure that barriers are overcome. The best results are achieved when mayors engage in and consistently reinforce the importance of the work.

2. A CLEAR MANDATE AND ROLE FOR THE TEAM

A clear mandate from the mayor as i-teams launch and as their work progresses has been instrumental in positioning i-teams for success. The approach works best when the mayor makes clear that he or she views the i-team as an in-house consultancy and that he or she expects the i-team to work closely with agency leaders, understand the causes and complexities of a problem, analyze data, identify promising practices, come up with bold new approaches, design responsive solutions, and support the implementation of initiatives that effect meaningful change. The mayor must also make clear to deputies and agency leaders that he or she is expecting meaningful results, and that it is their responsibility to work together to achieve them.

3. RESOURCE COMMITMENT AND CAPACITY

For a city to successfully use the approach to achieve real change, city agencies must ante up staff time and other resources to address the problems that they and the i-team have been tasked to solve. Change will not occur if the i-team operates separately from city agencies. The most effective i-teams collaborate from the start with agency partners, lending them additional support and brainpower; they do not swoop in and take over. Indeed, in the cities that have used the approach most effectively, agency partners report feeling like a weight was lifted when they learned the i-team had been deployed to help them solve a problem.

HOW TO READ THIS PLAYBOOK

The chapters of this Playbook lay out the Innovation Delivery approach, with the aim of guiding a city and its i-team through a series of steps from receiving a mandate from the mayor to delivering solutions. Following this Introduction, there are five chapters in this Playbook:

- The first, **Getting Started**, describes initial actions necessary to begin, including setting high-level priorities at the mayoral level, and the skills to look for in staffing the i-team.

- The next four—**Investigate the Problem**, **Generate New Ideas**, **Prepare to Deliver**, and **Deliver and Adapt**—describe the four core steps of innovation and delivery, and provide illustrations of how these steps have been applied in practice.

Throughout the Playbook, special "Get Engaged" alerts provide advice, strategies, tactics, and tools to help foster productive working relationships with partners at critical moments in the work.

An accompanying Toolkit, available in electronic form, includes blank templates for many of the examples of work products shown throughout this Playbook, as well as job descriptions and other tools. Also, a glossary at the back of this Playbook provides quick definitions of key terms, such as metric, charter, and Initiative Owner.

GETTING STARTED

This chapter describes the steps that a city should follow when it seeks to create and hire an i-team. The mayor, in partnership with the i-team Director and others in the mayor's office, such as deputy mayors and communications staff, will undertake these steps.

A. UNDERSTAND KEY ROLES

The i-team exists for one and only one reason: to help mayors and cities generate bold new ideas or approaches to solve big, pressing problems.

An i-team should expect to work very hard, but it is the i-team's partners in city government (and in some cases, outside of it) who will actually put in place the solutions that are developed. The i-team, therefore, must identify and work with these partners from the outset. Ensuring that this happens is the top priority for a new i-team. With this in mind, what follows is a description of the central and indispensable players who need to participate.

MAYOR

The mayor sets the tone for the entire venture. He or she:

- Makes clear that the success of the i-team is a top priority

- Holds the i-team, Director, and Initiative Sponsors accountable—but also supports them when individual initiatives do not work out

- Empowers the i-team Director to make critical decisions, and makes it clear that he or she has the mayor's trust and support

- Participates in Stocktakes (see pg. 68) to demonstrate the importance of initiatives and targets to city stakeholders

- Is responsive to the i-team when it identifies obstacles, and consistently engages senior department leaders and external partners (such as nonprofit service organizations) when the mayor's intervention is needed

- Announces and celebrates the achievements of the i-team, the department partners, and the overall plan

INITIATIVE SPONSORS

Initiative Sponsors, the department leaders who are accountable to the mayor for successful implementation of initiatives:

- See themselves as directly accountable for initiatives and view their success in delivering initiatives as a key component of their success as leaders

- Are actively involved in updates with the mayor and other internal meetings to ensure delivery of initiatives

- Strongly and publicly support all of the initiatives in their departments

- Work effectively with their counterparts when initiatives raise issues that cross departments

- Commit the right people with the right skills to make initiatives a success (which may mean reprioritizing tasks to ensure that an initiative is implemented effectively)

- Participate in Stocktakes and resolve issues in a timely way

INITIATIVE OWNERS

Initiative Owners, who are responsible for day-to-day implementation and oversight:

- Feel directly responsible for the success of an initiative and believe that their own success is tied to the initiative's success

- Keep the Sponsor well informed and meaningfully engaged

- Focus doggedly on making progress toward milestones in the plan and proactively identify and resolve any obstacles as they arise

- Work seamlessly with Project Managers and lead initiative staff to achieve the desired results

Innovation team members, especially Project Managers, tend to have deep relationships with Owners because they work closely together. When the approach is working best, the relationships between the i-team and Initiative Owners have a healthy and unavoidable tension, as part of the i-team's job is ensure that Owners are accountable for achieving progress on initiatives.

INNOVATION TEAM DIRECTOR

As a senior city leader and the core champion of the Innovation Delivery approach, an effective Director:

- Actively facilitates the generation of new ideas—encouraging Sponsors and Owners to raise expectations and press for the development of new approaches

- Focuses relentlessly on impact: how initiatives perform against the plan, what stands in the way, and what needs to change in order to reach targets

- Provides insightful, practical recommendations to Project Managers about how to resolve difficult issues

- Keeps the mayor informed and engaged on key decisions and makes the most of his or her time by focusing on the most important issues

- Uses "soft power," for example, appealing to colleagues' interests to gain their cooperation or calling upon the mayor's authority when necessary

- Ensures that department partners receive full credit when they achieve targets or otherwise succeed

INNOVATION TEAM PROJECT MANAGER

An effective Project Manager helps Sponsors and Owners succeed by:

- Acting as an independent assessor who not only tracks progress, but understands *why* some initiatives may not be working

- Offering practical advice and support to Owners as they confront barriers to change

- Coaching Owners (on problem solving, implementation strategies, and presentation skills)

- Being a "cheerleader" who ensures that the mayor recognizes departments' achievements

B. CHOOSE AND COMMUNICATE PRIORITY AREAS

Innovation Delivery provides a tested method for addressing the most pressing issues facing a city. Issues that are ripe for an i-team are often challenges where the solutions will span multiple agencies or stakeholders, and where there is demand and appetite for bold, new thinking. Importantly, i-teams are not meant to execute existing plans or solutions. If there is already clarity around the nature of the problem and the solutions to address it, it is not a fit for an i-team.

The Innovation Delivery approach has been successfully applied to a broad array of issues, ranging from reducing violent crime to improving customer service to promoting small business growth to reducing street homelessness.

In most cities, the list of economic, social, and government service problems is long—and the need for resources is great. Yet the efficacy of the approach may be diluted when the i-team's charge is overly broad. Successful i-teams have focused on just one or two priorities at the outset. Like a consultancy, i-teams are designed to move from one priority to the next as they achieve their initial goals and as new priorities emerge.

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EXHIBIT A

SAMPLE PRIORITY AREAS

THE PRIORITY AREAS ADDRESSED BY THE FIVE PIONEER INNOVATION TEAMS INCLUDED:

- Memphis: Public safety
- Louisville: Agency performance
- New Orleans: Customer service
- Chicago: Small business growth
- Atlanta: Homelessness

B.1 DETERMINE PRIORITY AREAS

Priority areas can be determined with or without the input of the i-team. In many cases, initial priority areas are chosen by the mayor and his or her staff before an i-team is established. Cities can tap many sources to identify potential priority areas, including:

- **Administration priorities:** What are the mayor's major ambitions for the city? What seems most difficult to accomplish? Which issues will require action from multiple departments to address?

- **Citizens' priorities:** What problems have citizens raised repeatedly that the government has yet to fix? Are there issues that community groups would see as priorities? Some cities have experimented with public participation to identify the priorities of citizens more directly.

- **Internal stakeholders' priorities:** What is the most critical priority for each department? Which of these require collaboration with other departments? What problems or processes do line staff think might prevent government from reaching its potential?

In most cases, and appropriately so, the mayor makes the final decision about how to deploy the i-team.

B.2 COMMUNICATE PRIORITY AREAS

The mayor should begin building support for the i-team's work by sharing the priority areas within city government and explaining why they were chosen. (In some cases, it will also be appropriate to share the priority areas publicly.) This is an ideal opportunity for the mayor to meet with senior staff and department leaders to set expectations that significant progress on the priorities will be made, to explain why he or she is establishing the i-team, and to communicate both the role of the i-team and the value it can bring to the work of department leaders.

C. HIRE AND STRUCTURE THE TEAM

Innovation teams include a Director, who reports to the mayor or chief executive, and typically include Project Managers and other support staff as needed. Sometimes, i-team positions may require new budget lines; in others, existing lines may be repurposed to support i-team efforts. Key attributes of an i-team structure follow, but cities can and should customize the structure of their i-team based on their city's existing assets and needs.

C.1 THE I-TEAM REPORTS DIRECTLY TO THE MAYOR

Innovation teams are independent units reporting directly to the mayor. This structure gives the i-team the flexibility and authority to work horizontally across departments and to avoid being limited by the assumptions and constraints of any one department.

An independent i-team works directly with department leaders and employees to develop and deliver initiatives, but existing reporting structures remain in place and the i-team neither reports to, nor has formal authority over, the departments.

C.2 WHAT TO LOOK FOR IN A DIRECTOR

The most important staffing decision a mayor will make for an i-team is the Director. The Director's core responsibility is to run the i-team—specifically, to manage i-team members, build relationships with departments, coordinate closely with the mayor and key stakeholders, and take responsibility for the i-team's successes or failures. Importantly, Directors create a shared language and understanding around innovation for others within city government. The Director should be a strong strategic and critical thinker, able to drive change through collaborative partnerships, and able to manage and inspire staff.

The profiles and backgrounds of Directors vary. The following exhibit shows sample backgrounds of existing Directors.

TOOLKIT
Sample Director job description

EXHIBIT B

SAMPLE DIRECTOR PROFILES

DIRECTOR PROFILE (1 OF 3)	DIRECTOR PROFILE (2 OF 3)	DIRECTOR PROFILE (3 OF 3)
BACKGROUND ■ Key role in White House Office of Management and Budget ■ Special counsel to Department of Defense ■ Naval officer **EDUCATION** ■ J.D.	**BACKGROUND** ■ Former state Secretary of Revenue ■ Former partner at a large consulting firm ■ Chief of Economic Development for the county **EDUCATION** ■ J.D.	**BACKGROUND** ■ Engagement manager at a major consulting firm, specializing in healthcare ■ Marketing strategy professional **EDUCATION** ■ M.B.A. ■ M.P.H.

C.3 WHAT TO LOOK FOR IN TEAM MEMBERS

Directors of existing innovation teams highlight eight skills as critical to have represented on an i-team:

- Project management
- Knowledge of city government
- Analytical capabilities (i.e., quantitative data analysis and qualitative investigation such as research, interviews, and observations)
- Creative thinking skills and the inclination to constantly challenge and test assumptions
- Problem solving and critical thinking
- Strong oral and written communication skills
- Ability to work with people at all levels of government
- Exceptional drive for impact

It will be rare for any one person to be strong in all of these areas—but it is important for the i-team, as a whole, to be strong across all of them. Project Managers in particular should have demonstrated success and skills in the areas of project management (ushering a complex project through to completion), performance management (using data to assess and drive performance), and facilitation (organizing a structured, productive group conversation). The exhibit on the following page shows sample backgrounds of existing Project Managers.

EXHIBIT C

SAMPLE PROJECT MANAGER PROFILES

PROJECT MANAGER PROFILE (1 OF 3)	PROJECT MANAGER PROFILE (2 OF 3)	PROJECT MANAGER PROFILE (3 OF 3)
BACKGROUND ■ Senior consultant at a management consulting firm ■ Equity analyst at a boutique investment bank ■ Naval officer **EDUCATION** ■ M.B.A.	**BACKGROUND** ■ Faculty researcher at a university institute for governmental service and research ■ Budget analyst for the city **EDUCATION** ■ M.P.A.	**BACKGROUND** ■ Executive staff officer at metro human services division of mental health ■ Housing manager at Catholic Charities housing center ■ Law clerk at the U.S. Department of Housing and Urban Development **EDUCATION** ■ M.S.W. ■ J.D.

Project Managers must be quick learners who can rapidly get up to speed on any subject, because the i-team's first job is to dive quickly into the work and gain a deep understanding of the problem—by talking with and observing city management and staff, interacting with other key actors, conducting reviews of published research, and consulting with experts. Project Managers need not be experts in a given priority area, because i-teams should expect to switch from one priority to the next as impact is achieved (or to work on multiple priorities at once). Indeed, in cities where issue experts have been hired to fill project management positions, i-teams have struggled to find their footing. Hiring subject matter experts can send the message that the i-team knows exactly what to do or has been brought in to carry out the implementation work. The goal of the innovation team is to support existing players in the city, not to supplant them.

C.4 HOW INNOVATION TEAMS ARE ORGANIZED

All i-teams should be led by a Director. To ensure that all eight skills mentioned on page 13 are represented, cities and Directors may choose to create additional positions. Some i-teams, for instance, hire analysts who are solely responsible for performance management and data analysis, while others let Project Managers handle those tasks.

Some i-teams hire junior staff to support Project Managers, while others make no such distinction. Some i-teams draw on the analytic support and expertise of existing performance management departments. The following charts show two practical organizational schemes for innovation teams, though there are many others.

EXHIBIT D

SAMPLE TEAM ORGANIZATIONS

DIRECTOR
PROJECT MANAGER PRIORITY 1
PROJECT MANAGER PRIORITY 2
ANALYST

DIRECTOR
PERFORMANCE MANAGEMENT LEAD
ASSISTANT
SENIOR PROJECT MANAGER PRIORITY 1
SENIOR PROJECT MANAGER PRIORITY 2
JUNIOR PROJECT MANAGER
JUNIOR PROJECT MANAGER
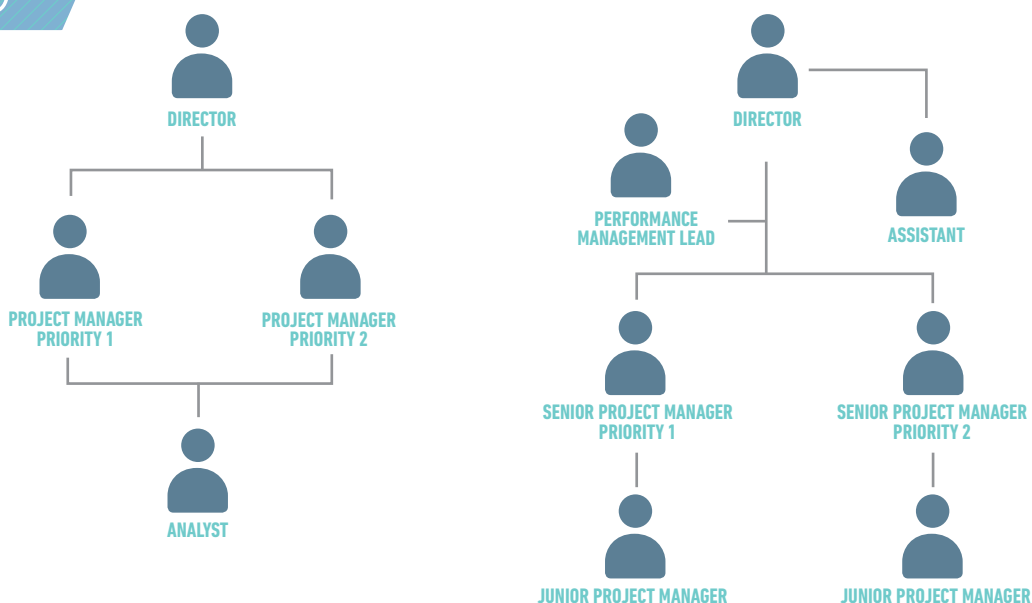
C.5 BRINGING TEAM MEMBERS ON BOARD

As i-team positions are filled and new members come on board, many i-teams have found it valuable to organize training around the Innovation Delivery approach and its application. Typically, i-teams have asked new members to review the Playbook in advance of training and then discuss the core concepts and tools as a group. Parts of this training may be later extended to partners of the i-team, especially future Owners and Sponsors.

D. PLAN TO MOVE QUICKLY

A core feature of the Innovation Delivery approach is pressure to succeed—on the mayor, city executives, the i-team, and its partners. Pressure creates an environment in which action is expected and bureaucratic barriers can be overcome; ambitious and clear time goals help generate this pressure. While there is no set timeline for applying the Innovation Delivery approach to every priority area, the approach is one of quick action leading to real change on the ground, and works best when the mayor seeks to solve a problem within a specific, limited time frame. Generally speaking, a mayor starting an i-team should expect at least some operational initiatives to be launched within six to nine months of hiring the i-team.

It is recommended that an incoming Director and i-team carefully review the Innovation Delivery approach and plan a rough time frame for the completion of key milestones. Potential milestones include:

- Challenges are defined (Step 1B)

- Key metrics (what is to be measured) for each challenge are chosen (Step 1E)

- Challenge targets are set (Steps 1E and 3E)

- A long list of potential initiatives is generated (Steps 2A and 2B)

- Initiatives are chosen (Steps 2A and 2B)

- Work plans for each initiative are established (Step 3D)

- The routines of delivery are begun (Step 4)

E. BUILD SUPPORT FOR THE TEAM

Department leaders may not immediately embrace the approach, and some may even see the i-team as a threat, making the first communications vitally important. The i-team is responsible for introducing itself to stakeholders and future partners around the city.

When doing so, it is helpful to reinforce that, as described in the Introduction, i-teams are like in-house innovation consultants, working closely with other senior staff members and departments but not managed by (nor managing) them. Innovation teams complement the expertise and commitment of existing department leaders and staff, helping the administration reach new heights in areas of greatest concern. In addition, it is important to signal that it is the department leaders who will receive credit for success when innovative initiatives are launched and targets are achieved; the i-team is a new resource to help them get there.

> **FROM A DIRECTOR:**
> **THE IMPORTANCE OF STARTING ON THE RIGHT FOOT**
>
> "The success of your project depends on successfully introducing the i-team. The departments have to see you as a member of their team and not as someone who is there to 'uncover' anything, add unnecessary work, etc. They have to know that you are 100% there to support them and drive the project. The departments should feel as though this is an opportunity for them to do something bigger than their day-to-day functions. Always be sure you can say with confidence that the i-team is implementing the Playbook process with their stakeholder partners, rather than to their partners."

GET ENGAGED Right at the outset, therefore, the Director of the i-team should expect to spend significant time introducing herself or himself and the i-team to all relevant city departments.

This can be accomplished by speaking to many departmental heads (and senior-level staff such as deputy mayors) at once, or by visiting them for smaller group or one-on-one meetings. Either way, it will be helpful to have a ready-to-go presentation that explains the i-team's purpose, goals, and process to these partners-to-be. The key points in such a presentation might include:

- The i-team will usher its partners through a four-step innovation and delivery process

- The i-team reports to the mayor and is an extension of the mayor's office

- The i-team job is to help its partners accomplish ambitious goals

- The i-team thinks of itself as in-house innovation consultancy; the i-team helps the work move along but does not do the work

- The i-team will be with partners every step of the way, from understanding the root causes of a problem to implementing the solution designed to address it

Many i-team Directors credit their success to having a broad, supportive coalition of leaders that they began building at the very start of the i-team 's work.

CONCLUSION

The i-team is ready to move forward and jump into the real work when:

- The priority areas that the i-team will work on are established by the mayor and made known in city government, and the mayor has set clear expectations for progress among city leaders and explained the i-team's role

- The Director and most i-team members are hired, and the i-team is structured internally and is set up to report to the mayor

- An i-team's members are trained in the Innovation Delivery approach, and the mayor and Director have sketched out a rough timeline of important milestones

- The i-team has worked hard to introduce itself within city government, explaining to department leaders and others how it will help them achieve meaningful impact on the mayor's priority areas

When these tasks are complete, the i-team has been established on firm ground and can proceed to the first core step of the approach, Investigate the Problem.

INVESTIGATE THE PROBLEM

A. BUILD RELATIONSHIPS AND COLLABORATE FROM THE START

B. CREATE A PRELIMINARY LIST OF CHALLENGES

C. WORK TO UNDERSTAND THE PROBLEM

D. FINALIZE CHALLENGES AND CONTRIBUTING ISSUES

E. SELECT METRICS FOR EACH CHALLENGE

A. BUILD RELATIONSHIPS AND COLLABORATE FROM THE START | B. CREATE A PRELIMINARY LIST OF CHALLENGES
C. WORK TO UNDERSTAND THE PROBLEM | D. FINALIZE CHALLENGES AND CONTRIBUTING ISSUES | E. SELECT METRICS FOR EACH CHALLENGE

Once priority areas are defined and i-teams are in place, it is time to get to work. The first core step in the Innovation Delivery approach is to investigate the problem. This means moving from broad priority areas to specific challenges, learning deeply about the causes of these challenges, and determining how to measure progress.

Working with partners within city government, the i-team will move through a broad and deep research process, becoming intimately familiar with the subject matter while also building relationships. All too often in government, there is an urge to jump straight to solutions. This urge should be resisted. Experience has shown that the value of gaining a deep understanding of the facts and data behind a problem *before* reaching for solutions cannot be overstated.

This chapter introduces several important terms that will be used throughout the rest of the Playbook:

EXHIBIT 1.1

KEY CONCEPTS FOR STEP 1

CONCEPT	DEFINITION	EXAMPLES	
PRIORITY	A broad, high-level area of focus identified by the mayor	■ Public safety	■ Neighborhood economic vitality
CHALLENGE	A specific problem within a priority area that the i-team and its department partners hope to solve	■ The city is experiencing high numbers of homicides	■ Small businesses in certain neighborhoods are struggling to survive
CONTRIBUTING ISSUES	The causes of a challenge	■ Illegal guns on city streets; gangs; too few police officers on patrol	■ Existing businesses do not have the cash (or credit) to invest in improvements
METRIC	A measurable unit that will be used to evaluate progress on the challenge	■ The number of murders as recorded by the police department	■ Small businesses' sales as recorded by sales tax records
TARGET	The specific goal the i-team and its department partners will try to achieve for a challenge	■ Reduce annual murders by 25% by 2015	■ Increase aggregate sales in key areas by 20% within two years

Innovation teams will first define challenges before conducting research on these challenges, identifying contributing issues, and, finally, determining how progress on challenges will be measured.

The philosophy behind this approach is that to develop effective solutions, big problems need to be broken down into concrete, addressable causes. Just as important, i-teams must take care to bring others along with them as key conclusions are drawn about the causes of the problem at hand.

Innovation teams that approach the research process deliberately (which need not mean slowly), alongside key partners, will find themselves well positioned to:

- Develop initiatives that are focused on influential levers that can effect rapid change
- Avoid mistakes that others have made while attempting to address the problem
- Obtain high-level support for key initiatives

A. BUILD RELATIONSHIPS AND COLLABORATE FROM THE START

The process of carefully scoping the problem is a unique and powerful opportunity to strengthen the relationships you will need to successfully implement initiatives and achieve impact. As the work gets under way, it is important to remember that an i-team is a tremendous resource, but it is not designed to accomplish change on its own.

GET ENGAGED The research stage is the i-team's first opportunity to engage potential partners, by working side by side to get to the heart of the challenge.

It is crucial for i-teams to keep in mind that, ultimately, the i-team does not implement initiatives— its partners do. These future Owners and Sponsors of initiatives must be engaged from day one.

WHOM TO ENGAGE

An i-team's partners will likely include everyone from the mayor to agency commissioners to line staff. In thinking about whom to engage, it may be helpful for the i-team to consider the following questions:

- Who in the agencies is working on issues related to my challenge area?
- Who would be put off if a given item were put on his or her plate without discussion?
- Whose absence from an upcoming meeting would mean that we will be unable to move forward?
- Whose support might encourage key stakeholders to become more invested?

It is important to consult with senior staff familiar with the politics and interpersonal relationships at city hall to answer these questions.

A. BUILD RELATIONSHIPS AND COLLABORATE FROM THE START | B. CREATE A PRELIMINARY LIST OF CHALLENGES
C. WORK TO UNDERSTAND THE PROBLEM | D. FINALIZE CHALLENGES AND CONTRIBUTING ISSUES | E. SELECT METRICS FOR EACH CHALLENGE

The following table shows some typical examples of the kinds of partners engaged by i-teams:

EXHIBIT 1.2

SAMPLE INNOVATION TEAM PARTNERS

IN CITY GOVERNMENT	OTHER GOVERNMENT	OUTSIDE OF GOVERNMENT
■ Deputy mayor	■ School board official	■ Leader of a community group
■ Police chief	■ Director of county office economic development	■ Program officer at a local foundation
■ Police captain in charge of gangs	■ City Council member	■ Business owner or investor
■ Commissioner of Buildings	■ Prosecutor in the U.S. Attorney's office	■ Committee leader on local chamber of commerce
■ Midlevel manager in the sanitation department		
■ Desk/line worker		

B. CREATE A PRELIMINARY LIST OF CHALLENGES

The i-team's first task is to help the mayor and other city leaders to choose which challenges to address. A challenge, as noted above, is the specific obstacle or opportunity the city hopes to tackle, such as homicide for a public safety priority or energy efficiency for a sustainability priority. For example, here are some of the challenges that existing i-teams have selected:

EXHIBIT 1.3

SAMPLE CHALLENGE AREAS

■ **Memphis.** Priority: Neighborhood economic development. Challenges: it is difficult for existing businesses to sustain and grow; the rate of new small business formation is low; blight and vacant commercial properties are extensive in certain neighborhoods.

■ **New Orleans.** Priority: Public safety. Challenge: The murder rate is very high.

■ **Chicago.** Priority: Reduce waiting and processing times for key city services. Challenges: Licensing processes are too complex; inspections are too burdensome for new businesses; the process of accessing city services is not user-friendly.

Experience suggests that the i-team and its partners should select a limited number of challenges within a given priority area to ensure that the i-team does not get spread too thinly. In some cases, one challenge may be broad and important enough to be the only challenge chosen. In most cases, however, there will be a number of challenges that a city will choose to tackle.

While some challenges will likely be quickly determined by the interests of the mayor, others may rise to the top as a result of the research process described in the next section. Some i-teams, therefore, choose to create a list of potential challenges at this point that is intentionally long, and then whittle down that list after the research process.

It is important to note that challenges should always be defined as a specific problem—and never in a way that presumes a certain solution. For instance, "the city needs to create a one-stop shop for small business entrepreneurs" would not be an appropriate challenge. In contrast, "starting a small business in our city is a confusing, lengthy, and expensive process" would be a good starting point.

The following section describes a process to help i-teams and agency partners research and understand challenges.

C. WORK TO UNDERSTAND THE PROBLEM

This section focuses on strategies to help the i-team understand a new priority area. With a first list of challenges defined, the i-team must now learn as much as it can about the causes of the challenges, what is being done today to address them, what is working and what is not, and whether and how other jurisdictions have made progress. The i-teams have found that devoting significant resources to this task, while working alongside partners in the city, establishes a firm foundation for the later development of initiatives.

While it is not until the next step of the approach (Step 2: Generate New Ideas) that the i-team will work to gather and create ideas for new initiatives, it is all but certain that some ideas for initiatives will arise during the research phase. Successful i-teams recommend creating an "idea log" and maintaining it through the completion of Step 2.

C.1 ASSESS AVAILABLE DATA, CURRENT AND HISTORICAL

It is important to determine the nature and extent of the data available to describe the challenges. For instance, if one challenge is related to foreclosures, you might be interested in knowing the number of foreclosures initiated within the city each month and by zip code. Generally speaking, data the i-team desires will be in any of several states: currently tracked by a city agency; available from an outside source; not readily available but fairly easily compiled; or not available at all without significant work. While accurate, relevant data is key, don't let the absence of perfect data deter you: accept that in some instances you will have to use problematic data or data that substitutes for what you would actually like to measure.

Many i-teams start by taking stock of the systems—digital or otherwise—that the city uses to collect data that relates to the challenge at hand. Historical information (whether over the past few months or the past 20 years) can help answer key questions about trends and causes. Has the problem been persistent, or has it surfaced in the past several months? Is the problem accelerating, slowing down, or holding steady? When has the problem been most acute, and is there something that happened at that time to explain the uptick? Are there consistent patterns, such as seasonal effects, in how the data changes? Past data will also help establish a meaningful baseline against which future progress can be measured.

1 INVESTIGATE THE PROBLEM   2 GENERATE NEW IDEAS   3 PREPARE TO DELIVER   4 DELIVER AND ADAPT

A. BUILD RELATIONSHIPS AND COLLABORATE FROM THE START | B. CREATE A PRELIMINARY LIST OF CHALLENGES
C. WORK TO UNDERSTAND THE PROBLEM | D. FINALIZE CHALLENGES AND CONTRIBUTING ISSUES | E. SELECT METRICS FOR EACH CHALLENGE

The following case study demonstrates how an analysis of trends in murder was an important step for the New Orleans i-team.

CASE STUDY 1.1

TELLING THE STORY THROUGH DATA

Shortly after the formation of the innovation team in New Orleans, i-team members began working collaboratively with the mayor's staff to research historical trends in crime and policing in New Orleans and other cities, cross-referencing crime data to other data sets such as population density, as well as identifying successful violence reduction strategies from other jurisdictions. The work later expanded to include partners within the police department, who conducted a painstaking analysis of the circumstances of each murder that occurred within the last three years.

In addition to bringing key facts to the table, this analysis produced two important outcomes:

- The information played a "myth-busting" role in refuting the belief that New Orleans's homicide problem was not driven by conflicts among groups. Although it was true that New Orleans did not have a "gang problem" when gangs were defined as large, complex criminal organizations, it turned out that the majority of murders in the city indeed resulted from disputes among smaller, more informal groups.

- The process introduced the i-team to key colleagues in the mayor's office and within the police department, and the i-team gained an early reputation as brokers of honest, impartial analysis—helpful in breaking down barriers to working with partners in law enforcement.

Depending on your specific challenges, much of the data that would be helpful to you may not be collected by your city. In some cases, you might spot an opportunity to help city agencies to collect this data. For instance, imagine that an i-team is interested in the average time between initial applications and the issuance of permits. The i-team might work with agency staff to comb through a sample of past records to establish a baseline, and later institute new procedures to facilitate ongoing tracking.

In other cases, useful data sets may exist, but they might never have been analyzed. The following case study shows how the Memphis i-team creatively used existing administrative data from a new source to provide the city with a fine-grained, ongoing look at the economic health of neighborhoods:

CASE STUDY 1.2

DEVELOPING NEW KINDS OF DATA

The Memphis i-team was tasked by Mayor A C Wharton, Jr. with addressing the priority of "neighborhood economic vitality"—the economic health of depressed neighborhoods in Memphis. When the i-team began its work, the city had no method for measuring commercial activity at the neighborhood level—yet the i-team sought data to establish a working baseline and track progress. (Some census figures were available by zip code, but were not updated often enough to be helpful.) Expanding their list of potential partners, the i-team noticed that the county had access to sales tax records for local businesses. The i-team and the county worked collaboratively to develop a plan in which the county would aggregate and report commercial sales by city neighborhood each quarter, providing the city with new insight into the economic health of neighborhoods and the i-team with new metrics upon which to construct ambitious targets for improving economic health.

C.2 UNDERSTAND CURRENT AND PAST EFFORTS

As the i-team assesses the data landscape, it is important to compile a list of the activities in place today that address the challenges. The best way to do this is by interviewing relevant employees and examining documents. Guiding questions include:

- Are existing initiatives specifically aimed at this issue?

- What current programs are likely to affect this issue, even if not directly?

As the i-team discovers current activities, programs, and initiatives that affect the challenge at hand, the i-team should assess the effectiveness of these efforts by asking questions such as:

- What is the theory behind these activities/initiatives?

- Are these activities accomplishing their stated goals? (Do they have stated goals?)
  If they are not successful, why not?

- Are there existing programs working so well that they should be expanded?

In some instances it may make sense to conduct "structured" interviews, in which multiple interviewees are asked the same questions, determined ahead of time.

In addition to interviewing, i-teams also found these techniques helpful in learning about complex systems:

- **Shadowing.** Shadowing workers can help i-team members and partners to quickly understand work flow, task distribution, and other details of the day-to-day experience of front-line workers. In Louisville, for example, where the i-team was working to improve the city's emergency medical services, one of the first things the i-team did was to accompany an ambulance unit on a ride-along. In addition to gaining valuable knowledge by learning from those responsible for emergency response operations on the ground, the i-team was able to build trust and set the stage for productive, collaborative relationships. They learned to "speak the language" of the agency and signaled a willingness to get into the trenches.

- **Process mapping.** In some cases, it is helpful to graphically map out the work flow of a complex system, like a permit approval process. In many cases, such maps do not exist, and the work flow's complexity may be surprising. Illustrating the work flow can make it easier to spot problem areas. Also, displaying the unintended complexity of a system might help to galvanize change.

Finally, it is often useful to conduct a careful examination of past efforts. Many issues are cyclical in nature. How did your city address a challenge in the past? Were there past successes you can learn from? What about lessons from past failures? In exploring these questions, the i-team should work with colleagues in city agencies and departments as much as possible.

C.3 IDENTIFY CONTRIBUTING ISSUES

In the process of carrying out research, it is important to identify the "contributing issues," or major causes, of each challenge. For example, if the city plans to focus on youth handgun violence, contributing issues might include easy access to guns, gang activity, a lack of services for high-risk youth, and so on. From the varied drivers of a particular problem, the goal is identifying which major causes of a challenge the i-team and partners will seek to address and respond to with targeted initiatives.

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To illustrate this core concept, Exhibit 1.4 shows some of the contributing issues the Chicago i-team identified for challenges within the priority of Small Business Growth.

EXHIBIT 1.4

SAMPLE CONTRIBUTING ISSUES FROM THE CHICAGO INNOVATION TEAM

CHALLENGE	SAMPLE CONTRIBUTING ISSUES
LICENSING PROCESSES ARE TOO COMPLEX FOR USERS	■ There are too many license types ■ Many applications are incomplete, which can significantly delay a business's launch
INSPECTIONS ARE TOO BURDENSOME FOR BUSINESSES	■ New businesses are required to sit through too many inspection visits ■ Businesses receive inconsistent messages from one inspector to the next ■ There is no centralized scheduling system for inspections
THE PROCESS OF ACCESSING CITY SERVICES IS NOT USER-FRIENDLY	■ There are too many required touch points with the city ■ Many license and permit applications are not available online

As you work to paint a clear picture of the causes of each challenge, there is no magic template or approach that will suit every i-team. There are, however, some specific techniques that i-teams have found helpful at this stage. A hypothesis tree can help an i-team focus in on the particular contributing issues it is best positioned to influence. As illustrated in Exhibit 1.5, a "vacant and abandoned properties" challenge can be explained through many levels of contributing issues. Here, the Louisville i-team determined that the issues highlighted in dark green offered the most promising opportunities for impact.

EXHIBIT
1.5

SAMPLE HYPOTHESIS TREE

CHALLENGE: Neighborhood X has a high concentration of vacant and abandoned properties

Increased foreclosures

- Job loss
  - Economic downturn
- Hard to stop foreclosure process once it begins
- Borrowing beyond means
  - Adjustable-rate mortgages
- Few preventive resources available for mortgages
- Unscrupulous lenders, fraudulent practices

Municipal process failures

- The city does not rapidly identify newly abandoned properties
- Regulations regarding title transfer are onerous
- Demolition and conversion are costly
- No one is responsible or accountable

Not enough interested buyers

- Houses for sale are in poor condition
- High crime

A hypothesis tree is a way to draft contributing issues for a challenge. The arrows can be read as "contributes to."

Additionally, working with end users—those who directly experience the challenge or service in question—can be a highly effective strategy for surfacing contributing issues. For instance, in seeking to understand the factors that have contributed to the proliferation of vacant and abandoned properties in a particular neighborhood, an i-team might convene a focus group of neighborhood residents to get their take on the facts or events that precipitated the vacancies. A number of techniques for engaging with end users are described in Step 2: Generate New Ideas.

C.4 PLACE THE PROBLEM IN CONTEXT

Tough problems are often shared by other cities (or other kinds of governments or other sectors). Placing the challenges in context can help the i-team understand the most important causes. Here are some research techniques that i-teams have found useful for doing so:

- **Assess other cities:** To what extent does the challenge exist in other cities around the world? How does your city compare? What characteristics do cities that experience the problem share? What characteristics do cities that have avoided or mitigated the problem share?

  Identifying a group of cities that are similar to yours along a range of key characteristics (size, population, income, and so forth) may be a helpful first step.

As you learn more about other cities, the i-team may find it helpful to reach out to its leaders to learn from their experiences. Telephone conversations are easy and valuable—even one conversation may lead to documentation, data, or details that are not possible to glean from an online search. Members of the i-team should make every attempt to include departmental partners in such calls.

As a further benefit of reaching out, the relationships that begin to form with counterparts in other cities may lead to site visits to view specific programs firsthand, as discussed in Step 2: Generate New Ideas (see pg. 34).

- **Speak with outside experts:** It may be helpful to engage with subject matter experts from industry and academia (in addition to experts from your own city). Experts can bring a distinct perspective drawn from extensive research and tested lessons from the field.

- **Conduct a literature review:** The i-team and its partners should search for literature analyzing the problem, its causes, and/or its solutions. Specific suggestions for conducting a careful literature review include:

  - Making use of full-textbook search tools, e.g., Google Books

  - Calling a professor or researcher at a local university

  - Asking people in other cities what they are reading

  - Conducting a review of academic journals, e.g., the *Journal of Criminal Justice*

  - Reviewing reports on effective strategies from research organizations such as RAND and Brookings

D. FINALIZE CHALLENGES AND CONTRIBUTING ISSUES

As the research phase approaches completion, it is time to take stock of what has been learned, and to select a set of challenges and contributing issues.

D.1 FINALIZE THE LIST OF CHALLENGES

Cities select challenges in different ways, but it is important that some criteria exist so that the city can explain why it is focusing on one challenge rather than another. In practice, there are many reasons for choosing one challenge over another, including:

- Assessment of potential impact on the lives of citizens

- Demand from citizens

- Difficulty of addressing the challenge

- Degree to which the challenge is best solved by city government

- Presence or absence of willing partners

- Mayoral priorities

> **FROM A DIRECTOR:**
> **TAKE ENTHUSIASM INTO ACCOUNT**
>
> "When selecting among possible challenges, the likelihood of success is enhanced by the level of interest and enthusiasm of potential Sponsors and Owners. This includes a commitment by the Sponsor/Owner to provide resources needed for implementation."

Regardless of how the i-team manages the selection process, the best challenges will be genuinely important to the mayor, the i-team, and the department leadership. Above all, i-teams have found that the challenge must be measurable—so that you will be able to define goals and assess progress over time.

D.2 PRIORITIZE AND SELECT CONTRIBUTING ISSUES

The i-team and its colleagues in agencies and departments cannot and should not address all of the possible contributing issues that feed a challenge. Rather, it is best to focus on the contributing issues that deliver the most "bang for the buck." It is useful for the i-team to facilitate a systematic prioritization process for contributing issues. Commonly used criteria for this choice include:

- For which contributing issues is there strong evidence of a cause-and-effect relationship between the issue and the problem? (As a general rule, use data as much as possible.)

- Which issues can the city meaningfully address, given its resources and capabilities?

- Which issues are closest to the administration's core objectives?

- Which issues are not already being addressed effectively (perhaps because they are cross-departmental in nature)?

- Which issues have a measurable impact on the challenge(s) and priority at hand?

By applying criteria like these, the i-team and its partners can narrow their list of contributing issues for each challenge down to a short list that the group will address.

E. SELECT METRICS FOR EACH CHALLENGE

With challenges and contributing issues defined, the i-team and its partners should turn their attention to targets and metrics. While it may feel early to set definitive targets, it is important to put a "stake in the ground" to signal to all stakeholders that measurable progress is the expected end goal.

E.1 SELECT CHALLENGE METRICS

For each challenge selected, the i-team and its partners should choose at least one metric with which to measure progress. A metric is a specific quantity, proportion, or rate that can be measured at regular intervals. For instance, a metric for the challenge "customer satisfaction around the permitting process is low" might be "the number of complaints received per month." Note that in this case there is an assumption that the number of complaints filed is a reasonable proxy for citizens' negative impression of the permitting process. Indeed, many metrics will be proxies for the true "something" that you wish to track. Factors for selecting metrics should include: completeness, timeliness, and reliability of the underlying data, and the extent to which resources are available to routinely collect and compile the data.

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The following are examples of challenge metrics used by existing innovation teams.

EXHIBIT 1.6

SAMPLE CHALLENGE METRICS

CITY	PRIORITY	CHALLENGE	CHALLENGE METRIC
ATLANTA	Street homelessness	There is a sizable population of homeless veterans	Number of homeless veterans on city streets
CHICAGO	Energy efficiency	Citizens are not investing in energy-efficient solutions	Energy use per residence in the city
LOUISVILLE	Customer service	Louisville citizens and businesses minimally recycle	Citywide proportion of waste recycled
MEMPHIS	Neighborhood economic development	It is difficult for existing businesses to sustain and grow	Total sales for all retail businesses in a target area
NEW ORLEANS	Public safety	The city's murder rate is too high	Number of murders per year

As the i-team is selecting metrics, it is helpful to document and formalize a data collection plan. This plan specifies how each metric is to be compiled, collected, reported, and transmitted. For each metric, the plan should also specify the frequency of reporting, who is primarily responsible for collecting the data, and who is responsible for ensuring that the report is made.

It is not uncommon for challenge metrics to change over time, because one or more of the metrics first chosen may prove unreliable or better metrics come to light. Successful i-teams always adjust and improve as circumstances change.

FROM AN I-TEAM MEMBER: WHEN IT COMES TO METRICS, KEEP IT SIMPLE

"Keep metrics as simple as possible. Ideally choose something the department is already tracking. You won't make many friends if you create another layer of data collection unless you can really prove that it makes sense to do so beyond the work with the i-team."
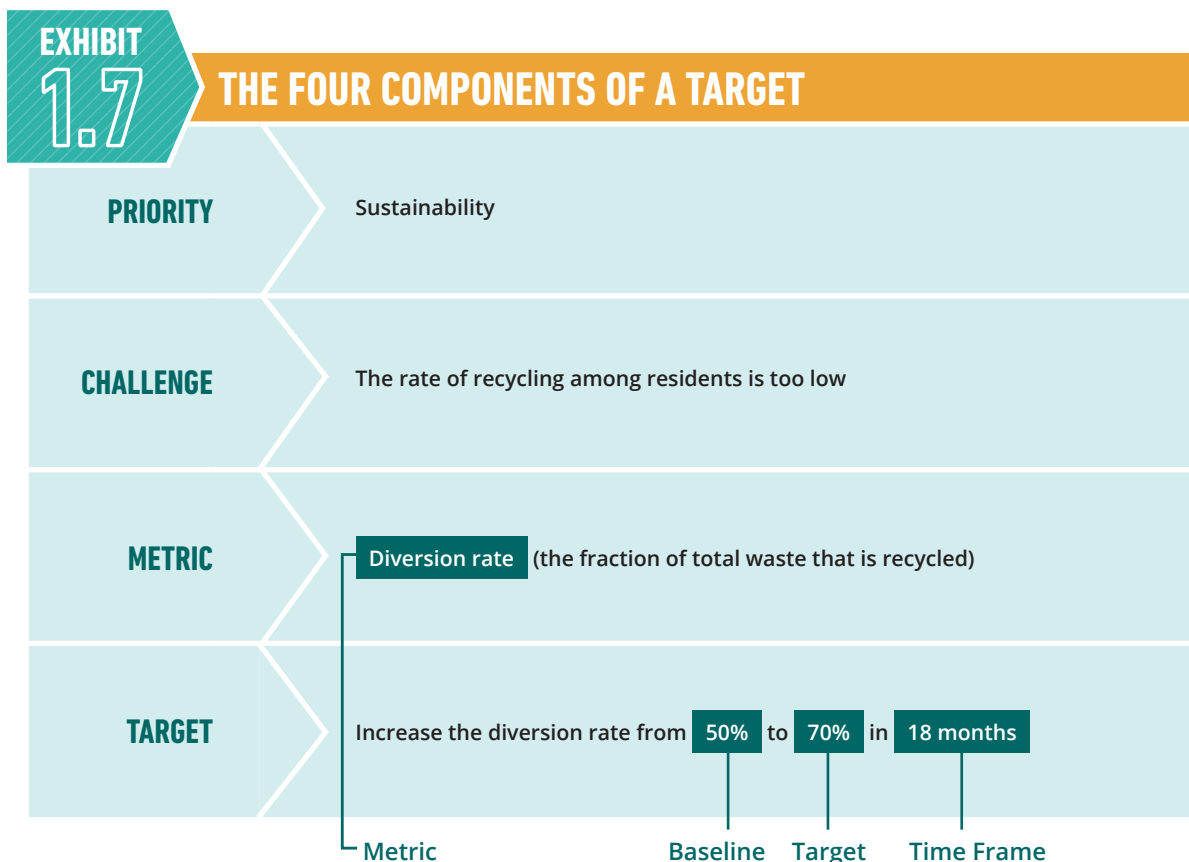
E.2 SET PRELIMINARY CHALLENGE TARGETS

A core element of the Innovation Delivery approach is setting targets and systematically tracking progress toward achievement. At this early stage, an important value of setting challenge targets is to raise a high bar as you move into initiative development in Step 2: Generate New Ideas. Later, these challenge targets will provide regular feedback as to whether efforts are working.

Innovation teams, with their partners, should work to assign targets to each challenge.
Targets require four things:
(1) a metric; (2) a baseline; (3) the target itself; and (4) a time frame. For example:

EXHIBIT 1.7 — THE FOUR COMPONENTS OF A TARGET

PRIORITY: Sustainability

CHALLENGE: The rate of recycling among residents is too low

METRIC: Diversion rate (the fraction of total waste that is recycled)

TARGET: Increase the diversion rate from 50% to 70% in 18 months

Metric — Baseline — Target — Time Frame

Targets should be ambitious yet achievable. In thinking about what is achievable, consider:

■ **What other cities have accomplished.** For example: City X increased its diversion rate by 30% in two years; we have a similar population, so we can too.

■ **Best-guess estimations or "sanity checks."** For example: the city owns 5,000 foreclosed properties. Of these, about 1,000 are salable. A new program to rent others has a realistic goal of 1,000, and 500 can be through various means. Therefore, a target of returning half these properties to productive use is a reasonable one.

■ **Trends.** If, for instance, crime has gotten worse in your city, it may be an accomplishment to simply reverse that trend. Consider regional and national trends. If crime is falling nationally, you might expect your target to reflect that trend.

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Targets at this stage should be considered preliminary. In fact, you may not be ready to set numeric targets now, but it is important at this stage to, at minimum, specify a metric and a direction for change. In all cases, targets should be set collaboratively with departments.

CONCLUSION

Innovation teams have completed the first core step of the approach when they have defined challenges for each priority, carried out a thorough research process to identify the causes and drivers of the challenges, prioritized the contributing issues to address, and set metrics (and possibly targets) for each challenge. The i-team and its partners should have a clear sense of the data that are available to describe the problem; what experts, colleagues in city government, and possibly citizens think about the challenges; and how your city's experience compares to other cities' experiences. Using the results of the analysis conducted in this step as a foundation, Step 2: Generate New Ideas is about focusing completely on generating initiative ideas to address these problems.

**FROM A DIRECTOR:
DO NOT BE AFRAID TO ADJUST TARGETS**

"Stress to the departments that the targets can be adjusted if necessary. The departments need to feel like the targets are lofty but achievable. If they don't think they are achievable you will lose credibility and buy-in. By convincing them that they can be adjusted if it is proven that they were set too high, they will likely be more willing to try to reach them."

GENERATE NEW IDEAS

1 INVESTIGATE THE PROBLEM **2** GENERATE NEW IDEAS **3** PREPARE TO DELIVER **4** DELIVER AND ADAPT

A. LOOK ELSEWHERE FIRST | B. OPEN INNOVATION: ENGAGE MANY | C. OTHER TOOLS TO INCREASE FLOW OF NEW IDEAS | D. ADDITIONAL RESOURCES

With the research phase complete, the i-team and its partners should have a firm understanding of the challenges and contributing issues in each priority area. In this step, the i-team and its partners will think as big and as creatively as possible to generate a full set of initiative ideas with outstanding potential.

The i-team's explorations should begin with what has worked, and what is working, in other cities. In some cases, this review may surface solutions that feel sufficiently robust to address the i-team's identified challenges. But the Innovation Delivery approach encourages users to be restless with their first discoveries. The approach assumes that the i-team has the power and potential to take what is out there even further, to turn existing solutions into the next, better iteration. In some cases, the i-team will not find a solution that has been tested elsewhere, and will need to think fresh and develop bold new ideas.

This chapter includes tested tools and techniques that public and private sector innovators use to generate new ideas. As you'll see, one key feature of successful idea generation is tapping into the knowledge of end users (citizens who will be directly affected or served by the innovations). Another is to offer incentives that bring new and diverse perspectives into the discussion. With Innovation Delivery, the key objective is to create the space for the i-team and its city partners to step away from their daily work so they can rethink, reimagine, and ultimately capitalize on bold new possibilities.

As you work through Step 2, bear in mind that the i-team's ultimate role will not be to carry out the initiatives that result from this process. The responsibility for day-to-day implementation falls to the Initiative Owner, and that of ensuring resources and overall project success falls to the Initiative Sponsor. As you proceed through idea generation, consider the identity of the likely Owner and Sponsor of each idea. A key benefit of an inclusive idea generation process is that partners create, or share in the creation of, the ideas they will be responsible for implementing.

Generating new ideas is an imperative process that requires time and structure. It is important to set high expectations and think as creatively as possible in order to surface the boldest ideas and strategies. A single group brainstorming session or an afternoon of internet research does not suffice. The i-team's job is to take its partners through a process that expands the sources of new ideas and opens up new possibilities. Here is a set of idea generation principles:

- Think big and come up with as many potentially great ideas as possible. Keep the good ones and don't be wedded to the bad ones.

- Great ideas can come from unlikely sources; use open innovation techniques to hear new voices and look at the problem from an alternate view.

- People directly affected by reform can have rich insights as you develop ideas. Rely on end users for input and feedback.

- If there's a great solution, borrow it or adapt it to local circumstances, but reserve time to think about new ways to expand or improve this idea for your city's purposes.

At the end of this chapter, resources for further reading are provided.

A. LOOK ELSEWHERE FIRST

Your research in Step 1 has likely uncovered work done by other cities to address challenges and contributing issues similar to those of your city. What other cities have done is the first place to look when searching for initiative ideas. Key questions to ask include:

- To what extent have others made progress on the issue you are working on?

- How have they done so?

- How might these solutions, or parts of them, be imported to your city?

When adapting an initiative that was successful elsewhere, it is important to understand the core elements of the program that drove success. In other words, what must you *not* change? As you seek to identify and learn about ideas to import, it is critical to speak directly with the actual designers and implementers in other cities. Popular accounts or case studies of successful work often omit key details and oversimplify—as may the implementers themselves. With this in mind, it is always best to speak with a range of people who have worked on the project.

The i-team should attempt to speak with implementers from other cities in conjunction with departmental partners who may become Owners or Sponsors. It is best to prepare a list of questions in advance. While many questions will be program-specific, there are some generic questions that are often helpful to ask:

- What are the elements of a "minimum viable product," the most bare-bones implementation that can be quickly tested and refined?

- If you (the implementer) were to start again today, what would you change?

- What were your biggest obstacles to success and how did you overcome them?

- How did you define success and when did you know you had achieved it? What were the specific metrics you tracked?

- How much time elapsed between initial launch and measurable impact?

- How much did the program cost? Over what time frame?

- What is the essential difference between your program and Program X (a competing approach)?

In certain cases, visits to other cities can be extremely valuable. There is often no substitute for seeing initiatives in action and talking to implementers in person about what has worked best and what has been hard. Existing i-teams derived tremendous value from site visits and were able to integrate lessons into new initiatives back home. Examples of visits conducted by i-teams include:

- The Chicago i-team visited San Francisco's small business center.

- The Memphis i-team observed an operational GunStat meeting in Philadelphia.

- The Atlanta i-team participated in New York City's annual homeless count.

FROM AN I-TEAM MEMBER

"A great way to identify successful programs is to use data to find cities at the top of their field. For instance, we found the five cities with the highest recycling rate and called each one. They were more than happy to talk to us."

A. LOOK ELSEWHERE FIRST | B. OPEN INNOVATION: ENGAGE MANY | C. OTHER TOOLS TO INCREASE FLOW OF NEW IDEAS | D. ADDITIONAL RESOURCES

The i-team's search for existing solutions may yield exciting and promising results, uncovering programs that are well-suited to be adopted and improved in your city. But what if the existing solutions do not provide bold improvements? What if what is out there doesn't go as far as it can? When is it time to look for something totally new? The following sections are designed to support the i-team's efforts to push the boundaries of existing ideas.

B. OPEN INNOVATION: ENGAGE MANY

One of the most effective ways to foster new ideas is to open the process to fresh thinkers, outside of the i-team and outside of city government. The term "open innovation" is used to describe a process of cultivating new ideas from outside and innovating with partners.

Below are open innovation techniques used to address challenges today. Before employing any or all of these techniques, it is wise to ensure that the conclusions reached during Step 1—including the identification of challenges, data trends, contributing issues, and preliminary targets—are known by main stakeholders. With this in mind, the i-team should plan to share research conclusions prior to moving into an open innovation exercise.

B.1 CROWD-SOURCE IDEAS

Crowd-sourcing is a powerful and increasingly popular open innovation strategy, used in both the public and private sectors. Crowd-sourcing is the process of obtaining knowledge or resources from large groups of people. Public competitions and challenges open to all citizens are practical examples of broad crowd-sourcing. Alternatively, tightly-facilitated processes or requests to specific communities constitute a more targeted approach to crowd-sourcing. Today, many crowd-sourcing efforts take place online.

Innovation teams have successfully used crowd-sourcing to generate new ideas. The Louisville i-team, for example, hosted the "Lots of Possibility" competition to harvest citizens' best ideas for new uses of the city's vacant and abandoned properties. The competition drew over 100 applications from citizens and community groups, and offered winners funding to implement their ideas.

The Atlanta i-team facilitated a competition among Cabinet members to collect fresh ideas about how to improve the city's approach to customer service. The i-team's submission template (shown in Exhibit 2.1) was designed to be open-ended and encourage a wide range of ideas. Following the submission deadline, the Atlanta i-team hosted an "Ideas Summit" to review submitted ideas and assess the feasibility and potential impact of the best suggestions.

EXHIBIT
2.1

ATLANTA INNOVATION TEAM COMPETITION TEMPLATE

Improving Customer Service – Cabinet Idea Competition
Idea Template

Fill in the information concerning your idea on this template.

Idea:

Problem that the idea solves:

Impact (financial estimates where feasible; market segment affected where appropriate):

Costs (financial estimates where feasible):

Other Departments involved:

Strategic fit – Mayoral priorities:

Strategic fit – Departmental priorities:

Time to Impact:

Risks:

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A. LOOK ELSEWHERE FIRST | **B. OPEN INNOVATION: ENGAGE MANY** | C. OTHER TOOLS TO INCREASE FLOW OF NEW IDEAS | D. ADDITIONAL RESOURCES

B.2 USER-CENTERED DESIGN

Most ideas will reach a definable set of "end users," a city government's analog to a business's customers. For example, the end users of street repaving are drivers, bicyclists, and pedestrians, and the end users of the city's restaurant licensing service include small business owners. User-centered design—designing services from the point of view of end users—is a method that is becoming more and more prevalent in the public sector. Experience confirms that when services are thoughtfully designed with the input of end users, they are more likely to address, head-on, the needs and issues at stake.

This section describes the first two phases of the user-centered design process: discovery and design. However, it is important to note that end users can be engaged at many points along the idea generation path and can fully participate during the research work described in Step 1 too.

DISCOVERY

The first phase of the user-centered design process is discovery. The discovery phase requires the i-team to look beyond the immediate, superficial understanding of citizens' experiences. Innovation teams will look to develop a more intimate, nuanced understanding of the end users, driven not only by what end users say, but also by how they act and behave. Discovery may be effectively carried out in partnership with an academic partner, or with the support of other sources of professional expertise. Three primary techniques can contribute to successful execution of the discovery process: ethnography, observations, and focus groups.

ETHNOGRAPHY

The user-centered design process borrows from traditional ethnographic research methods. Ethnography focuses on understanding citizens' lives from their own perspectives, and thus requires that i-teams take the time to be a part of people's daily lives. The i-teams recommend "getting out there and talking to people" as a highly valuable, often overlooked first step. Ethnographic research can't happen effectively from behind a desk. Ethnographic research need not be an entirely formal process. To do it, i-teams need to get out of the office and head to the places where the end users are. For example, if you are working on mitigating food deserts (urban areas in which access to fresh produce is scarce), you might visit corner stores in affected neighborhoods and speak with shoppers to understand their decision-making processes or level of satisfaction with their choices. If you are working on improving affordable housing, you might speak to people who currently live in public housing units to better understand their needs and how existing solutions fall short.

The New Orleans i-team drew upon ethnographic design strategies to structure its work on economic opportunity. Specifically, to understand why so many African American men were out of work in New Orleans, the i-team engaged members of the community whom had recently come out of the criminal justice system to go to their neighborhoods and ask them. In the course of three weeks, over 400 men were interviewed. The i-team aggregated and presented the responses at a full-day policy design session, bringing their stories into the center of the planning process.

As with all research and idea generation activities, it is strongly recommended that the i-team include departmental partners. A small team of one Project Manager and one partner is ideal for this type of informal research.

OBSERVATION

When behavioral change is the ultimate goal, structured observation can be a valuable source of insight into the nature of the problem as experienced by end users. For example, when the Chicago i-team sought to understand how well the city supported small business owners, they spent hours as "flies on the wall" at City Hall's Small Business Center. They observed how the line was organized, how fast it moved, and the kinds of issues that appeared to most frustrate Center patrons. They took stock at busy times and at slow times; they asked questions of the staff and the visitors along the way. Following these observations, a handful of ideas—new signage, an express lane—rose to the top as quick, implementable solutions.

FOCUS GROUPS

Focus groups are small group discussions that are centered on a specific topic. Focus groups are excellent vehicles for obtaining early feedback on potential changes to a city service. Pre-developed, "canned" questions structure the focus group discussion and allow for comparison of responses across multiple focus groups. Focus groups are not typically appropriate settings for generating brand new ideas (and an idea generation process consisting of focus groups alone would not be complete), but they can help you test the rationale behind a new initiative, or gather feedback on possible methods of implementation. Successful focus groups often share the following elements:

- Six to twelve participants
- One to two hours in length
- Four to eight scripted questions
- Capability to record the session

DESIGN AND TEST

The second phase of the user-centered design process involves designing and testing the most promising ideas that emerged during the discovery phase. One helpful tool at this stage is rapid prototyping, a tactic borrowed from industrial engineering. The goal of rapid prototyping is to get ideas (or more likely elements of the idea) "off paper" as quickly as possible and into a setting in which they can be tested and refined in collaboration with end users. Prototyping is different from launching a pilot—it is a way to test rough (often mock) concepts in order to refine the full idea. A pilot might helpfully follow when the idea has been prototyped, revised, and refined.

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For example, the Chicago i-team used rapid prototyping to advance its restaurant start-up initiative:
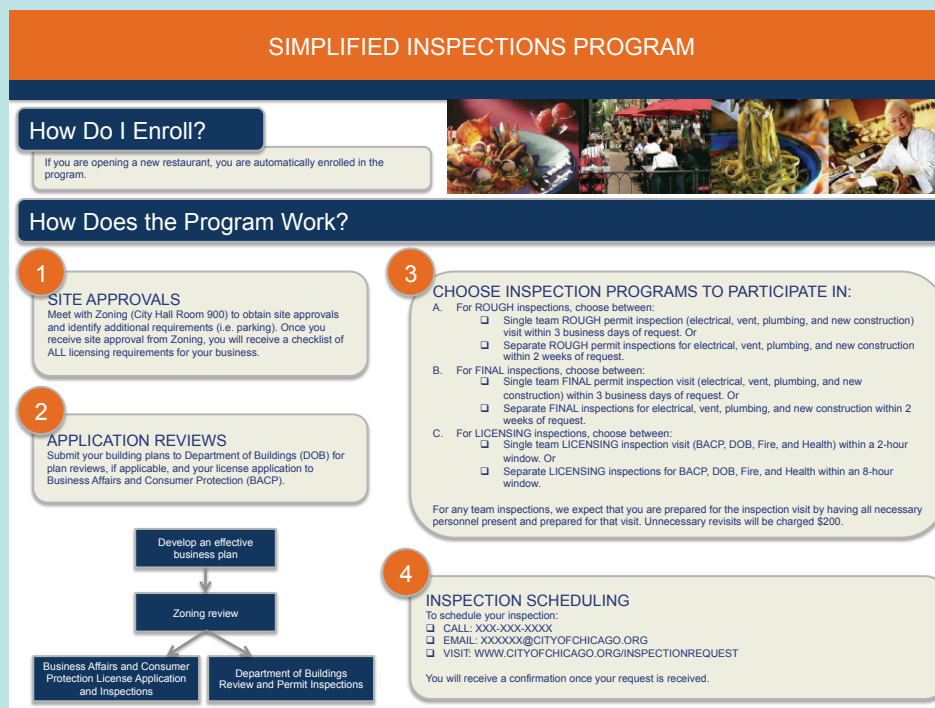
CASE STUDY 2.1

RAPID PROTOTYPING IN CHICAGO

To deeply understand its priority area—helping small businesses start, sustain, and grow—the Chicago i-team conducted an intensive period of research, including stakeholder interviews, focus groups, and a review of best practices in peer cities. Toward the end of this phase, the i-team began to sketch out potential solutions to current licensing, permit, and inspection challenges.

The i-team created "mock-ups" of some of the most promising solutions and organized a series of business roundtables to float early ideas past a target group of stakeholders, including business owners, commercial landlords, and building owners. For example, the i-team drew up a brochure describing the purpose and key attributes of a possible "restaurant start-up" program, printed glossy, colorful copies in advance of the roundtable, and distributed them to roundtable attendees for feedback.

Obtaining feedback early in the process proved useful for the Chicago i-team. Early feedback helped to adjust and strengthen the idea. One member of the Chicago i-team noted: "Prototypes presented during this stage need not be perfect, fully formed, or decked out with fancy trimmings. A baseline level of information, framework, and presentation to represent what the solution *could* look like is all that's needed to obtain initial reactions from constituents and stakeholders."

The following is a picture of one of the restaurant start-up brochure prototypes.

SIMPLIFIED INSPECTIONS PROGRAM

How Do I Enroll?
If you are opening a new restaurant, you are automatically enrolled in the program.

How Does the Program Work?

1 SITE APPROVALS
Meet with Zoning (City Hall Room 900) to obtain site approvals and identify additional requirements (i.e. parking). Once you receive site approval from Zoning, you will receive a checklist of ALL licensing requirements for your business.

2 APPLICATION REVIEWS
Submit your building plans to Department of Buildings (DOB) for plan reviews, if applicable, and your license application to Business Affairs and Consumer Protection (BACP).

Develop an effective business plan
↓
Zoning review
↓
Business Affairs and Consumer Protection License Application and Inspections / Department of Buildings Review and Permit Inspections

3 CHOOSE INSPECTION PROGRAMS TO PARTICIPATE IN:
A. For ROUGH inspections, choose between:
- Single team ROUGH permit inspection (electrical, vent, plumbing, and new construction) visit within 3 business days of request. Or
- Separate ROUGH permit inspections for electrical, vent, plumbing, and new construction within 2 weeks of request.
B. For FINAL inspections, choose between:
- Single team FINAL permit inspection visit (electrical, vent, plumbing, and new construction) within 3 business days of request. Or
- Separate FINAL inspections for electrical, vent, plumbing, and new construction within 2 weeks of request.
C. For LICENSING inspections, choose between:
- Single team LICENSING inspection visit (BACP, DOB, Fire, and Health) within a 2-hour window. Or
- Separate LICENSING inspections for BACP, DOB, Fire, and Health within an 8-hour window.

For any team inspections, we expect that you are prepared for the inspection visit by having all necessary personnel present and prepared for that visit. Unnecessary revisits will be charged $200.

4 INSPECTION SCHEDULING
To schedule your inspection:
- CALL: XXX-XXX-XXXX
- EMAIL: XXXXXX@CITYOFCHICAGO.ORG
- VISIT: WWW.CITYOFCHICAGO.ORG/INSPECTIONREQUEST

You will receive a confirmation once your request is received.

C. OTHER TOOLS TO INCREASE FLOW OF NEW IDEAS

While open innovation methods can produce insights from new voices to generate bold ideas, this section describes additional strategies i-teams can use to increase the flow of new ideas within city government.

C.1 EMPLOYEE-DRIVEN INNOVATION

Just as citizens offer unique insights and inspiration for new ways to tackle existing challenges, city employees also offer unique perspectives on government-driven solutions. Employee-driven innovation posits that organizations should take advantage of the insights and creativity of all employees, not just those in management positions or with a dedicated commitment to innovation. Employee-driven innovation encourages everyone to participate in the innovation process. In the city context, employee-driven innovation can be prompted through ideas competitions for front-line staff, employee innovation funds, or the introduction of an ideas-sharing mechanism that spans across city departments.

C.2 EXPERT ROUNDTABLES

Some i-teams have organized expert gatherings to generate ideas and build consensus. These expert roundtables have included city staff members with relevant expertise and outside experts from academia, industry, and/or other cities. It is often helpful to designate a moderator to focus the discussion.

The Louisville i-team, for example, identified knowledgeable managers from a range of city governments and invited them to Louisville to offer advice about a promising recycling strategy.

CASE STUDY 2.2

LOUISVILLE RECYCLING ROUNDTABLE

The Recycling Roundtable was a daylong session that brought in players from all across the waste management world: government representatives from other cities, solid-waste and recycling consultants, representatives from the local recycling industry, and various stakeholders from Louisville Metro government.

A great amount of planning went into the Roundtable. The i-team conducted research to determine which cities had the highest recycling rates and which places had implemented the most innovative strategies. They then worked with local government colleagues to identify industry thought leaders. The i-team carefully planned the agenda for the session and recruited a moderator to help make productive use of the time.

While it was extremely valuable to include national leaders in the development of Louisville's recycling plan, it was equally important to have the right insiders at the table.

The Recycling Roundtable was a great opportunity for future Sponsors, Owners, and other department staff to network and share ideas with their peers in Seattle, Portland, and San Francisco—something typically reserved for national conferences. Critically, the Roundtable helped strengthen the working relationships between department leaders and the i-team. The i-team was able to bring new resources and attention to an issue the department staff cared deeply about. Following the Roundtable, i-team members and their agency partners were charged up and ready to work together toward shared goals.

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C.3 SHADOWING AND SECONDING STAFF

To envision and produce solutions that are truly effective, it is often helpful to develop a practical understanding of existing operations. In the spirit of leaving the desk behind, and proactively expanding collective perspectives, i-teams and their partners may find value in seconding city staff members, shadowing their work, and learning their routines—e.g., ride along with an EMS crew to understand emergency response; spend a day clerking at the intake desk at the DMV to understand the steps it takes to issue a vehicle registration, etc. Likewise, if an i-team is working on a project with the city's public works department, a staff member may want to sit one or two days each week with the public works team.

C.4 ENGAGING NON-TRADITIONAL PARTNERS AND ENTREPRENEURS

When facilitating an idea generation process, it may be helpful to include individuals from other sectors who can provide a new lens through which to evaluate the problem and create solutions—an architect, a comedian, an artist, an engineer. Bringing in the point of view of someone outside of government may change the course of the discussion in unexpected and productive ways. This can be particularly helpful with technology projects, where technology entrepreneurs can bring a refreshing perspective.

C.5 GROUP BRAINSTORMING

Group brainstorming—structured, creative problem-solving that draws on the diverse professional and personal experiences of a group—is a powerful way to generate new ideas. There is a vast array of potential approaches to group brainstorming. Based on the experience of practitioners and the pioneer i-teams, successful group brainstorming sessions often share the following elements:

1. **Clarity at the outset about objectives and ground rules.** Participants should be clear on why they are there, and what they are being asked to do. Ground rules should be established, including a philosophy of "no constraints" on potential ideas (for instance, "that would never work because it is too expensive").

2. **Warm-ups or "thinking differently" exercises.** The first exercises of the sessions are not designed to generate real ideas, but simply to "get the creative juices flowing." A typical example is asking the group for ideas about how to make the problem worse rather than better.

3. **Well-structured group work with good prompts.** Ideas are often generated most effectively in small groups through a series of exercises. There are many ways to encourage participation, often involving common objects such as whiteboards, easels, and Post-its. As a rule, effective group exercises are thoughtfully framed by a facilitator, time-limited, and involve every group member. Many i-teams have found it helpful to organize idea-generating exercises around the contributing issues that have been identified, and repeating the same exercise for each major contributing issue.

**FROM AN I-TEAM MEMBER:
KNOW WHEN TO STOP GENERATING IDEAS**

"Beware: generating ideas is fun and very useful, but it's easy to employ too many techniques and not actually move on anything. It's not necessary to identify every possible idea out there—at some point, you have to say you've identified a sufficient set of solutions to move on to the next step. You can always build on solutions once you start implementing."

4. **A collaborative winnowing down of ideas.** Starting in small groups and progressing to the larger group, selection of a short list of the most promising ideas should proceed collaboratively. There are several creative and fun ways to set up a selection-by-collective-voting process, including allowing each person to "star" his or her favorite ideas or deposit a token in a "piggy bank" for each idea; having each group rate a different group's ideas; and setting up physical stations for ideas and allowing participants to vote by movement.

5. **Group development of the short-listed ideas.** The short-listed ideas are then discussed, critiqued, altered, torn down, and built back up by group discussion. Having concise summaries of the research findings from Step 1 on hand during this phase may be helpful.

6. **Ending with next steps defined.** The purpose of a group idea generation session is to expand the pool of ideas and draw partners into the process, and it is possible that none of the ideas generated during a given session will ultimately lead to initiatives. But participants should always leave the session with a clear idea of what will happen next in the larger process.

D. ADDITIONAL RESOURCES

For more specific techniques to drive the generation of new ideas, we invite you to explore the resources below from leaders in the field of public-sector innovation. Some of these organizations offer consulting services, and can be engaged to provide on-the-ground assistance in areas such as facilitation, end-user engagement, discovery, and/or design.

- Nesta is a not-for-profit whose mission is to promote innovation across a variety of sectors in the U.K. The following link is to Nesta's module for generating ideas. The module outlines techniques for creative and innovative thinking and discusses methods of bringing people together to foster idea generation. **http://www.nesta.org.uk/develop-your-skills/generating-ideas**

- Nesta also has excellent resources available to help guide the rapid prototyping process. Below is a link to Nesta's framework for prototyping new ideas, which includes a checklist to ensure you are prepared to begin the process. **http://www.nesta.org.uk/publications/prototyping-framework**

- The Public Policy Lab is a New York-based not-for-profit dedicated to the more effective delivery of public services. Public Policy Lab works exclusively with public agencies, focusing its work on the intersection between policymaking and user-centered design to develop services that are engaging and easy to use for citizens, and more effective and cost-efficient for government. To learn more about Public Policy Lab's methods and previous work, explore the Policy x Design Blog on their website. **http://publicpolicylab.org/pxd-blog/**

- OpenIDEO is an open innovation platform for social good facilitated by IDEO, an international innovation consultancy and design firm founded in Palo Alto, California. The link below directs to an OpenIDEO's introductory video on "gamestorming," a set of best practices for innovative brainstorming techniques. **https://openideo.com/challenge/creative-confidence/inspiration/stop-brainstorming..start-gamestorming/**

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- McKinsey & Company is a leading management consulting firm that specializes in solving high-level organizational management issues. "Seven Steps to Better Brainstorming" is an article from their McKinsey Quarterly publication, and acts as a guide for organizing efficient and effective brainstorming sessions.
  http://www.mckinsey.com/insights/strategy/seven_steps_to_better_brainstorming

- This handout from the University of Minnesota about brainstorming includes ideas for "provocations" and "what-if" exercises. **http://www.me.umn.edu/courses/me2011/handouts/brainstorm.pdf**

CONCLUSION

At the end of Step 2, an i-team should have a list of promising initiative ideas. These ideas may have come from a variety of sources including data analysis, other cities, experts, crowd-sourcing, group brainstorming sessions, idea competitions, and end-user engagement. Every idea, or course, should be grounded in the contributing issues developed in Step 1.

Before proceeding to Step 3: Prepare to Deliver, the i-team should ensure that each potential idea is described as clearly as possible. Also consider the entire set of potential initiatives. Are most ideas centered on one contributing issue? Unless one contributing issue is clearly the major cause of a challenge, it is not wise to place too many eggs in one proverbial basket. The final list of potential initiatives should ideally include a diverse range of potential Sponsors, mechanisms of action, contributing issues addressed, and times to impact.

Innovation teams should expect to eventually return to Step 2, whether because new ideas are needed to facilitate course corrections or because the i-team is assigned an entirely new priority.

Next, in Step 3: Prepare to Deliver, the i-team and its partners will select a portfolio of initiatives after each potential initiative is subjected to careful scrutiny and development.

PREPARE TO DELIVER

A. SELECT INITIATIVES

B. SET PRELIMINARY INITIATIVE TARGETS

C. GET AGREEMENT ON THE CORE COMPONENTS OF INITIATIVES

D. DEVELOP INITIATIVE WORK PLANS

E. FINALIZE ALL TARGETS

F. DEVELOP A COMMUNICATIONS STRATEGY

A. SELECT INITIATIVES | B. SET PRELIMINARY INITIATIVE TARGETS | C. GET AGREEMENT ON THE CORE COMPONENTS OF INITIATIVES
D. DEVELOP INITIATIVE WORK PLANS | E. FINALIZE ALL TARGETS | F. DEVELOP A COMMUNICATIONS STRATEGY

Step 3 focuses on turning the innovative solutions that were generated in Step 2 into concrete initiatives that are ready for delivery.

This process is iterative, with multiple drafts and revisions, and is conducted in close coordination with partners. Part of the process is selection: not all initiative ideas generated in Step 2 will become initiatives.

As you move forward through this step, the roles of the i-team's partners in city departments (or elsewhere) who have traveled with you on the path through research and idea generation will be formalized. The Initiative Owner is responsible for managing the day-to-day implementation of the initiative, while the Initiative Sponsor, more highly placed, is ultimately responsible for its success. These and other key terms are defined below.

EXHIBIT 3.1 — KEY CONCEPTS FOR STEP 3

CONCEPT	DEFINITION
INITIATIVE OWNER	The department staff member responsible for day-to-day implementation. He or she will work closely with a Project Manager from the i-team to achieve the desired impact. The i-team should identify an Owner for each initiative as early as possible. Ideally, Owners-to-be will have been closely involved throughout Steps 1 and 2.
INITIATIVE SPONSOR	A city leader (e.g., a commissioner or deputy mayor) who can strongly support initiatives, coordinate changes in his or her department and across departments, and provide resources and support to address implementation challenges. Sponsors are accountable for the success of the initiative (i.e., finding the right people, the right resources, the right support). Each initiative should have one Initiative Sponsor from a city department, even when multiple departments are involved in an initiative.
LOGIC MODEL	A tool to aid in the development of an initiative and ensure that the actual activities will lead to concrete, measurable outcomes linked to your challenges.
INITIATIVE TARGET	A specific, measurable goal that the i-team and its department partners will try to achieve for an initiative within a certain time frame.
CHARTER	A concise, thoughtfully laid out document that records an initiative's aims, activities, the key people responsible, and measures of success. Charters are living documents intended to be referenced (and changed, when necessary) throughout an initiative's life.

A. SELECT INITIATIVES

After completing Step 2, you should have a list of potential initiatives—likely greater than the number that can reasonably be implemented. This section outlines a series of steps to whittle down the list to a smaller set positioned to deliver real impact.

A.1 DEVELOP LOGIC MODELS

To determine which initiatives are best positioned to achieve their intended impact, i-teams have found it helpful to construct logic models for each potential initiative. For example, in Louisville, the i-team wanted to test its thinking about how an initiative focused on distributing larger recycling carts fit into the city's overall efforts to increase the volume of residential recycling. Below is a depiction of the logic model created by the Louisville i-team in collaboration with the Initiative Owner.

TOOLKIT
Logic Model template

EXHIBIT 3.2

LOGIC MODEL EXAMPLE

INITIATIVE	Resident Recycling Carts
OBJECTIVE	Increase resident recycling tonnage
CHALLENGE	Too few households, businesses, and individuals reduce, reuse, and recycle
MAJOR CONTRIBUTING ISSUE	Current bins are not user-friendly

RESOURCES REQUIRED	ACTIVITIES	OUTPUT MEASURE(S)	OUTCOME MEASURE(S)	IMPACT ON CHALLENGE TARGET
Subsidizing the cost of carts; funding the collection of data on collection and cart purchases.	Move from 18-gallon bins to 95-gallon carts; pilot in an eco-friendly district and in a district with low participation rates.	Number of recycling carts purchased by citizens.	In test districts, recycling tonnage collected per week.	Residential recycling is a significant portion of all recycling; if tonnage collected increases by a substantial amount, a citywide rollout would have a notable impact.

A logic model is a tool that lays out the reasoning that underlies and justifies a specific initiative, explicitly connecting the initiative to its desired impact on the challenge target. If i-teams find it difficult or impossible to make this connection when creating a logic model, it is a strong signal that the initiative is not suitable for selection.

A. SELECT INITIATIVES | B. SET PRELIMINARY INITIATIVE TARGETS | C. GET AGREEMENT ON THE CORE COMPONENTS OF INITIATIVES
D. DEVELOP INITIATIVE WORK PLANS | E. FINALIZE ALL TARGETS | F. DEVELOP A COMMUNICATIONS STRATEGY

There are four key components to a logic model:

- **Resources:** What staff, funds, or resources are required for implementation?

- **Activities:** Fundamentally, what tasks will be carried out?

- **Outputs:** Evidence that activities have been carried out as planned and the initiative is functioning.

- **Outcomes:** Evidence that initiative activities have caused a desired change.

In constructing a logic model, it is important to distinguish between outputs and outcomes. While measurement of outputs answers the question "are we doing what we planned to do?", measurement of outcomes answers the question "are the changes we've implemented having the desired effect?" (Looking beyond outcomes, challenge metrics serve as larger impacts, as shown above.)

The creation of a logic model is an exercise that should position you to answer key questions about each potential initiative, including:

- Is it clear what activities constitute the initiative?

- Is there a logical connection between initiative activities and the desired outputs and outcomes?

- Are the desired outputs and outcomes measurable?

- If the desired outcomes are achieved, will this initiative make a meaningful contribution to achieving the overarching challenge target?

For each potential initiative, i-teams should work with the likely Owner to develop the logic model. Once a logic model is drafted, it may also be helpful to walk through the model with the potential Sponsor.

A.2 PRIORITIZE AND SELECT INITIATIVES

With logic models in hand, the next step is to prioritize and select from the list of potential initiatives. Innovation teams have found it helpful to prioritize along two dimensions: degree of potential impact and feasibility of implementation. While the i-team can lead this prioritization exercise, it is important that agency partners, particularly those who will be integral to implementation, are front and center.

Consideration of impact is intuitive and straightforward: how big is the effect we expect from this initiative? To assess an initiative's feasibility, consider whether there is a real and practical pathway for getting the initiative off the ground. The resources and activities boxes of your logic model are great starting points for feasibility analysis. Important questions include:

- Financial feasibility: Does the initiative require new investment? Does it fit the budget? If not, are there other ways to fund the project?

- Operational and legal feasibility: Is this something the city will actually be able to do? The i-team will often have to push against the status quo, researching barriers before accepting that they cannot be overcome.

- Political and social feasibility: Are there political considerations that would prevent the initiative from being viable? Would the initiative be acceptable to the public?

- Is there a "home" for this initiative? Are there people who would supervise and/or carry out the work, and are they and their supervisors willing to commit their time and effort?

It is important to note that "not feasible" can also be code for "not how we do things" or "too much effort." The i-team needs to be able to push partners beyond their comfort zones and differentiate between real implementation barriers and mere perceptions, reluctance, or bureaucratic resistance.

Innovation teams and their partners may find it helpful to develop criteria for scoring impact and feasibility. For instance, in Exhibit 3.3, we show impact and feasibility criteria that the Louisville i-team used to evaluate potential recycling initiatives.

EXHIBIT 3.3

SAMPLE IMPACT AND FEASIBILITY CRITERIA

LOUISVILLLE INNOVATION TEAM: POTENTIAL RECYCLING INITIATIVE CRITERIA

IMPACT	
■ Increase diversion rate	■ Increase employee safety
■ Visibility / raise awareness	■ Reduce costs
■ A greener image for the city	

FEASIBILITY	
■ Departmental support	■ Funding
■ Political support	■ Staffing requirements
■ Time needed to implement	■ Requires changes to regulations
■ Measurable impact	■ Convenient for end users

To systematize the process of prioritization, you may find it helpful to score each initiative along the two dimensions of impact and feasibility, and then visualize the results by plotting the initiatives and scores onto a grid, as shown in Exhibit 3.4. The highest-impact and most feasible initiatives will congregate around the upper right-hand corner.

1 INVESTIGATE THE PROBLEM / **2** GENERATE NEW IDEAS / **3** PREPARE TO DELIVER / **4** DELIVER AND ADAPT

A. SELECT INITIATIVES | B. SET PRELIMINARY INITIATIVE TARGETS | C. GET AGREEMENT ON THE CORE COMPONENTS OF INITIATIVES
D. DEVELOP INITIATIVE WORK PLANS | E. FINALIZE ALL TARGETS | F. DEVELOP A COMMUNICATIONS STRATEGY

TOOLKIT
Sample Excel sheet

EXHIBIT 3.4

SAMPLE INITIATIVE PRIORITIZATION

This matrix is a sample prioritization of potential initiatives to promote a healthy lifestyle.

The i-team and its partners may not wish to choose only high-impact, high-feasibility initiatives. In some cases, there may be an argument to take on a few initiatives that may be difficult to implement but high impact (high risk, high reward), or lower impact but relatively easy to implement ("low-hanging fruit").

In the latter category, swiftly implementable initiatives—"quick wins"—may have disproportionate value because it takes less time to achieve impact. For example, the New Orleans i-team, tasked with improving customer service, noticed that "walk-in" zoning requests—citizens traveling to city hall to inquire about the zoning status of a parcel of land—consumed a substantial amount of citizen and city staff time. Building on this insight, the i-team helped organize an effort to digitize the existing zoning maps and create an online tool that allows citizens to view the official zoning layer without visiting city hall. Though modest in impact, this initiative was completed quickly, with visible, tangible results, signaling internally and externally that the i-team's work leads to success.

A.3 CONFIRM THE INITIATIVE OWNER AND SPONSOR

The Owner and Sponsor should have emerged during the initiative's conception and development. At the point of initiative selection, i-teams have found it important to receive a firm commitment from the presumed Owner and Sponsor. Innovation teams should question the feasibility of a particular initiative if they do not secure a firm commitment. Experience has demonstrated that moving ahead without a clear Sponsor and Owner who can "find a home" for the initiative once it is up and running is risky, compromising the Innovation Delivery approach as well as the initiative's ultimate success. In some cases, it may be helpful to involve the mayor to confirm expectations around a potential Owner or Sponsor's charge with respect to an initiative.

B. SET PRELIMINARY INITIATIVE TARGETS

Measuring an initiative's progress toward expected outcomes is at the heart of an i-team's work. It is important to identify at least one target for each new initiative. A target is based on metrics and is time limited, meaning that there is an explicit expectation regarding when the target is to be achieved. For example, one of the Atlanta i-team's initiative targets was housing 400 homeless veterans over 18 months. The i-team measured progress by tracking the metric "number of homeless veterans placed in permanent housing" every month.

B.1 DETERMINE THE BEST METRICS TO TRACK

Successful delivery requires good data. Many i-teams reported that a notable contribution to their cities was establishing routines to collect and analyze data and measure progress.

A good metric has five qualities: it is simple, measurable, actionable, relevant, and timely—summed up as SMART.

- **Simple:** City workers and citizens will quickly understand simple, straightforward metrics. This will increase their engagement and improve delivery. Generally, the simpler the outcome metric (e.g., gun-related homicides per capita), the better.

- **Measurable:** It must be practical to obtain the data you wish to measure. Innovation teams are often tempted to find the "perfect" measure of impact, but a perfect measure can be difficult or costly to gather. Metrics already used by the city are usually faster and cheaper and have a trend history, but they may measure only part of an initiative's impact or include complicating factors. Successful i-teams balance these considerations and avoid letting the perfect be the enemy of the good.

- **Actionable:** A metric should measure something the initiative can affect. When an actionable metric does not change as expected, corrective action (for example, adjusting the implementation strategy) can be taken.

- **Relevant:** A metric should be narrow enough to discern whether the initiative or some other factor triggered changes. For example, life expectancy may be too broad a metric for a nutrition-focused initiative. In some cases, metrics will need to be localized to a particular place (e.g., accidents in a particular neighborhood). The metric should also have clear links both downstream to initiative activities and upstream to the challenge target.

- **Timely:** Metrics should show change reasonably quickly, allowing the i-team to determine if an initiative is working. Some promising data sources may contain rich and relevant information, but be compiled too infrequently to demonstrate change (or lack thereof) in time to implement course corrections.

A. SELECT INITIATIVES | **B. SET PRELIMINARY INITIATIVE TARGETS** | C. GET AGREEMENT ON THE CORE COMPONENTS OF INITIATIVES
D. DEVELOP INITIATIVE WORK PLANS | E. FINALIZE ALL TARGETS | F. DEVELOP A COMMUNICATIONS STRATEGY

SMART metrics should measure outcomes, not outputs. Please refer back to completed logic models (see pg. 46) to further understand the distinction.

An example of a SMART metric used by the Louisville i-team is outlined in the table below.

EXHIBIT 3.5

A "SMART" METRIC

METRIC	NUMBER OF PROPERTY TITLES FROM VACANT OR ABANDONED PROPERTIES TRANSFERRED TO CITY OWNERSHIP
SIMPLE	The concept of the city taking title of a "vacant and abandoned property" is well understood by city employees and everyday citizens alike.
MEASURABLE	The number of titles that are transferred to city ownership are tracked monthly by the city.
ACTIONABLE	If the number of title transfers remains steady or decreases, despite the introduction of initiatives designed to increase the number of transfers, the i-team would have cause to revisit the initiatives' implementation methods or explore new ways to address the problem.
RELEVANT	This metric sheds direct light on whether initiatives are collectively leading to the intended impact.
TIMELY	An increase in the number of title transfers should be detectable as soon as process improvements are implemented.

B.2 AGREE ON AN AMBITIOUS BUT ACHIEVABLE TARGET

Once an i-team chooses the right metric, it can establish a baseline, set targets, and map a path to achieve targets. A good initiative target must be ambitious, helping to make meaningful progress toward the overall challenge target, which may require pushing city partners beyond their comfort zones. It must also be achievable, so that internal and external stakeholders see it as credible.

It is important to establish a baseline against which to measure progress. It is also important to determine how the metric would be expected to change in the absence of the initiative. This process involves asking questions including: How has the metric changed recently, and why? Besides the new initiative, which factors are likely to affect the metric? Over what period (days, months, quarters, etc.) does it make sense to measure progress?

Setting a target is an art and a science. Mayors routinely set aspirational initiative targets; the i-team's responsibility is to test those targets to ensure they are optimistic but achievable given the resources available. To test a target's suitability, the i-team might compare it to analogous efforts within the city or other cities.

B.3 CONFIRM THE TARGETS YOU HAVE SELECTED

With targets established for all potential initiatives, it is time to check the credibility of the plan as a whole: can the initiatives, assessed together, achieve the challenge target? (Or, if a firm challenge target has not yet been established, can the initiatives make a notable impact on the challenge metrics?) In some cases, this will be a simple matter of addition: if, for instance, your overall challenge target was reducing carbon emissions, you could add up the projected reductions from each initiative. In most cases, it is not this simple, and the assessment of the future impact of a set of initiatives is an educated (hopefully, quite highly educated) guess. Some questions to consider include:

- Which initiatives, if any, must succeed in order to achieve the challenge target? What is your judgment of the risk of failure of these initiatives?

- What key assumptions have you made that must prove to be true in order to achieve the target? What is the likelihood that these assumptions are false?

Another helpful exercise is to work through a logic model at the challenge level, replacing the "activities" box with an "initiatives" box, listing all the initiative targets as outcome measures, and judging whether their combined impact on the challenge target will be sufficient.

Innovation teams should not carry out this assessment alone. Successful i-teams have worked with Sponsors, stakeholders, and experts to solicit feedback and "kick the tires."

If the combined effect is judged to fall short of the overall target, there are two options: reduce the challenge target or change the list of initiatives (their number, resources provided, etc.).

In some situations, there may be good reason to believe that the combined effect of several initiatives will be greater than the sum of their parts. This does not eliminate the need to establish an informed hypothesis around each initiative's expected impact.

B.4 SET TRAJECTORIES

Sometimes an initiative will require a protracted ramp-up period; impact is rarely instantaneous. It can be challenging for i-teams to keep stakeholders committed and engaged when the payoff is months away. To mitigate this challenge, high-performing i-teams manage expectations of when to expect progress. In this regard, i-teams have found it valuable to outline a "trajectory," an estimated path toward achievement of targets, before implementation begins (see Exhibit 3.6). An expected path can also help the i-team to spot opportunities for course correction or retreat, allowing the mayor to hold Sponsors accountable if impact does not meet expectations.

A. SELECT INITIATIVES | **B. SET PRELIMINARY INITIATIVE TARGETS** | C. GET AGREEMENT ON THE CORE COMPONENTS OF INITIATIVES
D. DEVELOP INITIATIVE WORK PLANS | E. FINALIZE ALL TARGETS | F. DEVELOP A COMMUNICATIONS STRATEGY

EXHIBIT 3.6

AN ILLUSTRATION OF A CHALLENGE TRAJECTORY
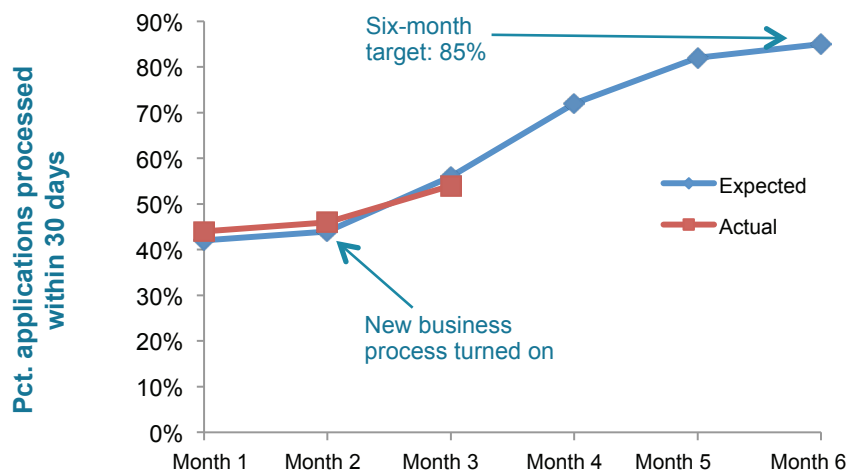
An example trajectory showing an incremental path to the final target.
An initiative plan should detail the expected trajectory of impact.

Several factors tend to drive a metric's trajectory:

- **Time lag of the change:** Sometimes, there is a delay between the intervention and expected impact. This affects the projected trajectory.

- **Responsiveness to change:** Some policy areas can be more intractable than others, with change happening more slowly. Other cities' experiences can help to predict the pace of change.

- **Tipping point:** Some initiatives, particularly those relying on social or behavioral changes, may need to reach a critical mass before they have a large-scale impact.

- **Diminishing returns:** Improvements are often easier to achieve (and measure) when starting from a low baseline. It may be easier, for instance, to achieve a 10% increase if the current rate is 50% rather than 80%.

C. GET AGREEMENT ON THE CORE COMPONENTS OF INITIATIVES

In city government, each new day brings new fires to extinguish and crises to manage; distraction is the status quo. In this environment, difficult reform efforts that take time to implement and generate impact can lose people's attention and become victims of "mission drift."

Innovation teams have found that documenting the purpose, goals, targets, and key tasks associated with initiatives from the outset can be a powerful tool for maintaining collective discipline and focus over time. This agreement—often called the initiative "charter"—unites the i-team and its partners around a common mission. They often return to the charter frequently to check progress, test assumptions, and identify fundamental changes. The charter functions as a living document that is updated during delivery.

C.1 KEY INITIATIVE COMPONENTS TO AGREE ON

Innovation teams should work with partners to, at a minimum, clearly describe objectives, confirm responsibilities, identify necessary resources, and establish a time frame. Six questions every charter should address are:

1. **What are the initiative's objectives?** Objectives are broad goals, which can be anything from impact on a challenge (e.g., improving the permit approval process) to changing how government works (e.g., merging several services to create efficiencies).

2. **Who is the Initiative Owner?** The Owner is responsible for day-to-day implementation.

3. **Who is the Initiative Sponsor?** The Sponsor is accountable for the success of the initiative.

4. **What budget and/or resources are required?** This refers to the funding and personnel required to support the initiative. Resource projections should reflect the city's overall budget process and constraints, as well as the possibility of philanthropic resources.

5. **When is the expected launch?** This refers to the time an initiative is expected to be implemented.

6. **What are the initiative targets?** This refers to the measurable improvements the initiative is expected to achieve, and when.

A. SELECT INITIATIVES | B. SET PRELIMINARY INITIATIVE TARGETS | **C. GET AGREEMENT ON THE CORE COMPONENTS OF INITIATIVES**
D. DEVELOP INITIATIVE WORK PLANS | E. FINALIZE ALL TARGETS | F. DEVELOP A COMMUNICATIONS STRATEGY

Exhibit 3.7, below, presents a charter developed by the New Orleans i-team in collaboration with its agency partners.

TOOLKIT
Sample Initiative Charter

EXHIBIT 3.7 **AN EXAMPLE OF A COMPLETED INITIATIVE CHARTER**

NEW ORLEANS CHARTER

OBJECTIVES	■ To reduce the number of shootings and killings in the target area through street-level outreach and intervention		
INITIATIVE OWNER	■ Program Director	INITIATIVE SPONSOR	■ Criminal Justice Commissioner
CORE PEOPLE INVOLVED	■ Agency employees	OTHER SUPPORT REQUIRED	■ Deputy Mayor
OUTPUTS	■ Implementation plan ■ Communications/launch strategy ■ Staffing/training, operational procedures	BUDGET / RESOURCES REQUIRED	■ $750K
TARGETS	■ Identify/engage 45-60 highest-risk individuals, connect 50% of those identified with community-based services, mediate/intervene in 75% of identified shooting-related conflicts		
IMPLEMENTATION TIMELINE AND KEY ACTIVITIES	■ Hire / train staff (March 2012) ■ Execute site lease w/ Israelite (March 2012) ■ Develop hospital response (April 2012) ■ Develop communications and launch plan (March 2012)		
IN SCOPE	■ Creating team of case workers ■ Executing public anti-violence outreach ■ Ensuring support for those at risk	OUT OF SCOPE	■ Advocating for at-risk individuals ■ Developing partnerships to improve service to those at risk
INTERDEPENDENCIES	■ Processes in the mayor's office, NOPD, and other agency partners		
RISKS	■ Socialization with public and NOPD of purpose/function ■ Administrative delays normal to launch of new initiative		

An initiative charter provides an overview of an initiative. The above example is from the New Orleans i-team.

C.2 DEVELOPING A CHARTER

Drafting a charter is often the first task assigned to an Initiative Owner, who develops and tests early drafts with support from the i-team. Alternatively, the i-team can take the lead, working with Owners to draft a charter.

The first draft of the charter should be circulated among stakeholders, including department leaders, city experts, budget offices, and department partners. The aim is to build broad buy-in from these stakeholders—which often requires changing the charter based on their input. Testing and revising the charter will bring clarity to its interrelated parts. For example, the resources dedicated to an initiative will almost certainly affect the timeline, number of staff involved, and expected impact. The revision process nearly always yields a more detailed, thoughtful, and realistic plan.

D. DEVELOP INITIATIVE WORK PLANS

After agreeing on the core components of an initiative, the next step is developing a structured implementation plan, which provides greater detail. Although Initiative Owners typically develop the plan, the i-team should help to structure it by introducing tools, problem solving, and testing drafts to ensure that the final plans are comprehensive, accurate, realistic, and ambitious.

D.1 IDENTIFY THE INITIATIVE'S KEY WORKSTREAMS

The first step is to compartmentalize an initiative into discrete workstreams—the categories of tasks that must to be done to implement the initiative. One way to identify workstreams is to describe what success looks like and then figure out all of the discrete tasks required to achieve success. For example, to build a house you need to hire workers, acquire materials, create a blueprint, apply for and receive permits, purchase land, and undertake the actual construction. Each of these tasks is a workstream.

Each workstream should have a point person; he or she is generally a department staff member with relevant experience. Depending on the size of an initiative and scale of a workstream, a point person might work on it full-time, or it could become part of his or her broader responsibilities.

Each workstream should have at least one clear output and a clear timeline (including the projected date of completion). Some workstreams can start only once others are completed (e.g., workers cannot start building until they have materials), while other streams may be interrelated (e.g., a permit may require changes to the house's blueprint). A good implementation plan takes these relationships into account in the overall timeline.

TOOLKIT
Sample Workstream Plan

EXHIBIT 3.8

SAMPLE WORKSTREAM PLAN

NEIGHBORHOOD RETAIL STRATEGY: WORKSTREAMS
Sponsor: Special Assistant to the Mayor's Office
Owner: Community Partner
Project Manager: NEV Project Manager

Timing of initiative workstreams

Workstream	June-July 2012	Aug-Sep 2012	Oct-Nov 2012	Dec 2012-Jan 2013	Feb-Mar 2013
Consultant Negotiation	████				
South Memphis Neighborhood Retail Strategy		██████████			
Supermaket Study and Implementation		████████			
Core City Retail Incentive Package			██████████		
Neighborhood Retail Strategy Replication					████

Details of initiative workstreams

Workstream	Point Person	Activities
Consultant Negotiation	JW/AR	Negotiate scope of work; coordinate logistics for educational component; secure funding
South Memphis Neighborhood Retail Strategy	SP	Retail market analysis; market valuation for product type; retail planning and analysis; existing business community enhancement

This tool maps out when workstreams will start, and when they will be completed.
Workstreams start at different times based on resources and interdependencies.

A. SELECT INITIATIVES | B. SET PRELIMINARY INITIATIVE TARGETS | C. GET AGREEMENT ON THE CORE COMPONENTS OF INITIATIVES
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D.2 DEVELOP A DETAILED IMPLEMENTATION PLAN

Most workstreams include multiple actions, so a complete implementation plan will include further detail. To continue the earlier example, the final step of constructing the building might include specific actions such as laying the foundation, putting up the frame, installing plumbing, and so on. Actions are often interrelated (e.g., lay the foundation before putting up the frame) and should have their own time frames and outputs. Bigger and more complex initiatives will benefit from more detail in planning, such as laying out subtasks with tasks, mapping dependencies across tasks (e.g., Task B cannot begin until Task A is completed), and a method of tracking the status of each task. To accomplish this, some i-teams use dedicated project-management software such as Microsoft Project (there are also low- or no-cost alternatives), while others rely on detailed spreadsheets or documents.

TOOLKIT
A template for constructing detailed work plans can be found in the Toolkit.

D.3 MAP INITIATIVES ONTO A SINGLE CALENDAR

When multiple initiatives are being delivered concurrently, it can be useful to put all initiatives for one challenge onto one master calendar. This will help highlight interdependencies between initiatives that individual initiative plans may not have considered, indicate when the i-team and department partners may be busiest, and suggest when the mayor may need to be particularly involved.

EXHIBIT 3.9

SAMPLE CHALLENGE CALENDAR

RESIDENTIAL ENERGY EFFICIENCY CHALLENGE CALENDAR

	2012							2013			
	May	June	July	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr

Initiative 1: Multifamily Behavior Change Competitions
- Pilot Development
- Pilot
- Citywide Competition

Initiative 2: Increase Uptake of Green-Certified Homes in Chicago
- Background Research
- Stakeholder Engagement
- Implementation

Initiative 3: Green Building Property Tax Initiative
- Background Research
- Develop Tax Inceptive
- Legislative Process
- Implementation

A single calendar can highlight initiatives and key workstreams for an entire challenge, as this example from Chicago shows.

Innovation teams should resist any temptation to create charters and work plans alone, although this might seem quicker and easier in the short run.

GET ENGAGED Many of the work products described in Step 3 are perfect opportunities for the i-team to roll up its sleeves and work closely with future Initiative Owners.

For example, the logic models described in Section A may be most easily drafted in small working meetings between i-team Project Managers and agency partners. In such settings, Project Managers should do their best to act as guides while facilitating engagement with the process by asking the right questions to move things along.

There are simple steps that Project Managers can take to improve relationships with partners. Actions as simple as circulating drafts for feedback or generating a list of questions for partners to answer can improve the process for the i-team and its partners.

Although it is often harder in the short run, a true commitment to bringing your colleagues in city government along with the i-team on the road to new initiatives will pay off many times over during implementation and delivery.

E. FINALIZE ALL TARGETS

With work plans developed, it's time to revisit initiative charters and trajectories to make sure they remain accurate and achievable. It may make sense to revise targets at this time, based on a deeper understanding of the work ahead.

Similarly, with initiatives chosen and mapped out, this is also the right time to revisit and finalize challenge targets and timing.

The mayor and key Sponsors should explicitly sign off on the targets.

F. DEVELOP A COMMUNICATIONS STRATEGY

The city may wish to publicize the i-team's innovative efforts to address mayoral priorities. The i-team Director should work with the mayor's communication staff, and with key stakeholders, to develop a public communications plan. While most planning will not get under way until initiatives are gearing up to launch, items to consider are:

- Estimated dates for initiative launches and press releases
- Lists of reporters to brief on specific topics
- Talking points for the mayor about the i-team and its role

F.1 PUBLICIZING TARGETS

Many i-teams have found it helpful to make a public commitment to targets. For example, Chicago committed to reducing the number of new restaurant inspections by 50% as part of its press release announcing the launch of the restaurant start-up program. A public commitment to targets has the advantage of implicitly committing a wide array of stakeholders to the mayor's goals. Public targets may also serve to galvanize action and set a framework for public accountability.

F.2 HOW TO COMMUNICATE ABOUT THE TEAM

While there may be a natural inclination to get the word out about your stellar team of high performers, the best i-teams drive a structured process from behind the scenes by providing invaluable information and analysis.

GET ENGAGED It is the Owners and Sponsors who do the heavy lifting of getting a new idea off the ground, and should be perceived as the stars of the show. Experience shows that it is vital to give credit where credit is due.

With this in mind, the i-team should be careful not to take too much credit whenever discussing the work internally or publicly. Innovation team members should always first give credit to the partners responsible for the implementation of initiatives. Innovation teams that consistently do this tend to find that potential partners begin to chase the i-team, rather than the other way around.

CONCLUSION

At this point, initiatives have been selected, refined through logic models, delineated in charters, and detailed in work plans. Each initiative has an Owner responsible for day-to-day implementation and a Sponsor responsible for its overall success. The i-team has moved partners through Steps 1, 2, and 3.

Moving into Step 4: Deliver and Adapt, i-teams must prepare to transition from paper to reality. Innovation teams that have chosen initiatives founded on rigorous research and relevant data, employed creative innovation techniques, diligently engaged partners and built relationships, and carefully planned for implementation are well positioned for success. But delivery will challenge all i-teams. In the fourth and final step, i-teams must be dogged in adhering to delivery routines and prepared to flexibly respond to the small, everyday crises that will inevitably arise.

DELIVER
AND ADAPT

A. DELIVERY ROUTINES | B. DEALING WITH RELUCTANCE DURING DELIVERY | C. CREATING CONDITIONS FOR LONG-TERM SUCCESS

In Step 3, the i-teams worked to prepare for delivery, helping Owners and Sponsors prepare logic models, charters, and implementation plans. Now it is time to focus on delivery. What does it mean to deliver? Delivery is the effective implementation of planned initiatives, driven by structured project management practices and an unwavering focus on targets.

As initiatives launch or prepare to launch, Owners and Sponsors will be hard at work on implementation. The i-team's role in this phase is to support the Owners and Sponsors to implement initiatives with discipline, stay focused on progress toward targets, and coordinate efforts to quickly overcome obstacles.

This portion of the Playbook presents five specific and mutually reinforcing delivery routines, which have been tested and refined by real-world i-teams. The routines help to ensure that the right information reaches the right people at the right time, and buttress the Innovation Delivery approach's focus on metrics and targets. Each delivery routine is designed to be used on a regular, recurring schedule, and is presented here with real examples from existing i-teams and their partners to help you get started quickly.

A. DELIVERY ROUTINES

Successful i-teams put five core delivery routines in place:

1. **Initiative Check-Ins** occur between an Initiative Owner and a Project Manager.

2. **Innovation Team Updates** are meetings within the i-team to update the Director on progress across initiatives.

3. **Mayor's Updates** are memos (or meetings) in which the Director summarizes progress and elevates key issues for the mayor.

4. **Stocktakes** are group meetings with the mayor and senior leadership of the city to review progress on implementation goals and targets.

5. **In-Depth Reviews** are opportunities for the i-team to carefully examine what has been achieved and what may need to change.

Exhibit 4.1, below, provides an overview of the objectives, participants, and timing of each delivery routine.

EXHIBIT 4.1	THE FIVE DELIVERY ROUTINES				
	INITIATIVE CHECK-IN	TEAM UPDATE	MAYOR'S UPDATE	STOCKTAKE	IN-DEPTH REVIEW
WHAT IS IT?	Regular meetings that check status and solve problems	Regular meetings internal to the i-team	Overview of progress, issues, and upcoming key decisions	Regular meeting among mayor, Sponsors, i-team, and other key stakeholders	Detailed assessment of the efficacy of initiatives and implementation
WHY?	Identify and troubleshoot implementation issues early; review progress on targets	Update Director and share issues with the i-team; examine progress and issues across initiatives within a priority	Keep mayor informed; efficiently escalate issues to mayor for action	Review progress on implementation and achievement of targets; reward progress; increase senior accountability	Careful, analytical look at progress to date; learn lessons; evaluate what is working and what is not
WHO?	Initiative Owner and Project Manager, and others as necessary	Relevant members of the i-team	Project Managers, Director; Director sends to mayor	Mayor, Sponsors, Owners, Director, with others as necessary	i-team (leads process), Owners and Sponsors; i-team sends to mayor
WHEN?	*Daily to weekly*	*Weekly*	*Biweekly to monthly*	*Monthly to quarterly*	*Semiannually to annually*

The timing outlined in the last row reflects the range of variation across existing i-teams. While it is up to the i-team to establish a specific cadence of routines that best fits its city, it is essential to establish a fixed schedule, as it is the consistency of the delivery routines within the city that sustains momentum.

A. DELIVERY ROUTINES | B. DEALING WITH RELUCTANCE DURING DELIVERY | C. CREATING CONDITIONS FOR LONG-TERM SUCCESS

How do you know that you are ready to begin using the delivery routines? Use of the routines should begin as soon as the bulk of the work plan (Step 3, Section D) is completed. In most cases, it is appropriate to begin delivery routines well before the public launch of an initiative in order to ensure that the launch stays on track.

Notably, an i-team should not be involved with the delivery of a specific initiative indefinitely. Once initiative targets are achieved, the i-team's role in delivery support should end and the initiative need no longer be a part of the i-team's routines. This does not necessarily mean, of course, that the initiative itself will conclude—it may well continue to run for many years—but in keeping with the consultant-like position of the i-team, an initiative that is designed to extend into the long term should "graduate" from the i-team's extra delivery support.

Each of the five routines is described in more detail in the sub-sections below.

TOOLKIT
Templates for documents to help drive the routines are provided in your toolkit

A.1 INITIATIVE CHECK-IN

A Project Manager and Initiative Owner will likely work together on a daily basis. While working sessions and calls will take place as needed, there should be formal, recurring meetings to assess progress on an initiative and identify emerging issues.

These meetings, typically weekly, should follow a consistent pattern. The work plan developed in Step 3 will be an important reference document when preparing for these meetings. At the outset, four questions may form the agenda:

- What deliverables/tasks are expected this week and next week, and are they on track to be completed?

- What progress has been made since the last update?

- What new and emerging issues have been identified since the last meeting?

- How do we plan to resolve current issues and who else needs to be involved?

As time progresses and implementation milestones are achieved, the Owner and Project Manager should begin to spend more time thinking about progress on targets, using the trajectories developed in Step 3 to routinely assess if the initiative is on track to achieve targets.

Following is an example of a weekly Initiative Check-In template (or "Initiative Update") used by the Louisville i-team for a rezoning initiative. At the outset, Owners may require significant help from Project Managers to refresh the template each week. If this is the case, Project Managers should take care to ensure that they are transferring practical skills to Owners so that a transition can be made to the preferred arrangement, in which Owners draft the Initiative Update prior to the Check-In.

EXHIBIT

4.2

INITIATIVE CHECK-IN EXAMPLE (LOUISVILLE)

INITIATIVE UPDATE FOR FAST TRACK PROGRAM
as of August 21, 2012
CHALLENGE: Rezoning
CHALLENGE TARGET: 90% of cases completed in 4 months
SPONSOR: Director, codes & regs **OWNER:** Asst dir, codes & regs **P.MGR:** Rezoning P.Mgr

OVERALL STATUS: Some issues

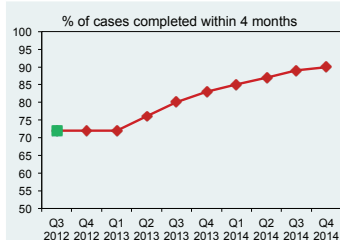**LEGEND**
- Critical
- Significant Issues
- Some issues
- Good

KEY MESSAGES/MAJOR ACCOMPLISHMENTS

- Trial case was completed in less than 4 months without major issues

UPCOMING ACTIVITIES

Description	When	Who
1. Document lessons learned from trial	Aug. 29	Liu
2. White Paper	Aug. 31	P. Mgr.

CHALLENGE ( ) TO TRAJECTORY ( )

% of cases completed within 4 months

KEY ISSUES/RISKS

- A key partner at Codes and Regulations has been promoted to Assistant Director of Planning and Development Services; we are unclear what this means for her capacity and continued involvement; timeline to fill her old position may be up to a few months

KEY AREAS OF FOCUS/DECISIONS

- Determine how we will support/ continue this program during the audit process – this will have implications for our work plan

INITIATIVE TRACKING

# of fast track cases
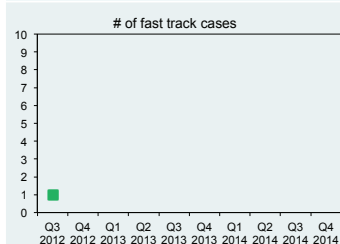
A key component of the tool above (and many other tools in the delivery process) is the "traffic light status," which should be assigned prior to the Check-In and revisited, if necessary, during the meeting. The status reflects, at a glance, the overall progress of the initiative compared to expectations. Progress, in this sense, includes both completion of implementation steps and progress against trajectories, likely shifting in emphasis from the former to the latter as time progresses. The template's traffic light is four-valued (green, yellow, orange, red), rather than three-valued (green, yellow, red) to avoid creating a "middle" choice, which is often overly tempting.

The table below describes the roles and activities for key participants in the Initiative Check-In routine:

EXHIBIT 4.3

WHAT THE INITIATIVE CHECK-IN MEANS FOR KEY PLAYERS

ROLE	ACTIVITY
INITIATIVE OWNER	■ Drafts the Initiative Update tool for the Check-In ■ Collects timely and accurate data ■ Pushes implementation and follows up with relevant decision makers on previous commitments ■ Identifies issues and works with Project Manager to determine resolutions
PROJECT MANAGER	■ May draft the Initiative Update tool for the Check-In, especially at the start of the routine ■ Identifies issues and develops meeting agenda ■ Meets with Initiative Owner to discuss progress ■ Helps to resolve implementation problems

A.2 INNOVATION TEAM UPDATE

Innovation Team Updates help Directors to stay on top of all of the initiatives in the i-team's portfolio. These weekly meetings between the Director and Project Managers offer comprehensive views of progress on priorities by bringing together information from each of the initiatives to prioritize top concerns, highlight systemic issues, and provide an opportunity to identify solutions.

The Project Manager(s) responsible for the initiatives covered in an Innovation Team Update use the Initiative Check-Ins from their meetings with Owners as a basis for preparing the meeting template. These meetings generally aim to address three core questions:

- What is the overall status of the priority, and each initiative within it, based on milestones and targets set in the implementation plan?

- What are the major issues, and how critical are they? Is each issue an implementation problem, or is it something more serious that challenges basic assumptions about the initiative?

- What is the plan to resolve the issue? Will it sufficiently address the issue, and who needs to do what?

As with Initiative Check-Ins, weekly Innovation Team Updates will be most effective if the same standardized template is used at each meeting. The following is an example of the Innovation Team Update from the Louisville i-team.

EXHIBIT
4.4

INNOVATION TEAM UPDATE EXAMPLE

INITIATIVE NAME	STATUS	ANALYSIS OF PERFORMANCE	KEY ISSUES/RISKS
Expand capacity of 911 non-emergency triage program	🟢	• Actual number of triaged 911 calls exceeded target by 34% for the quarter.	• Key risk to this level of performance is the loss of a triage nurse.
Expand the number of triaged PSiam calls transported via non-EMS transportation	🟢	• Ahead of performance because of additional non-emergent transportation provider (cost to city per trip: $18 vs. current cost of $340). • Revisited agreement with Wheels to expand wheelchair services.	• As the triage program expands, external transportation resources may not be able to support the volume.

The table below describes the roles and activities for key participants in the Innovation Team Update routine.

EXHIBIT 4.5

WHAT THE INNOVATION TEAM UPDATE MEETINGS MEAN FOR KEY PLAYERS

ROLE	ACTIVITY
PROJECT MANAGER	■ Prepares the summary for all initiatives in the priority area ■ Assesses progress against the plan, determines significance of issues and adequacy of options ■ Determines the most important issues to discuss ■ If applicable, recommends actions for the Director
DIRECTOR	■ Assesses progress against the plan, significance of issues, and adequacy of options ■ Advises on options for resolving issues, including elevating to mayor or senior leadership ■ Acts on recommendations (e.g., call deputy commissioner to resolve escalated issues)

A.3 MAYOR'S UPDATE

Effective i-teams keep the mayor in the loop—updating him or her no less than monthly. Directors and Project Managers often use the syntheses done for the Innovation Team Updates as a starting place in preparing the Mayor's Update, which is typically a brief memo. For the purposes of this routine, i-teams typically consider and address three main questions:

■ What progress has been made and what is the status of each initiative and the challenge overall?

■ What are the main issues with implementation?

■ What is the path forward, and, in particular, what can the mayor do to push things forward?

The core purpose of these updates is to address issues on which the mayor needs to act, either to approve a course of action or to resolve a controversy. These memos are usually no longer than two pages and follow a consistent structure. A recommended structure is: (1) the overall status of each initiative; (2) key issues to be resolved, with options; (3) key successes to celebrate, when appropriate; (4) supporting data. The memo should always offer clear recommendations for action. For instance, when recommending a success to celebrate, the memo should offer a specific idea of the time and place to do so; similarly, Directors must clearly state when a mayor needs to meet one-on-one with a key senior staff member to move things along. The i-team must not pull punches: actors who are throwing up resistance or roadblocks should be appropriately called out so that they can be held accountable.

The table below describes the roles and activities for key participants in the Mayor's Update routine.

EXHIBIT 4.6

WHAT THE MAYOR'S UPDATE MEANS FOR KEY PLAYERS

ROLE	ACTIVITY
PROJECT MANAGER	■ Synthesizes findings of weekly initiative updates; elevates larger themes or issues ■ Drafts memo ■ Shares memo with Owners and Sponsors (either before or after Director's review)
DIRECTOR	■ Meets with Project Manager to review memo ■ Edits memo and sends to mayor
MAYOR	■ Reviews and responds to recommendations in a timely way

A.4 STOCKTAKES

A key advantage of the Innovation Delivery approach is that it provides a framework for advancing solutions that cross departments, breaking down barriers between them in the process. In practice, the most important routine for cultivating cross-departmental collaboration has been the "Stocktake." At a Stocktake, the i-team, Initiative Sponsors, the mayor, and members of the mayor's senior staff review progress across an entire priority, monitor movement on targets, share information openly, and resolve issues collaboratively.

Stocktakes are informed by clear, accurate data to create a common foundation for discussion and to direct focus to the most pertinent issues. Many Directors have noted that i-teams and their agency partners would invest hours preparing presentations for Stocktake meetings, and that this time was never wasted. Clean presentations of compelling information not only clarified the issues, but also established the professional reputation of the i-team with the mayor and department leaders, and ensured time spent at the Stocktake was used to advance the work. Another important by-product is to bring successes to the mayor's attention in a timely manner so that the value of the work is reinforced.

There are several core questions to address at a leadership Stocktake:

- What is the status of the priority overall, and within each individual challenge?

- Are we on track to achieve our overall target?

- What are critical implementation issues? How are we going to address them?

- What is the path forward and what is each department going to do to achieve it?

In each meeting, the mayor should ask detailed and pointed questions about progress and options for resolving problems. In order to effectively perform this role, successful i-teams brief the mayor in advance to ensure that he or she is aware of the key issues in play and is ready to ask challenging questions. The Mayor's Update immediately prior to the Stocktake may serve as this briefing.

Stocktakes function best when the i-team plays a large role in preparation, but a relatively minor role in speaking and presentation. The meeting should play out as a dialogue primarily between the mayor and the Sponsors.

The following examples are slides from actual Stocktakes convened by i-teams.

EXHIBIT 4.7

STOCKTAKE SLIDE EXAMPLE

HOW ARE WE DOING?: TRACKING PROGRESS

TABLE 1: CITYWIDE

Actual FY2012, 2,385
Goal for FY2013 2,265

Current Trend = 2070
= 13.2% Reduction

Legend: ● FY 2013 ■ FY 2012
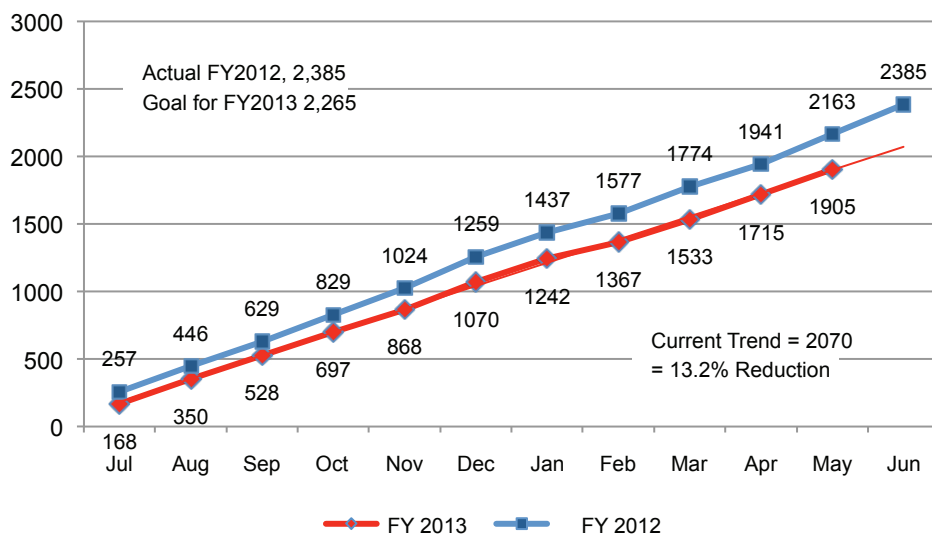
* Graphs represent cumulative frequency of offenses Involving a Firearm, Suspects under 24 years old (Murder, Aggravated Assaults, and Aggravated Robberies)

This slide from Memphis shows the tracking of key challenge metrics compared to a target trajectory.

EXHIBIT
4.8
STOCKTAKE SLIDE EXAMPLE

RECYCLING CHALLENGE STOCKTAKE
FIRST QUARTER 2013

SPONSOR: Vanessa Burns
OWNER: Keith Hackett
P.MGR: Rhonda Willard

OVERALL STATUS:
Good (on schedule)

LEGEND
🔴 Critical
🟠 Significant Issues
🟡 Some issues
🟢 Good
⭐ Complete
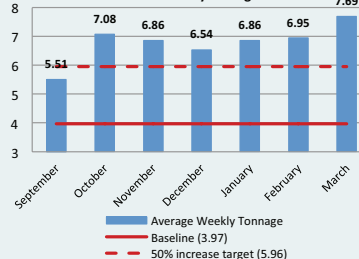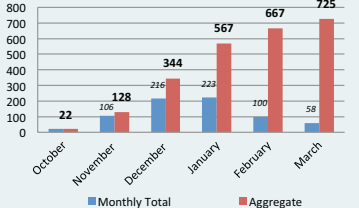
CHALLENGE TARGET: Increase the waste diversion rate by 25% in three years (2012 – 2015). Divert 90% of Metro solid waste away from the landfill within 30 years (2042).

INITIATIVE STATUS UPDATES

INITIATIVE NAME	STATUS	ANALYSIS OF PERFORMANCE	KEY ISSUES/RISKS	INITIATIVE TRACKING
All Louisville Metro offices recycle - Create a "waste-free" Mayor's office and convert trash bins to recycling bins	⭐	• Amount of recycling generally exceeding target • Reinforcement message released on 1.25.13 • Commonwealth Attorney's Office is fully participating as of 4.2.13 • Initiative is now under regular operations	• Periodic waste audits and targeted reinforcement messaging will be used to curb contamination as necessary	**Weekly Recycling Tonnage in Metro Buildings - Monthly Average** September 5.51, October 7.08, November 6.86, December 6.54, January 6.86, February 6.95, March 7.69 Average Weekly Tonnage Baseline (3.97) 50% increase target (5.96)
Residential Purchase Program - Establish voluntary purchase program for 95-gallon recycling carts	🟢	• Online cart purchasing now available (Apr) • Goal is 1300 purchased carts by end of 2014 (56% complete as of March 2013) • Note: 177 were purchased in all of 2011		**Recycling Carts Purchased by Month and Aggregate** October 22, November 128/106, December 344/216, January 567/223, February 667/100, March 725/58 Monthly Total, Aggregate

This slide from a Louisville recycling Stocktake provides an update of initiatives at a glance. Note the dual focus on the status of initiatives and on progress against challenge and initiative targets.

A. DELIVERY ROUTINES | B. DEALING WITH RELUCTANCE DURING DELIVERY | C. CREATING CONDITIONS FOR LONG-TERM SUCCESS

It is important to establish Stocktakes as part of the regularly recurring routine. Although frequency has varied across the pioneer cities, most i-teams have scheduled Stocktakes monthly. No i-teams scheduled Stocktakes less frequently than quarterly. For illustration, here are the standing Stocktake schedules of three existing i-teams.

EXHIBIT 4.9

EXAMPLE STOCKTAKE FREQUENCIES

CITY	STOCKTAKE FREQUENCY
LOUISVILLE	One Stocktake per quarter, including all priorities
MEMPHIS	One Stocktake per month, alternating priorities
NEW ORLEANS	Monthly Stocktakes for each priority

The table below describes the typical roles and activities for key participants in the Stocktake routine.

EXHIBIT 4.10	WHAT THE MAYOR'S UPDATE MEANS FOR KEY PLAYERS	
ROLE	**ACTIVITY**	
INITIATIVE OWNER	■ Collects data and reviews progress ■ Helps prepare slides for presentation ■ Prepares Sponsor for meeting	
INITIATIVE SPONSOR	■ Understands progress, roadblocks, and path forward ■ Prepares to present ■ Presents at Stocktake	
PROJECT MANAGER	■ Helps Owner prepare slides for presentation ■ Identifies goals and objectives of Stocktake ■ Shapes agenda (iteratively with Director, Owner, and Sponsor) ■ Coordinates preparation and distribution of meeting materials	
DIRECTOR	■ Meets with Project Manager to confirm approach ■ May discuss goals and objectives with mayor ahead of meeting and/or prepare mayor with possible questions and potential resolutions ■ Connects with key stakeholders to set expectations and frame issues	
MAYOR	■ Reviews advance materials ■ Attends meeting; praises progress; models accountability ■ Provides clear resolution, or timely follow-up actions, to important issues	

A.5 IN-DEPTH REVIEWS

Some i-teams have found it is important to conduct a deeper review once or twice a year. This is a good opportunity to step back and understand whether initiatives might need modification, or whether the approach to implementation should be changed. Innovation teams have used In-Depth Reviews as an opportunity to test their strategic thinking and to revisit the logic models developed during Step 3. The goal of the In-Depth Review is to reassess the prospects for achieving targets once a good deal of work has occurred.

Conclusions or action steps that may result from In-Depth Reviews include revisions to charters (done in conjunction with Owners and Sponsors); recognition that some initiatives should be dropped because they are not likely to succeed; realization that there is an opportunity, or need, for new initiatives within the priority or challenge; fresh thinking about the i-team's capacity given the current workload and trends in the workload; and new conclusions about the capacity of city departments and the implications for the long-term sustainability of progress on targets once the i-team moves on to other priorities.

The following exhibits constitute a template for synthesizing and presenting the conclusions of an In-Depth Review.

TOOLKIT
In-Depth Review template

EXHIBIT 4.11

IN-DEPTH REVIEW TEMPLATE

REVIEW: KEY RISKS AND BARRIERS TO TARGET ACHIEVEMENT

RISK	DESCRIPTION	BEST CASE IF UNADDRESSED	WORST CASE IF UNADDRESSED	RECOMMENDED COURSE OF ACTION
Overcoming local ordinances and zoning restrictions	Local ordinances and zoning restrictions are impeding the city's ability to establish preschools in key target areas.	Identify new target neighborhoods where local ordinances and zoning laws do not hinder initiatives and move forward with facility build-out.	Innovation team will not achieve impact because the target neighborhoods compromise 40% of the population the i-team is trying to enroll in preschool.	Enlist support from the Planning Department to draft new ordinances for passage at City Council.
Not all call-ins have been followed by a drop in shooting rates	Successful call-ins are followed by a quiet period (drop in shooting rates). However, in some cases, shooting rates have increased or stayed constant after call-ins.	Improved call-in structure and execution ensures that groups attending the call-in get the message and all call-ins henceforth are successful.	Call-ins are ineffective and violence does not decrease; challenge target is not achieved.	Work with call-in participants to restructure call-ins and ensure that the groups attending are leaving with a clear understanding of the message.

In an In-Depth Review, best- and worst-case scenarios for target achievement are considered.

Some i-teams also use the In-Depth Review as a moment to reflect on relationships with Owners, Sponsors, and other partners, soliciting feedback on the i-team's approach to collaboration and the experience of working with the i-team, with the goal of using this feedback to contribute to the i-team's ever-evolving relationship-building practices.

The table below describes typical roles and activities for key participants in the In-Depth Review.

EXHIBIT 4.12

WHAT THE IN-DEPTH REVIEW MEANS FOR KEY PLAYERS

ROLE	ACTIVITY
PROJECT MANAGER	■ Undertakes detailed analysis and prepares report on performance and capacity ■ Consults with Initiative Owner as needed
DIRECTOR	■ Meets with Project Manager to discuss draft report ■ Meets with mayor and/or Owners and Sponsors to review conclusions and adjust course as necessary
MAYOR	■ Reviews report in a timely manner ■ Discusses and responds to recommendations with Director and Initiative Sponsors

A.6 ENSURING PARTICIPATION IN ROUTINES

Innovation teams find that in addition to establishing a regular schedule, participation in delivery routines is most reliable when the meetings such as weekly check-ins and Stocktakes are universally perceived as productive.

GET ENGAGED Here are some concrete steps that can help ensure that the meetings are seen as productive:

- Always distribute an agenda in advance that includes discrete issues to discuss and resolve.

- Support decision making at the meeting so that there is a sense of forward movement.

- Help with the preparation of materials at the outset; transition later to an Owner-driven content creation paradigm.

- Begin delivery routines well before the actual rollout of initiatives.

- Ensure that the scheduled, recurring meetings are on the calendars of the right people.

A. DELIVERY ROUTINES | B. DEALING WITH RELUCTANCE DURING DELIVERY | C. CREATING CONDITIONS FOR LONG-TERM SUCCESS

In the early stages of delivery, the i-team and its partners should learn to appreciate meetings as productive and look forward to the next. Innovation teams have found that ending meetings short of the official end time is an effective way to do this. (For example, plan to cover everything in 45 minutes if a meeting is scheduled for an hour.) This ensures that there is plenty of time for unplanned questions and allows participants the small pleasure of leaving a meeting earlier than expected, which can go a long way.

B. DEALING WITH RELUCTANCE DURING DELIVERY

GET ENGAGED There may be times when an i-team is faced with a Sponsor and/or Owner who does not seem interested in the work.

There are a variety of approaches to consider in addressing this situation.

Of course, it is best to avoid this sort of situation altogether. When considering which potential initiatives to implement, an i-team should strongly consider the commitment of the anticipated Owner and Sponsor. A great idea can be sandbagged if there is no one available to take responsibility for the hard work of implementation. In situations such as these, some i-teams feel pressure to move forward regardless, and find themselves executing key implementation tasks as de facto Owners. Innovation teams that yield to this pressure have found that their overall effectiveness becomes compromised.

If an Owner or Sponsor is not engaged, it is often advisable for i-team members to put themselves into the head of those who are reluctant to carry out work. Do they see the i-team as a threat? Do they not believe in the initiative? Do they fear neglecting other work? Understanding the source of a lack of enthusiasm is the first step in addressing it. Communicating directly with a reluctant partner may surface the most promising pathway for strengthening the partnership and moving forward.

If there is a clear Owner or Sponsor but that person is not productively engaged, the mayor might be able to help. The i-team should be judicious in soliciting the mayor's help, but, in many cases, a well-timed intervention by the mayor, reinforcing that initiatives are top priorities and confirming or assigning responsibility to the appropriate individuals, is all that is needed to get back on track.

C. CREATING CONDITIONS FOR LONG-TERM SUCCESS

The steps outlined in this chapter are most likely to lead to successful delivery if they are supported by an i-team that is devoted to self-improvement, documents success to communicate the benefit of the process and to justify continued investment, and does not spread itself too thin.

C.1 CONTINUALLY IMPROVE THE INNOVATION TEAM

Through their efforts to help departments deliver, the members of the i-team will become some of the best practitioners of continuous improvement in city government. It is also essential, however, for a Director to ensure that the i-team itself learns from experience and is continuously improving. This can be achieved through regular check-ins and end-of-project reviews.

Many i-teams have regular feedback sessions. These help Directors understand how the i-team is feeling about its impact and teamwork. In addition, after an initiative wraps up, it is important to debrief to assess where and why the i-team encountered problems and what a better approach would have looked like. The In-Depth Review, described earlier, may also be a good opportunity to solicit feedback from partners on the i-team's approach so far.

C.2 ANTICIPATE CHANGE

It is inevitable that there will be staffing changes within the i-team or a partner department. Such changes can delay or derail projects, especially if they are unplanned. Innovation teams should strive to ensure that information is not overly "siloed" by making sure that Project Managers have a knowledgeable backup and that project documentation is extensive. When a Sponsor or Owner changes, i-teams must expect to invest significant time to introduce the Innovation Delivery approach from the ground up to a new person.

> **FROM A DIRECTOR:**
> **BE PREPARED FOR STAFFING CHANGES**
>
> "When a Sponsor or Owner changes, don't assume that the i-team's work is a priority for the new person. Take the time to inform new people about the project. Demonstrate the value and assistance that will be provided by an i-team. Be understanding about the fact that a new person has a steep learning curve."

C.3 RECOGNIZE WHEN TO STEP AWAY

Once challenge-level targets are achieved, or are well on the road to being achieved, the i-team should wind down its involvement and be reassigned to new challenges or priorities by the mayor. The i-team's role in city government should be that of a precious resource, able to drive rapid progress on the most pressing issues facing the city. The Innovation Delivery approach presumes that, over time, the i-team will be redeployed in the places where the need is greatest and where it can add the greatest relative value among a competing array of challenges and priorities.

In some cases, delivery routines such as Stocktakes will continue to occur after the i-team shifts focus, depending on the wishes of the participants.

C.4 DOCUMENT AND SHARE SUCCESSES

Finally, the i-team Director (or a designee) should keep track of the i-team's accomplishments, experiences, and lessons. Documenting and sharing what the i-team learned and the impact it helped achieve builds its morale, brand, and credibility. Tracking and documenting evidence of success can be a powerful tool to support fundraising efforts. It can also help build relationships with new stakeholders who can be helpful in future i-team activities.

CONCLUSION

This chapter explained how to create a successful delivery system—from best-practice roles for key players to the routines and techniques that can instill a disciplined approach to delivery.

This is the last of the four steps of the Innovation Delivery approach, but i-teams are far from finished with their work. The innovation and delivery process is ongoing, allowing for a continuous cycle of innovation and reform. Although the Playbook presents a sequential model, an i-team's work involves a great deal of iteration and numerous feedback loops within and between steps. For instance, In-Depth Reviews may show that certain initiatives are not making sufficient progress toward a challenge goal over time—potentially requiring an i-team and city to develop new initiatives (Step 2: Generate New Ideas) or tackle different challenges (Step 1: Investigate the Problem). An In-Depth Review may also show that the i-team has the capacity to take on new work—potentially leading to the identification of new priority areas (Getting Started). Continuous adaptation driven by vigilant data monitoring is a way of life.

Bloomberg Philanthropies created the Innovation Teams program to take some of the risk out of innovation and enable mayors and cities to develop and deliver powerful solutions to major urban challenges. Whether the process outlined in this Playbook is a fundamentally new way of getting things done, or whether it builds on your city's existing practices, we hope that the Innovation Delivery approach empowers your city to take on top priority problems and tackle them—thinking boldly and strategically to make life better for citizens.

The Innovation Delivery approach can and should accelerate your efforts to devise and execute great ideas in your city. We hope it is a positive influence on the way the mayor's office and city departments serve citizens, contributing to a renewed focus on innovation, collaboration, and data-driven management.

GLOSSARY

Term	Definition
CHALLENGE	A specific obstacle within a priority area that the i-team and its partners hope to address
CONTRIBUTING ISSUE	The most significant factors that affect the size and nature of a challenge
DELIVERY	The act of bringing services or programs to citizens and end users
DIRECTOR	The leader of an innovation team
INITIATIVE	Specific actions or programs the i-teams and its partners will undertake to help address contributing issues and achieve targets
INNOVATION	A new and novel idea, method, or service being applied at a large scale
INNOVATION DELIVERY APPROACH	The structured process that guides the work of an i-team
INNOVATION TEAM	The group responsible for driving innovation and delivery within a city
OWNER	The point person for initiative implementation, frequently based in the city department that is primarily responsible for the initiative
PRIORITY	A broad area in which i-teams work to achieve results
SPONSOR	The point person who is accountable to the mayor for an initiative