

ATTACHMENT 4: CASE STUDIES

This attachment includes three case studies. The first covers the Workforce Resilience Task Force, an informal task force established during the Colorado Resiliency Institutionalization Project in 2019. The other two case studies cover CDOT initiatives, including the agency's resiliency policy directive and its Resiliency Working Group and Resiliency Oversight Committee.

Workforce Resilience Task Force

The Colorado Resiliency Working Group (CRWG) and Colorado Resiliency Office (CRO) selected "Building Workforce Resilience" as a pilot initiative of the Colorado Resiliency Institutionalization Project (CORIP) in fall 2018. Over the course of the project, the co-chairs of this initiative, Charlotte Olsen, Emergency Manager with the Colorado Department of Human Services, and Reed Floarea, Health and Safety Outreach Coordinator with the Colorado Department of Public Health and Environment, established the Workforce Resilience Task Force with the goal of building individual and organizational resilience across State government.

This informal group was brought together primarily as a result of the enthusiasm and efforts of the co-chairs and the passion and interests of the participants. The co-chairs relied on their pre-existing relationships across the State to find task force representatives. This involved support from both members of the CRWG and other State employees who the co-chairs knew from other existing work channels. The co-chairs recognized that some State agencies have staff dedicated to addressing issues surrounding employee well-being, whereas others depend on the passion of their employees to address these issues. As such, the co-chairs did not look for employees with particular job titles, but rather those with a particular interest in workforce resilience and employee well-being. Once participants were identified, the co-chairs sent an e-mail introducing themselves, the CORIP, the CRWG, and the overarching goals of the Building Workforce Resilience pilot initiative. This email also included a clear invitation to participate in the task force and a Doodle poll to identify a date and time for the first meeting.

The task force convened for the first time on April 22, 2019, with 14 participants representing nine different State agencies. During its first meeting, the task force discussed the intersection between individual and organizational resilience, steps for building

resilience, and mission statements that will guide the work of the task force. Future meetings of the task force will focus on building and implementing a work plan to engage State employees around the topic of resilience and implement resilience-building strategies within State agencies. Charlotte and Reed hope that the group will continue to grow organically through word of mouth.

Lessons Learned

Key lessons learned from establishing the Workforce Resilience Task Force are summarized below:

- *Start where you are.* Charlotte and Reed started the Workforce Resilience Task Force as an informal group, built around the shared interests of State employees who work on wellness-related State programs. The co-chairs plan to increase participation in the group through continued outreach and will work with their partners to determine if a group charter or other formal agreement may be needed in the future.
- *Enthusiasm goes a long way.* The CRWG identified the need for programs to improve the resiliency of the State workforce. Channeling their personal interest in this topic, Charlotte and Reed defined their goals and reached out to their networks. Through this outreach, they were able to identify needs across State government and find the people who should be at the table, who have a shared interest in workforce resiliency.
- *Use what exists.* It was clear at the first task force meeting that many State agencies are doing work related to this initiative, but there is no unifying or coordinating entity. This has resulted in piece-meal efforts across the State that could be standardized across agencies. The co-chairs support continued development of resources that already exist in various State agencies and the establishment of a coordinating entity to improve available resources.



Initial meeting of the Workforce Resilience Task Force on April 22, 2019

Questions?

For more information about the Workforce Resiliency Task Force or to learn how to get involved, contact Charlotte Olsen at charlotte.olsen@state.co.us or 303.866.3482 or Reed Floarea at reed.floarea@state.co.us or 303.692.2643.

Colorado Department of Transportation Resiliency Working Group and Resiliency Oversight Committee

The Colorado Department of Transportation (CDOT) has established two groups to guide implementation of resiliency efforts within the department:

- The **CDOT Resiliency Working Group** includes staff level subject-matter experts representing a variety of programs and representatives of each of CDOT's regional offices. The working group provides expertise to help implement departmental resiliency initiatives.
- The **CDOT Resiliency Oversight Committee** includes departmental executives such as CDOT's Deputy Director, Chief Engineer, and Planning Director, who make policy decisions and oversee and provide guidance on departmental resiliency initiatives.

Both groups were formed to guide and oversee completion of CDOT's I-70 Risk and Resilience Pilot, which was completed in 2017. Lizzie Kemp, CDOT's Resiliency Program Manager, worked with the department's executive leadership to determine who should participate in each group. Both groups met multiple times over the course of the pilot project. Meetings of the Resiliency Working Group, in particular, were structured as all-day workshops, during which participants focused on reviewing data collected for the project and developing specific work products.

Following completion of the pilot project, members of both groups indicated they wanted to stay plugged in and continue the work to implement resiliency measures into CDOT's investments and operations. It is important to note that CDOT's Resiliency Program Manager continues to serve as the convener for both groups, and the fact that CDOT has a dedicated resiliency staff position has been a key factor in the longevity of these groups. Both groups continue to meet monthly and are providing guidance on several ongoing resiliency initiatives, including:

- A project to refine the results of the I-70 Risk and Resilience Pilot into a Risk and Resiliency Standard, a manual for completing risk and resiliency assessments along different transportation corridors;
- The CDOT Resiliency Integration Project, which will recommend methods CDOT can use to integrate resiliency principles into their investments and operations;
- Proposed projects to mitigate identified risks along the I-70 corridor; and
- Identifying projects that may be funded through the Federal Emergency Management Agency's Building Resilient Infrastructure and Communities (BRIC) program, which provides pre-disaster funding for innovative large infrastructure projects that will



enable continuous operation of governments and critical businesses, protect human health and safety, or support economic recovery following a major disaster.¹

In addition, Lizzie is working with the Resiliency Working Group to develop ideas for implementing CDOT's Resiliency Policy Directive, which was adopted in 2018. These ideas will be incorporated into the Planning Branch's annual work program for funding. The Resiliency Oversight Committee may also direct Lizzie and the Resiliency Working Group to implement certain actions under the policy directive.

Lessons Learned

Key lessons learned from establishing the Resiliency Working Group and Resiliency Oversight Committee are summarized below.

- *Invite broad participation.* Staff in CDOT's regional offices sometimes feel as though they are left out of planning processes at CDOT's headquarters. For the I-70 Risk and Resilience Pilot, Lizzie worked with CDOT's executive team to deliberately include representation from every regional office as well as specialty units to foster group consensus and a feeling of ownership in the project. This approach also provided a foundation to establish resiliency champions at each of the regional offices. Lizzie is continuing to broaden participation in the working group by inviting additional units to participate and ensuring continuous participation by regional offices.
- *Executive support is key to success.* CDOT's Executive Director, other executive leadership, and policy commission have shown sustained support for the department's resiliency initiatives. This support has been a large factor in the amount of participation Lizzie has seen in the resiliency working group and the department's continued progress in implementing resiliency initiatives. In particular, support from the department's executive leadership and policy commission allowed the department to adopt its resiliency policy directive under an expedited schedule. (See the next case study for details on CDOT's resiliency policy directive.)
- *Make meetings productive.* Since completion of the I-70 Risk and Resilience Pilot, Lizzie has encountered some challenges keeping participants engaged in resiliency working group meetings. During the pilot project, working group meetings were very hands-on, full-day sessions focused on specific objectives. Following the project, meetings were shorter and focused on collecting feedback on finished materials. Lizzie plans to address this challenge by scheduling less-frequent, longer workshops that will provide more opportunities for participants to work toward specific goals.

¹ FEMA. 2019. Webinar Series 2019: Building Resilient Infrastructure and Communities. Available online: <https://www.fema.gov/drra-bric>. Accessed May 28, 2019.



Colorado Department of Transportation Resiliency Policy Directive

CDOT adopted Policy Directive 1905.0 “Building Resilience into Transportation Infrastructure and Operations” in November 2018. Development of the policy directive was inspired by conversations CDOT’s leadership and then-resiliency champion, Oana Ford, had during the Resilience Innovations Summit and Exchange (RISE) held in Denver between October 8 and 10, 2018. RISE was the first-ever transportation resilience conference in the United States and was hosted by CDOT, which presented multiple sessions on resiliency initiatives undertaken by the department since the catastrophic 2013 floods that affected much of Colorado’s Front Range.

CDOT’s executive team saw the policy directive as an opportunity to formalize the importance of resiliency at the department, legitimize future resiliency efforts, and preserve resiliency principles across administrative changes. CDOT’s executive team provided the impetus to develop and adopt the policy directive on an expedited timeframe. Typically the process of developing a policy directive takes about a year, but with executive support, CDOT was able to get the policy directive passed in 36 days. Figure 1 below shows the timeline and process for developing the policy directive.

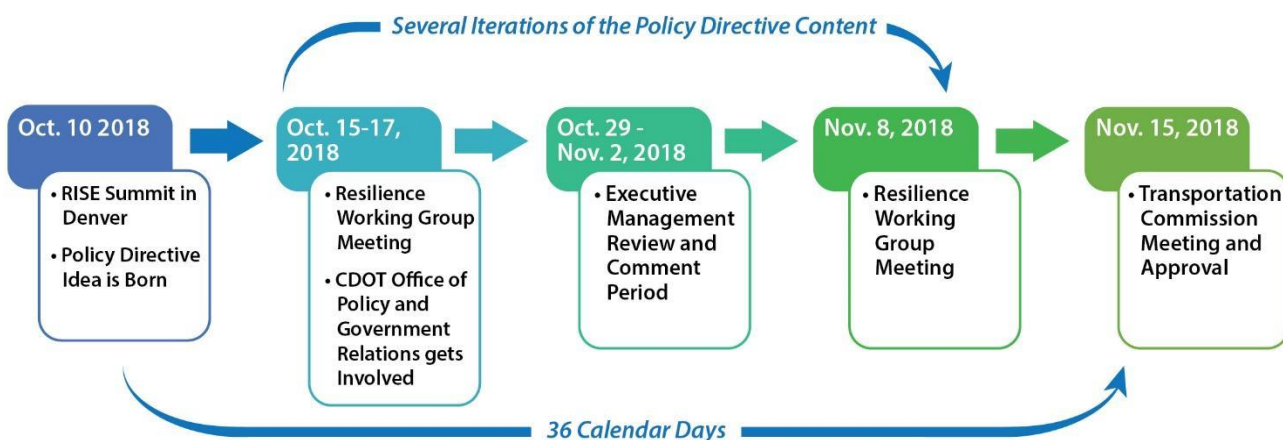


Figure 1 Development Process for the CDOT Policy Directive

The adopted policy directive is general by design. It is up to staff in CDOT’s resilience program to work on the next steps for implementation. The policy directive establishes responsibilities for the department’s Resilience Program Coordinator, including providing guidance and support to department staff in implementing resilience principles during transportation projects, directing and implementing research, and creating a knowledge base of guidance and best practices.

The full version of the policy directive is provided as Attachment 2 to Module 3 of the Colorado Resiliency Playbook.

Lessons Learned

Key lessons learned during development of the policy directive are summarized below:

- *Focus on engagement and outreach.* In the 36-day development timeframe, resilience program staff were not able to get many people at CDOT to read and comment on the policy directive. Engagement and outreach should be a focus of developing a departmental resiliency policy to generate buy-in on the policy and implementation measures. More extended vetting may be needed internally as well as with external partners who may be affected by the policy.
- *Ensure leadership provides support.* Executive support is critical to ensure a policy is adopted and implemented.
- *Seize on opportunities for change.* The CDOT resiliency program and executive team capitalized on internal momentum and support coming out of RISE to establish the new policy.
- *Know how the policy will be implemented.* Another area for improvement identified by CDOT's resiliency champion was the need for extended conversations on an implementation plan for the policy directive. While a policy may be general, implementation will be easier if roles and responsibilities and methods for incorporating resiliency principles into operations are identified before the policy is adopted.

Questions?

For more information about the CDOT resiliency policy directive, the Resiliency Working Group, or Resiliency Oversight Committee, contact Lizzie Kemp at elizabeth.kemp@state.co.us or 308.757.9629.



Integration of Resiliency Prioritization Criteria by Colorado Division of Homeland Security and Emergency Management

The Colorado Division of Homeland Security and Emergency Management (DHSEM) has started to integrate the resiliency prioritization criteria defined in the Colorado Resiliency Framework into their project scoring process. DHSEM laid the groundwork for this process by including the resiliency prioritization criteria and defining their approach to integrating the criteria into the division's review of grant applications in the State Hazard Mitigation Plan when the plan was updated between 2017 and 2018. DHSEM's approach to prioritizing projects based on the resiliency criteria was approved by the Federal Emergency Management Agency (FEMA) in 2018. Using the resiliency criteria will give DHSEM a more objective scoring methodology and that will make it easier to score projects and for applicants to understand why their project received the score that it did.

DHSEM used the resiliency criteria to prioritize proposed grant projects for the first time during the 2019 grant cycle. The division did not have time to provide the scoring criteria to applicants in advance, so one challenge was that applicants were not able to take these criteria into consideration in their applications. To help reviewers, DHSEM provided example project applications and scores that showed how an application that was not prepared with the criteria in mind might be scored.

After scoring was completed, DHSEM sent their project list, which was prioritized in part using the resiliency criteria, to FEMA. FEMA may fund projects based on DHSEM's scoring or according to their own scoring criteria.

Before the next grant cycle, DHSEM will provide the scoring criteria to applicants, so applicants can take the criteria into consideration in their applications. Applicants will not be required to write their grant applications directly in response to the resiliency criteria, but projects may score higher if they meet multiple criteria. DHSEM does not want applicants to write their applications just to obtain a higher score, however, so the division will not include the weighting of the criteria in the information sent to applicants. DHSEM expects to provide additional guidance on the resiliency criteria to applicants as questions are raised during each annual grant cycle.

Lessons Learned

Key lessons learned from establishing the Resiliency Working Group and Resiliency Oversight Committee are summarized below.

- *Tailor your approach to existing processes.* FEMA allows some leeway in how states prioritize proposed grant projects. Because of this, DHSEM was able to incorporate the resiliency criteria into their scoring process once FEMA had reviewed and approved their approach. Other agencies may be able to take a more informal approach by discussing resiliency with applicants during the pre-application phase, or agencies may need to take formal steps to change a grant application or scoring process.

- *Focus on benefits to the applicants and communities.* Integrating the resiliency criteria has multiple benefits. First, use of the criteria will encourage communities to design projects that provide multiple resiliency benefits and reward communities that do. Communication of the criteria to applicants also makes the scoring process more transparent and easier for applicants to understand.
- *Be ready to answer questions.* Anticipate and respond to questions if you are considering incorporating the resiliency criteria into a discretionary grant program. Providing example grant applications and scoring can help applicants and reviewers understand how the criteria are being applied. As you distribute any new scoring criteria or application questions, develop and distribute a Q & A as well to help guide stakeholders through changes in the application process.

Questions?

For more information about how DHSEM is using the resiliency prioritization criteria, contact Patricia Gavelda at patricia.gavelda@state.co.us or 970.247.6560, or Steve Boand at steven.boand@state.co.us or 720.852.6713.

