Change Management Best Practices Guide

An Additional Help for ADS Chapter 597

Change Management
Best Practices Guide

Performance Improvement Officer

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1.   Purpose

The United States Agency for International Development (USAID) has embarked on many ambitious organizational reform initiatives in recent years and experienced varying degrees of success with their implementation. A major factor impacting success is the role of change management in the process. Several operating units have examined the issue of change management as it pertains to their individual initiatives. The purpose of this guide is to outline best practices and lessons learned that all operating units can draw upon when embarking on organizational change activities, such as implementing new initiatives or mandates, restructuring, or introducing new technologies or policies.

2.   Overview

Change management is an organizational process aimed at helping stakeholders[1] accept and embrace changes in their operating environment. It involves the application of a set of tools, processes, skills, and principles for managing the 'people' side of change in order to achieve the desired outcomes of a project or initiative.

USAID must incorporate the principles of change management into all organizational initiatives to produce effective, long-lasting, and sustainable change. Over the past 20 years, research demonstrates that 70 percent of change efforts within organizations fail.[2] A major threat to successful change implementation is not focusing enough attention on the 'people' component of the change. Where success has been achieved, prominent leadership and change expert Dr. John Kotter notes that the change process is comprised of a series of steps and requires considerable time to produce a satisfying result.[3] Ultimately, successful change management involves getting people to commit to or own a change.

Abundant research and data are available on how to implement long-lasting change. Appendix A in this reference includes a few of the most prominent change management models, as well as other change management resources from the Federal Government and private sector. The best practices contained in this guide synthesize major themes found across the literature and in practice at USAID, and are found in Figure 1.1. Using these best practices in future change efforts increases the likelihood that change takes hold and becomes engrained in the organization.

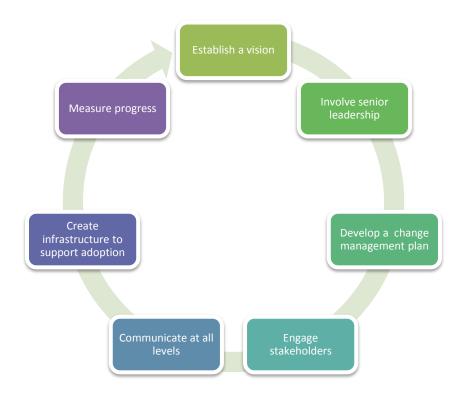[1] Stakeholders are those individuals, both internal and external, who have influence, impact, interest, and have made investments in the process.

[2] Scott Keller and Carolyn Aiken, *The Inconvenient Truth About Change Management: Why it isn't working and what to do about it*, McKinsey and Company.

[3] John P. Kotter, *Leading Change: Why Transformation Efforts Fail*, Harvard Business Review, March-April 1995.

Figure 1.1: Change Management Best Practices

Lastly, it is important to highlight the issue of 'bottom-up' versus 'top-down' change. Stakeholders are more likely to own a change if it is initiated at the working level rather than having it imposed upon them by their leadership or outside parties. However, it is not always possible or practical in the public sector for organic change to occur, so a 'top-down' approach may be required. While the best practices in this guide focus more on how to approach 'top-down' change, the principles are still relevant to 'bottom-up' change. In fact, several of the best practices may be easier to incorporate when the push for change originates with staff.

3.   Methodology

To develop a list of best practices, the Bureau for Management's Office of Management Policy, Budget, and Performance (M/MPBP) performed desk research and conducted key informant interviews with 20 USAID staff who were involved in initiatives that resulted in organizational change. These initiatives include: the Global Acquisition and Assistance System (GLAAS) deployment, the rollout of the Telework and Evaluation policies, and development and implementation of the Bureau for Management 2003 Customer Service Standards. This guide reflects the best practices and lessons learned from the USAID case studies and external resources, as well as illustrative—though not exhaustive—examples. See Appendix B in this reference for more information on the methodology used to develop the guide and Appendix C in this reference for a description of each USAID case study.

4. Best Practices

4.1 Establish a Vision

Change must have a purpose with which staff identifies. To begin, leadership should outline the vision of the desired state that will come about as a result of the change. The vision should allow for shared ownership at all levels of the organization. Staff and other stakeholders must feel connected to the vision and understand its utility to their own work. They must also understand how the change personally impacts them, and acknowledge that workload or behavior change serves a larger purpose.

> **Effective visions are:**
>
> - Clear
> - Unambiguous
> - Personally relevant
> - Simple
> - Vivid[4]

Illustrative USAID examples and lessons learned: While the Telework policy stemmed from a statutory requirement, the Telework team purposely broadened the vision of the policy to focus on enabling a more mobile workforce and changing the perception of personnel management. This struck a more personal chord with USAID staff and managers, though it took some convincing. Similarly, while GLAAS is a system, the vision for its deployment was to make the acquisition and assistance process more efficient and effective in support of the Agency's development mission. In addition, the GLAAS team stressed the system's usefulness in improving reporting timeliness and quality, allowing staff more time to focus on other work. A constraining factor at USAID has been when staff interprets change as a compliance exercise rather than a value-add to their work. In other cases, staff did not understand how the change was relevant to their work. These viewpoints limit employee buy-in and adoption of the change, and operating units should take care to address the vision when communicating and engaging staff in the process.

4.2 Involve Senior Leadership

It is critical that a coalition of senior leaders commit to and involve themselves in the design, communication, and implementation of an initiative. A study on the Agency's efforts to promote stakeholder participation found that organizational change within USAID takes time and requires clear and sustained leadership.[5] Senior leadership should communicate that the change represents

> Senior leaders need to be sponsors of the change, as stakeholders tend to respond more positively to messaging from this group.

a positive development for the organization, which will lend legitimacy to the initiative. Conversely, when leadership is not engaged or does not view a change as a priority, staff may disregard change efforts or view the change as an activity to 'check a box.' A lack of leadership commitment reduces the chances of long-run change adoption.

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[4] Communication for Governance and Accountability Program, Change Management, The World Bank, 2009.

[5] USAID, *Engaging Customer Participation: USAID's Organizational Change Experience,* International Conference on Upscaling and Mainstreaming Participation of Primary Stakeholders: Lessons Learned and Ways Forward, November 19-20, 1998.

Illustrative USAID examples and lessons learned: The GLAAS and Telework and Evaluation policy Executive Sponsors were prominently involved in each initiative, owning and personally championing the change and attending trainings. This involvement sent a strong message to staff. Development and implementation teams also leveraged Executive Sponsor participation to communicate effectively with the Administrator and the Agency. Though, USAID has also learned that when leadership attention shifts to other priorities or when the Agency tries to roll out multiple major initiatives at once, it compromises the incentive and ability for the organization to implement and sustain change.

4.3   Develop a Change Management Plan

Organizations need to develop a detailed strategy for moving from the current state to the desired state. USAID already exemplifies this approach through its strategic planning process outlined in Automated Directives System Chapters 201 Planning and 597 Operations Performance Policy.

The level of complexity and formality of the change management plan will depend on the nature of the change. To help inform the plan, an organization may conduct a change readiness assessment, which establishes the organization's current status and ability to change. Additionally, it may also perform a risk analysis to determine potential risks and key barriers to change, and establish a plan for mitigation.

The box to the right notes key components for a change management plan. Ultimately, the plan will help guide the change process and ensure steps are not missed or efforts sidetracked. When developing the plan, the operating unit should consider whether to do a full implementation or roll the change out in phases. The latter allows for incorporation of lessons learned into subsequent roll outs. The operating unit should regularly revisit the plan to ensure they reflect the most current thinking and any changes that occurred during the process. Appendix A in this reference contains toolkits that may be helpful when developing a change management plan.

> Change management plan key components:
>
> - Vision and goals
> - Stakeholders
> - Resources
> - Time-specific milestones
> - Communications tools and strategy, including key messages
> - Metrics
> - Roles and responsibilities
> - Results from change readiness or risk analyses (if applicable)

Finally, change management does not end once a new system or policy is rolled out. It is important to plan for the long-run adoption of change. As such, the change management plan should cover all phases of an initiative, including post-rollout and institutionalization.

Illustrative USAID examples and lessons learned: The GLAAS organizational change management team successfully utilized a Change Management Strategy and an Organizational Change Management (OCM) Plan to guide stakeholders through GLAAS deployment. The Change Management Strategy identified and validated GLAAS stakeholders, key messages, and recommended communication tools. The OCM Plan created an actionable plan that detailed when to reach out to each GLAAS stakeholder, with what information, using what messages, and with which communication tools.

Similarly, the Telework team employed project management techniques to keep everyone focused on the same goals and tasks. These techniques included: creating an executive board, defining clear phases of execution, setting deadlines, establishing subteams to focus on trainings and communication, and assigning clear accountability for tasks.

USAID has learned that the absence of a comprehensive implementation plan can lead to misunderstandings about the initiative across the organization and the Agency reacting to issues in an ad hoc versus deliberate manner. Given the decentralized nature of USAID, well-developed plans can reduce the risk that initiatives are unevenly or partially adopted. USAID has also learned that change management takes time. Many initiatives are multi-phase processes, where the Agency will not realize full adoption for many years. Therefore, it's important to plan for how a change will mature over time.

4.4   Engage Stakeholders

People are at the core of any successful change.[6] Involving stakeholders early, often, and in a meaningful way "helps reduce barriers to change by creating psychological ownership, promoting the dissemination of critical information, and encouraging employee feedback for fine-tuning the change during implementation."[7] A Booz Allen Hamilton study of governmental change efforts found that 75 percent of successful change leaders utilized a collaborative approach for developing and implementing change, compared with 33 percent of unsuccessful change leaders.[8]

> *Change champions* = individuals who are supportive of change and eager to see it implemented
>
> *Change resistors* = individuals who oppose change and may try to prevent its implementation

Operating units should use a stakeholder analysis to identify the individuals and groups that the change impacts and understand their positions regarding the change. A stakeholder analysis is particularly beneficial for USAID change efforts given the variety of staff and stakeholders associated with the Agency. Two categories of stakeholders are particularly important: change champions (also known as change agents) and resistors of change. Individuals in both categories may come from all levels of the organization. Change champions are invaluable in promoting and legitimizing an initiative and establishing a group of subject matter experts to supplement those on the development and implementing team. They can help drive the change from the bottom up.

Conversely, those that resist change may do so for a variety of reasons, including being fearful of something new or protective of the status quo. Proactively and sincerely engaging resistors provides them with an opportunity to express concerns, which the organization can address, to the extent possible, during implementation. It is important to not ignore those that resist change

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[6] Suzanne Bond Hinsz, *Change Management*, Deloitte, USAID Presentation, March 2013.
[7] Sergio Fernandez and Hal G. Rainey, *Managing Successful Organizational Change in the Public Sector,* Public Administration Review, March/April 2006.
[8] Dave Mader, Steven Kelman, and Jeff Myers, *What It Takes to Change Government: Successfully Executing Ambitious Strategies*, Booz Allen Hamilton.

because they can wield a great deal of influence among other stakeholders. In all cases, stakeholder participation should be widespread and pervasive during the different stages of the change effort.[9]

Engaging stakeholders can also include incentivizing them to produce the desired behavior. Staff and manager position descriptions, annual work plans, and evaluations must reflect post-change activities and expectations. Besides annual evaluations, monetary and nonmonetary awards and recognition can assist in promoting desired actions.

Illustrative USAID examples and lessons learned: The working group that developed the Bureau for Management 2003 Customer Service Standards included representatives from across stakeholder bureaus. The Evaluation and Telework policies and GLAAS deployment also relied, and continue to rely, heavily on points-of-contact and subject matter experts in each bureau, independent office, and mission to disseminate key information and implement specific provisions of the initiatives. Early on, the working group that developed the Telework policy included some who opposed the change. Embracing and addressing staff and managers' concerns upfront helped mitigate roadblocks during later stages of implementation and encouraged ownership. In all the cases, engaging stakeholders proved critical to moving the change forward.

It may not be possible for USAID to engage all possible stakeholders in a given change, but operating units should make reasonable attempts to be inclusive. USAID has also learned from its struggle to realize sustainable change when not holding staff accountable for implementing new initiatives. In some cases, operating units did not include standards reflecting the post-change environment in staff annual work plans. Without this incentive, it was more challenging for the Agency to elicit the desired behavior.

4.5   Communicate at all Levels

Communication is one of the most important elements to a successful change effort—it sets a tone of transparency and openness. Proper communication can serve a myriad of functions, including:

- Conveying the vision, goals, and motivation for change;
- Sharing information about organizational changes and providing stakeholders with details about the nature, timing, and significance of the change;
- Eliciting participation and specific actions from stakeholders;
- Providing social support by addressing concerns, alleviating fears, and encouraging support systems among employees; and
- Providing feedback to employees about their performance during change initiatives and providing feedback to implementers regarding strengths and weaknesses of the change initiative.[10]

> **Communication should:**
>
> - Occur repeatedly and through multiple channels
> - Include opportunity for questions and feedback
> - Be tailored to specific recipients

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[9] Sergio Fernandez and Hal G. Rainey, *Managing Successful Organizational Change in the Public Sector,* Public Administration Review, March/April 2006.
[10] Communication for Governance and Accountability Program, *Change Management*, The World Bank, 2009.

Consistent communication is important to preserve and reinforce key messages, which should relate back to the higher-level objectives and vision for the change. Senior leaders and change champions should serve as communicators to enforce these key messages. Further, organizations can use in-person communication, where feasible, to establish relationships with stakeholders. Communication is also an effective method for helping people overcome their resistance to change.[11]

Illustrative USAID examples and lessons learned: USAID has experienced the greatest impact when communication occurs through varied internal and external mechanisms. For example, the Agency has utilized Agency Notices, emails, websites, reports, presentations, in-person meetings, trainings, and informal discussions to effectively get the word out to both Washington and the field. The GLAAS and Telework teams employed communication protocols that matched the message sender with the message purpose to maximize impact and promote timely communication. The GLAAS implementation team also sent out communications well in advance of the deployment of the system to let stakeholders know a change was coming. Communication continued well after the release of GLAAS to proactively ask users if they needed help or assistance.

USAID has learned that it is necessary to offer stakeholders current and logically organized information to maximize the communication's utilization and value. The communication must be in formats to which stakeholders pay attention and using messages to which stakeholders relate, otherwise it will not register with them. USAID has also not been as successful when senior leaders had limited involvement in disseminating key messages to operating units.

4.6   Create Infrastructure to Support Adoption

Altering organizational norms, behaviors, and culture is one of the most difficult aspects of change management, but is also one of the most important. The process takes considerable time—several initiatives that USAID has officially launched in recent years are only in the beginning stages of institutionalization. For these reasons, senior leadership and operating units must work together to create an environment and provide the tools necessary to promote long-run adoption.

Training is critical for familiarizing stakeholders with the details of change and how it applies to their work. Through training, staff gains a concrete understanding of how his/her behavior needs to change, the ultimate benefits the organization will realize, and the skills needed to effectively institute the change. Given the diversity of talent at USAID, organizational change efforts may require a significant investment in training of both staff and partners.

> **Reinforce change through organizational structures:**
>
> - Policies
> - Procedures
> - Systems

Senior leaders also need to consider their ability to dedicate and maintain resources for a change over the long term. This includes adequate staff, space, equipment, and funding. The provision of resources signals to stakeholders that the change is a priority and the organization is laying the foundation for success. Failure to allocate sufficient resources can prevent sustainable change.[12]

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[11] John P. Kotter and Leonard A. Schlesinger, *Choosing Strategies for Change*, Harvard Business Review, July 2008.

[12] USAID, *Synthesis Report for USAID/AFR Change Management Assessment*, March 15, 2013, page 78.

Senior leadership should also consider their ability to utilize change management-specific resources. External consultants or internal staff with expertise can help ensure operating units incorporate change management principles into the planning and implementation of an initiative.

Illustrative USAID examples and lessons learned: As part of the release of the Evaluation policy, the Bureau for Policy, Planning and Learning established trainings to rebuild USAID staff capacity and continue to offer training today. Similarly, the Agency institutionalized the Telework policy by making telework training mandatory for all USAID staff at every level. While USAID was not required to conduct the training in-person, the Telework team believed they would be more effective in reaching staff in a face-to-face environment. The GLAAS and Telework teams also found it important to have staff with the right skill set as trainers to lend credibility to the trainings and make them enjoyable for attendees.

USAID has successfully utilized work groups or teams to develop and implement change. Initiatives, supported with dedicated human resources post-implementation, are on track to experience long-lasting adoption. However, USAID has also learned that when the resource allocation does not match the level of effort required to institutionalize a change, progress can slow or halt. USAID does not have dedicated staff with experience in change management. Individual initiatives rely on outside assistance or staff with a background in project or change management, but there is no central resource for operating units to tap into for expertise and guidance. Identification of a resource would be valuable to the Agency.

The Agency has also learned that a lack of official guidance codified through policies and procedures during early stages of implementation can leave the door open for interpretation. Making these tools available in a timely manner can help ensure consistency, increase compliance, and reduce the risk of contradictory information coming out later in the process.

4.7   Measure Progress

Organizations need metrics to measure progress and change. Measurement and reporting allows operating units to understand if stakeholders have implemented the change as intended, and make course corrections where needed. Evaluation and monitoring must continue post-implementation to ensure the organization does not lapse into old behavior.[13] Early in the planning process, operating units should identify metrics that will appropriately demonstrate adoption of the desired change.

- Who will collect and analyze the data?
- How and when are data collected?
- What will organization do with the results?

Publicizing the results throughout the organization can help institutionalize change and reaffirm messaging on its ultimate purpose.

Illustrative USAID examples and lessons learned: To demonstrate its evolving implementation, USAID tracks employee participation in and satisfaction with telework through the Federal Employee Viewpoint Survey and the Agency's time and attendance system. Similarly, the GLAAS

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[13] Sergio Fernandez and Hal G. Rainey, *Managing Successful Organizational Change in the Public Sector*, Public Administration Review, March/April 2006.

team monitors Helpdesk inquiries to identify areas where additional guidance is needed to improve utilization.

Yet, USAID has also learned from its experiences with inadequately planning for monitoring and assessing change. The lack of a tracking system and follow-up on metrics limits accountability and can contribute to a perceived absence of long-term change. In addition, USAID struggled with the impact stretch targets not grounded in evidence can have on a new initiative. While establishing targets is important to focus and motivate the organization around a change, the Agency must set targets in a manner that aligns with institutional capacity and supports the goals of the change.

5. Conclusion

USAID operates in a dynamic, constantly changing environment. As part of effective organizational management, it is important for operating units to have the tools necessary to react to and implement change successfully. While it requires an initial outlay of time and resources, incorporating change management best practices into the design and implementation of new activities supports the institutionalization of long-lasting change.

Appendix A: Change Management Resources

1.   Change Management Models

Organizational change management literature is rich with models and philosophies of change. The following is a summary of three well-known change management models.

Dr. John Kotter's Eight Step Process for Leading Change

Based on his study of hundreds of private sector organizational change efforts, Harvard professor Dr. John Kotter categorized successful change into eight basic steps (Figure A.1). In 1995, in previewing his now widely-cited book, *Leading Change*, Dr. Kotter wrote, "The most general lesson to be learned from the more successful cases [of corporate change efforts] is that the change process goes through a series of phases that, in total, usually require a considerable length of time. Skipping steps creates only the illusion of speed and never produces a satisfying result."[14] More information on the eight-step process can be found at Kotter International.

Figure A.1: Kotter's Eight Step Process[15]

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[14] John P. Kotter, *Leading Change: Why Transformation Efforts Fail*, Harvard Business Review, Spring 1995.
[15] Suzanne Bond Hinsz, Deloitte Consulting, *Change Management*, USAID In-House Presentation, March 2013.

Kurt Lewin's Three-Step Approach to Planned Change

In the 1940s, Kurt Lewin, a social psychologist, proposed a three-stage approach to planned change involving unfreezing, changing, and freezing. The model is still recognized today for its relevancy in modern change management. The three stages are described below.[16]

1) Unfreezing: This stage is about getting ready to change. It involves getting to a point of understanding that change is necessary and getting ready to move away from our current comfort zone. This first stage is about preparing people before the change (and ideally creating a situation in which people want the change). This first 'Unfreezing' stage involves moving individuals, a department, or an entire business, toward motivation for change.

2) Changing: Change is not an event, but rather a process. Lewin called this process a transition. Transition is the inner movement or journey individuals or a company/organization makes in reaction to a change. This second stage occurs as needed changes are made. This stage is often the hardest because people are unsure or even fearful. They are learning about the changes and need to be given time to understand and work with them. Support is very important at this stage, which can be in the form of training, coaching, and expecting mistakes as part of the process. It is also useful to keep communicating a clear picture of the desired change, and the benefits, so people do not lose sight of the vision.

3) Freezing: This stage is about establishing stability once changes have been made. As the changes are accepted and become the new norm, people form new relationships and become comfortable with their routines. It can take time to anchor changes into a culture and prevent backsliding into previous behavior.

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[16] Mark Connelly, *Kurt Lewin Change Management Model*.

Awareness, Desire, Knowledge, Ability, Reinforcement (ADKAR) Model

The ADKAR model was first introduced by Prosci, a change management research firm, in 1999. According to Prosci, the ADKAR model (Figure A.2) is based on research from more than 300 companies that underwent significant change initiatives. The model is most often used by managers to diagnose employee resistance to change, help employees transition through the change process, and create an action plan for professional development during change periods.[17]

Figure A.2: ADKAR Model[18]

ADKAR Elements	Factors Influencing Success
Awareness of the need for change	• A person's view of the current state • How a person perceives problems • Credibility of the sender of awareness messages • Circulation of misinformation or rumors • Contestability of the reasons for change
Desire to support and participate in the change	• The nature of the change (what change is and how it will impact each person) • The organizational or environmental context for the change (his or her perception of the organization or environment that is subject for change) • Each individual person's situation • What motivates a person (those intrinsic motivators that are unique to an individual)
Knowledge of how to change	• The current knowledge base of an individual • The capability of this person to gain additional knowledge • Resources available for education and training • Access to or existence of the required knowledge
Ability to implement required skills and behavior	• Psychological blocks • Physical capabilities • Intellectual capability • The time available to develop the needed skills • The availability of resources to support the development of new abilities
Reinforcement to sustain the change	• The degree to which reinforcement is meaningful and specific to the person impacted by the change • The association of the reinforcement with actual demonstrated progress or accomplishment • The absence of negative consequences • An accountability system that creates an ongoing mechanism to reinforce the change

2.   Federal Agency Resources

Author	Resource
Department of Agriculture, Federal Aviation Administration	Managing and Leading Change: Understanding Employee Commitment
Department of Agriculture, Forest Service	Change Management and Implementation Guide
Department of Defense, Defense Business Board	Innovation and Cultural Change Task Group Report, Appendix B

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[17] Prosci, *Applications for ADKAR*.
[18] Prosci, *ADKAR Model*.

3. Toolkits and Other Reading

Author	Resource
Johns Hopkins Medicine, Office of Organization Development and Training	Change Management Toolkit
Queensland Government, Public Service Commission	Change Management Best Practices Guide
Government of Western Australia, Public Sector Commission	Structural Change Management: A Guide to Assist Agencies to Manage Change
University of Victoria	Change and Transition Toolkit
Sergio Fernandez and Hal G. Rainey	Managing Successful Organizational Change in the Public Sector
Booz Allen Hamilton	What It Takes to Change Government
Evie Browne, Learning Network on Capacity Development	Change Management for Effective Institutions

Appendix B: Methodology

The Bureau for Management, Office of Management Policy, Budget, and Performance (M/MPBP) utilized two qualitative research methods to develop this guide. First, staff selected four case studies of USAID initiatives that resulted in organizational change. Criteria for selecting case studies included: maturity level (time since implementation), narrow focus, and type of effort (for example, operations performance management change or policy rollout). M/MPBP selected the following case studies: Global Acquisition and Assistance System (GLAAS) deployment; Telework Policy development and rollout; 2003 Bureau for Management Customer Service Standards development and rollout; and 2011 Evaluation Policy development and rollout. M/MPBP identified and conducted structured in-person and telephone interviews with key informants from each case study. M/MPBP interviewed a minimum of three people for each case study, and the list of those interviewed along with the questions asked is included below. M/MPBP is grateful to each participant for his/her insights.

With assistance from the Bureau for Management, Office of the Chief Information Officer's Knowledge Service Center, M/MPBP also conducted targeted secondary research into change management best practices in the Federal Government and private sector. Research covered publicly available information from the internet and literary publications. M/MPBP also reviewed change management research documents specifically prepared for USAID. Additional information on prominent change management models and resources is included in Appendix A in this reference.

2003 Customer Service Standards

Sandy Malone-Gilmore
Robert Baker
Ruth Buckley
Jean Horton
Emmanuel Obasiolu

GLAAS

Tracy Blackburn
Terry Payne
Kim Neison
Jessica Bantom
Ed Wagner
Tejal Patel

Evaluation Policy

Cindy Clapp-Wincek
Krista Stewart
Jerome Gallagher

Telework Policy

Alexis Bonnell
Michelle Delmedico
Cathy Collins
Teresa Frakes
Joann Jones
Sean Carroll

Change Management Best Practices Interview Questions

Note: The questions below are meant to focus on the _process_ by which new initiatives were implemented at USAID, rather than the technical details of the implementation.

Planning/Implementation Strategy

1) How did the concept for the initiative come to be?

2) How did you go about planning for and implementing the initiative?

3) Was a change management model utilized for the initiative? Why or why not?

   a. If yes, which change management model was used and why (e.g., John Kotter's eight steps, ADKAR, Kurt Lewin, etc.)?

4) What barriers did you encounter in planning and implementation of the initiative? How were the barriers overcome?

5) Were there any USAID organizational, cultural, or other nuances that affected planning and implementation of the initiative?

Leadership

6) What was/is the level of involvement of senior leadership in the following:

	None	_Little_	_Moderate_	_Large_
Developing the initiative				
Communicating the initiative				
Evaluating the initiative				

7) How did the level of senior leadership involvement impact the initiative?

8) Did you make use of change agents during planning and implementation?

   a. If yes, who were the change agents and how were they used?

   b. Was their inclusion beneficial in moving the initiative forward?

Stakeholders

9) Was a stakeholder analysis conducted to determine whose work the initiative would impact?

10) To what extent were the stakeholders included in the following?

	None	_Little_	_Moderate_	_Large_
Developing the initiative				

	None	Little	Moderate	Large
Communicating the initiative				
Evaluating the initiative				

    a.   Please provide examples of how stakeholders were included.

11) How did you prepare stakeholders for the initiative?

12) How did stakeholders respond to the initiative?

Communication

13) How was the initiative communicated to stakeholders?

14) What information was contained in the communications?

15) How did the stakeholders respond to the communications?

Overarching

Adoption

16) Has the initiative been adopted by staff, managers, implementing partners, senior leadership, and other stakeholders as envisioned?

    a.   If yes, what were the most important factors that contributed to the successful implementation in your opinion?

    b.   If no, why has it not been implemented as envisioned?

Evaluation

17) How are you measuring/evaluating the success of the initiative?

18) What, if any, metrics are being used for evaluation?

19) How often is the initiative being monitored?

Lessons Learned

20) If the initiative were to be implemented again, what would you do differently to produce the most successful outcome possible?

21) Is there anything else you would like to tell us that could assist in our study?

Appendix C: USAID Case Studies

Global Acquisition and Assistance System (GLAAS)
The Global Acquisition and Assistance System (GLAAS) is a business system that provides USAID with the ability to process its acquisition and assistance transactions worldwide. The integration of GLAAS with USAID's financial management system provides real-time posting of commitments, obligations, and awards, as well as synchronization of vendor data. This system provides inclusive, timely, and accurate reporting for USAID management, and accommodates requirements and requests from external stakeholders, such as the Office of Management and Budget and Congress. GLAAS is integrated with public-facing government-wide systems to increase transparency and visibility by providing USAID data to the public. USAID phased-in the deployment of GLAAS from 2009-2011.

Evaluation Policy
USAID released a new evaluation policy in January 2011. The policy recognizes that evaluation is the means through which the Agency can obtain systematic, meaningful feedback about the successes and shortcomings of its endeavors. The policy builds on the Agency's long and innovative history of evaluation, and seeks to redress the decline in the quantity and quality of evaluation practice within the Agency. USAID uses evaluation findings to inform decisions, improve program effectiveness, be accountable to stakeholders, and support organizational learning. Strengthening evaluation and transparency are part of the USAID Forward reform agenda.

Telework Policy
The Telework Enhancement Act of 2010 (the Act), was signed into law on December 9, 2010. The law specifies roles, responsibilities, and expectations for all Federal executive agencies with regard to telework policies, employee eligibility and participation, program implementation, and reporting. Following passage of the law, USAID updated its telework policy and demonstrated its commitment to support innovations in the workplace that support work/life effectiveness. The Agency's Automated Directives System Chapter 405 outlines the telework policy.

2003 Customer Service Standards—Bureau for Management
In April 2002, the Business Transformation Executive Committee (BTEC) approved the establishment of a working group to develop customer service standards for USAID/Washington. The development of customer service standards directly addressed one of Administrator Andrew Natsios' management reform principles: establish a customer service culture in our service organizations to support and facilitate smooth and efficient program delivery.

This customer service transformation project consisted of multiple phases. Phase I resulted in the development of Bureau for Management customer service standards. Phase II resulted in customer service standards for the three pillar Bureaus at the time (Democracy, Conflict, and Humanitarian Assistance; Economic Growth, Agriculture, and Trade; and Global Health). The Bureau for Management's customer service standards covered all six offices within the Bureau. The BTEC approved a performance standard for each major service offered by the offices.

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