



# SMART MATURE RESILIENCE

## D1.1 SURVEY REPORT ON WORLDWIDE APPROACHES

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## EXECUTIVE SUMMARY

Increasing our resilience to crises and disasters is a topic of highest political concern worldwide. Cities and communities need methods and tools to prevent and manage the effects of natural hazards such as floods, storms, earthquakes, volcanoes and tsunamis as well as man-made threats such as accidents and terrorism. The aim of the Smart Mature Resilience project is to deliver a Resilience Management Guideline to support city decision-makers in developing and implementing resilience measures in their cities in order for the cities to form an emerging resilience backbone for Europe. The overall objective of WP1 is to obtain an overview of current practice in urban resilience and EU sectorial resilience approaches, to identify, synthesize and assess the main challenges and best practice of today. This will be achieved through a worldwide survey of approaches and a literature overview of state-of-the-art resilience research to synthesize and ensure common ground of concept, methods and approaches.

This report is the result of the work carried out in the first task in WP1. The report includes (1) a systematic literature review of urban resilience, (2) a review of world-wide reports and networks related to urban resilience and, (3) a city survey of approaches and challenges for our SMR partner cities. The work in this task has been aimed at a deepening our understanding of resilience in the context of cities. The report will provide a basis for the SMR project when operationalising the concept of resilience to a practical level and urban context in the perspective of overall European resilience.

Results from the work in this task show that numerous perspectives and definitions of resilience can be found in the literature. The analysis indicates that research frameworks for urban resilience are abstract and difficult to directly apply to the urban planning and decision-making process. Moreover, present models fail to account for the link between different dimensions of resilience aspects that affect cities, such as social and economic. Since the concept of resilience is general, a challenge will be to define boundaries, dimensions, and tools for urban resilience in order for the perspective to be useful for community professionals. The study also revealed structural prerequisites and problems to implement resilient cities; political and financial support are important and much of policy and the related decision-making regarding the resilience is outside the jurisdiction of the city councils. Nevertheless, in future operationalizing's of the resilience concept it is important to consider previous efforts made by organisation bodies outside research as well as including city professionals in this work.



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# 1 INTRODUCTION

Smart Mature Resilience is a multi-disciplinary research project working for more resilient cities in Europe. Researchers and cities come together to enhance cities' capacity to resist, absorb and recover from the hazardous effects of climate change. Seven partner cities are included in the SMR project, three of them will implement the Resilience Management Guideline, the other four will be engaged in the pilot implementations as peer reviewers. A Resilience Management Guideline and a set of practical tools are piloted in this core group of cities strengthening the nexus of Europe's resilient cities. Through their participation in project workshops and their peer reviewing activity, the cities will all feel ownership of the tools and the Resilience Management Guideline and become early adopters. The goal of the SMR project is to further reach out to more cities, in a first step to cities part of established networks (such as UNISDR, European members in 100 Resilient Cities of the World), and then to other European cities. This report provides a literature overview of current research on urban resilience, review reports from organisational bodies and cities worldwide on resilience implementation, and discuss current practice in five RC100 cities<sup>1</sup>.

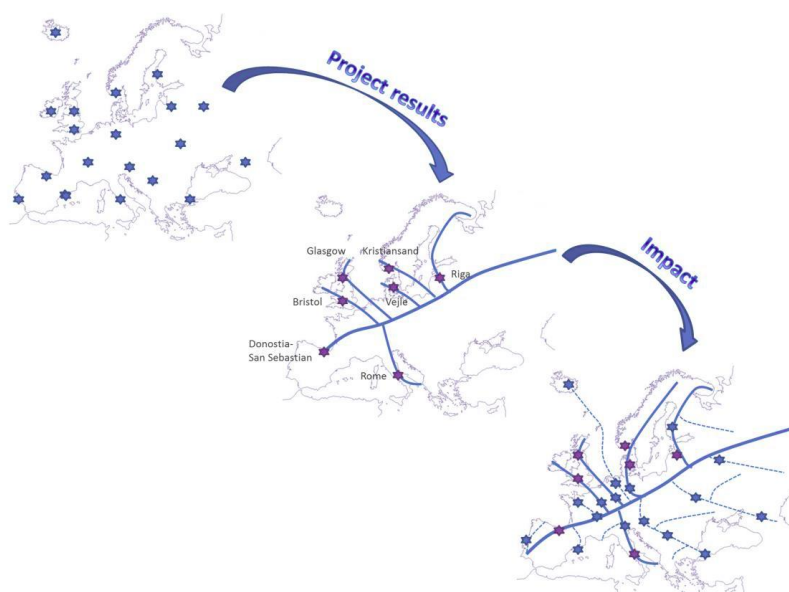


Figure 1. The emergence and growth of a resilience backbone, first as direct result and then, over time as impact of the project

<sup>1</sup> <http://www.100resilientcities.org>



## 1.1 PURPOSE AND SCOPE

The aim of this task is to conduct a survey of approaches of urban resilience to identify best practice used and challenges faced today. Drawing on previous work in the area of urban resilience we investigate the concept of resilience and related terms. The worldwide survey includes (1) a systematic literature review of urban resilience, (2) a review of reports and networks related to urban resilience and, (3) a city survey of the approaches and challenges for the SMR partner cities. The work in this task has been aimed at a deepening the understanding for resilience in the context of cities. It will further provide a basis to build in the SMR project as we work toward operationalising the concept of resilience in particular context.

## 1.2 RELATIONSHIP WITH OTHER TASKS

Figure 2 illustrates and described the information flow between WP1 to other WPs that directly benefit from outputs of the work in WP1, that is, WP2, WP3, WP4, and WP6. Each WP is depicted as a box consists of its corresponding tasks. The information usage is portrayed through arrows linking different tasks: the white arrows (A1-A4) represent the information from T1.1 to other tasks, the blue arrows (B1-B6) represent the information from T1.2 to other tasks, the gray arrows (C1-C10) represent the information, after the findings in T1.1 and T1.2 were aggregated. The light orange arrows (D1-D3) represent the information from WP2 to other WPs including WP1. In this section links of arrows A are outlined. For B and C arrows, please see D1.2 and D1.3 respectively.



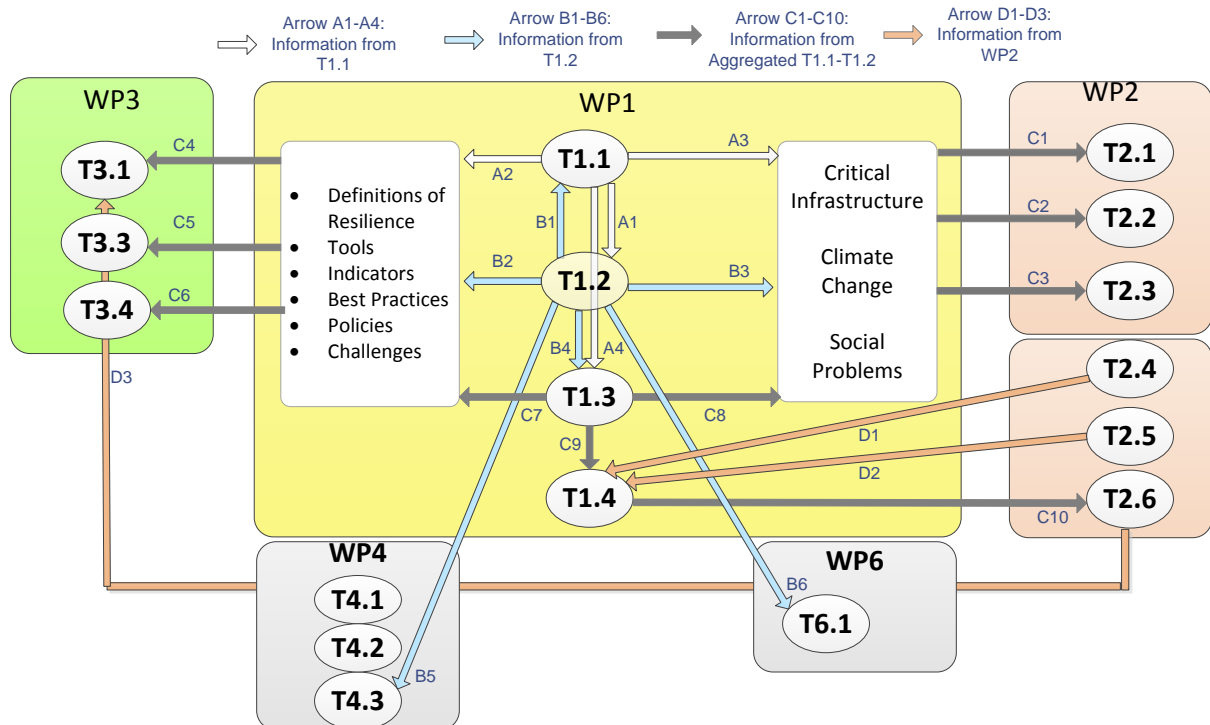


Figure 2. Workflow of WP1 and information sharing with related tasks.

The white boxes inside the WP1 show the main content of T1.1, T1.2, and T1.3. The A1-A4 relationship is explained in the D1.1 report. In this section, Focus is on information in T1.1 (A) to other Tasks and WPs. Main sources of data which are used in subsequent tasks are outlined below:

- The arrow A1 connection to T1.2 indicates T1.1 cooperation and contribution for T1.2, especially in terms of discussions and comparisons of tools, indicators, best practices, and policies.
- The arrow A2 to the white box in the left side: information on definitions of resilience, indicators, best practices and policies and challenges
- The arrow A3 to WP2: Findings on resilience perspectives and city partner survey has been used to plan and guide workshop discussions. Identification of indicators and approaches have been used for development of the Maturity model. Findings in D1.1 are still used as a repository of data as further issues are raised.



- The arrow A4 connects T1.1 and T1.2 to T1.3, which indicates the information summary flows to be used for report synthesize and further analysis.

## 1.3 STRUCTURE OF THE DOCUMENT

Chapter 2 offers an overview of the context and background resulting in the work presented in this report. In Chapter 3 the method and results of the scientific literature review in academic journals are presented. Chapter 4 similarly offers a description of method and results for the world-wide reports reviewed as part of this task. A world-wide city survey is presented in Chapter 5. The final Chapter 6 offers a discussion on the results and implications for further work in the SMR project.

## 2 CONTEXT AND BACKGROUND

Increasing our resilience to crises and disasters is a topic of highest political concern worldwide. Cities and communities need methods and tools to manage the effects of natural hazards such as floods, storms, earthquakes, volcanoes and tsunamis as well as man-made threats such as accidents and terrorism. The term resilience can be defined as a systems' ability to resist, absorb, accommodate to and recover from the effects of a hazard in a timely and efficient manner (UNISDR, 2009). Having this ability will relate to many sectors and areas of community management: its governance, infrastructure, finance, design, social and economic development, and environmental /resource management (ICLEI: Resilient Communities Program Concept, 2002). Being abstract is essential to break down and practically apply the resilience concept to different city and community security sectors. This Horizon 2020 project aims to develop a basis for a general guideline on resilience assessment and implementation to increase EU and its Member States and Associated Countries resilience to crises and disasters. The aim of the Smart Mature Resilience project is to deliver a Resilience Management Guideline to support city decision-makers in developing and implementing resilience measures in their cities in an overall European perspective. The Resilience Management Guidelines will provide a robust shield against man-made and natural hazards, enabling society to resist, absorb, accommodate to and recover from the effects of a hazard in a timely and efficient manner, including through the preservation and restoration of essential structures and functions. Moreover, a set of tools will be developed that will operationalise the resilience concept and crucial interdependent supporting structures of the Resilience Management Guidelines:

- 1) A Resilience Maturity Model defining the trajectory of an entity through measurable resilience levels;
- 2) A Systemic Risk Assessment Questionnaire that, beyond assessing the entity's risk, determines its resilience maturity level;
- 3) A portfolio of Resilience Building Policies that enable the entity's progression towards higher maturity levels;
- 4) A System Dynamics Model allowing to diagnose, monitor and explore the entity's resilience trajectory as determined by resilience building policies, and,



5) A Resilience Engagement and Communication Tool to integrate the wider public in community resilience, including public-private cooperation.

Beyond delivering the validated Resilience Management Guidelines and the five supporting tools, the SMR project establishes a European Resilience Backbone consisting of vertebrae (adopters, from fully committed through direct project participation to alerted potential adopters). The SMR project's powerful impact maximizing measures will assist the implementation of the Resilience Management Guidelines by consolidating the resilience vertebrae as mutually supporting functional units of the European Resilience Backbone. The five tools operationalising the five crucial interdependent supporting structures of the Resilience Management Guidelines will be commercialised, targeting users in Europe and beyond.

The overall objective of WP1 is to obtain an overview of current practice in urban resilience and EU sectorial resilience approaches, to identify, synthesize and assess the main challenges and best practice of today. This will be achieved through a worldwide survey of approaches and a literature overview of state-of-the-art resilience research to synthesize and ensure common ground of concept, methods and approaches.

- This deliverable targets the objectives of deepening our knowledge on how to define, develop, implement and evaluate resilience approaches in the urban context. The work presented is important for the upcoming development of an Urban Resilience Model and the above mentioned Resilience Maturity Model that will be used to defining the trajectory of an entity through measurable resilience levels.

## 3 LITERATURE REVIEW

The objective of the literature review is to gain an overview of how the concept of resilience is defined and applied in an urban context with a focus on crisis planning. The review will serve as a background to position coming research activities in the SMR projects. To this end three areas have been in focus in the review:

- (1) Definitions and related concepts
- (2) Methods and approaches
- (3) Operationalisation: considerations and challenges

### 3.1 METHOD

#### 3.1.1 RESEARCH METHODS

There are several ways to conduct a literature review, from broad to specific, depending on the goals of the review. The objective of this literature review has been to get an overview of how urban and disaster resilience is defined, discussed and applied in scientific literature today. For this purpose, a combination of review methods were used to guide the study, including a systematic literature review (Kitchenham, 2004), and a mapping study (Kitchenham, Budgen, & Pearl Brereton, 2011; Wendler, 2012). A systematic literature review aims to synthesise existing work relating to pre-defined research questions. Key features of systematic review is that a transparent research method is used with predefined strategies for how to conduct the search as well as clear inclusion/exclusion criteria (Kitchenham, 2004). A mapping study (Kitchenham et al., 2011; Wendler, 2012), on the other hand, reviews a broader topic, using high level research questions with the aim to gain an overview of literature within, for example, a particular research area. In the initial phase of this literature study the research questions were general and aimed at generating an overview of resilience in an urban context, thus applying a mapping study methodology. However, a mapping study aims to describe trends in the field and does not specifically assess the outcomes of the reviewed literature, as is done in a systematic review. Therefore, in the second part of the review the study follows a more systematic approach within pre-defined categories (see Table 2. Areas of inquiry for literature review analysis.)

### 3.1.2 SEARCH AND REVIEW PROCESS

The literature study was carried out in 4 steps, as outlined in Figure 3. The first step includes identifying the scope and research questions, which also guides the development of the initial search criteria. In a second step the initial search is carried out. As the initial criteria produced a large amount of literature, several steps were taken to narrow down the scope. In a third step identification of relevant articles from the search are carried out, and the in the fourth step the articles are reviewed in full. Each step is described in more detail below.

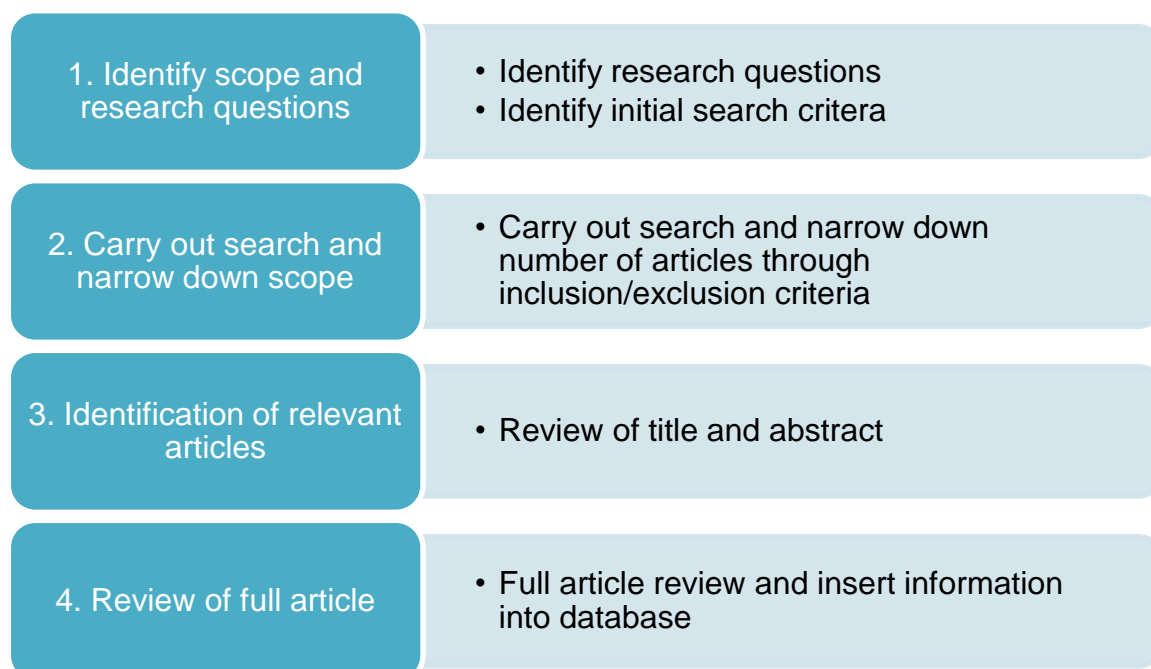


Figure 3. Literature study four-step process

### 3.1.3 IDENTIFY SCOPE AND RESEARCH QUESTIONS

The main goal of this phase was to develop a search strategy which includes (1) the identification of research questions and (2) defines the scope of the search (inclusion/exclusion criteria). Further, in this step, a spreadsheet was set-up and categories that would guide the work of extracting data from the articles identified. The information gathered in the spreadsheet was used for analysis of the literature and will serve as a catalogue of information for upcoming work in the SMR project. The categories are presented in section 3.1.6.



The objective of the literature review was to get an overview of how urban and disaster resilience is defined, discussed and applied in scientific literature today to inform the development of the maturity model and tools in the SMR project. The following overarching questions were formulated:

- How is resilience defined in literature on urban and disaster resilience?
- Which concepts, approaches, tools, indicators and methods for resilience can be found in literature on urban and disaster resilience?
- What are challenges identified in the literature of urban and disaster resilience?

To keep the search broad in a first instance to map out the territory and gain an overview of literature within the area of urban and disaster resilience the search words selected were *urban resilien\** and *disaster resilien\**. Scopus database was used as it is the most widespread databases and largest searchable citation and abstract source on different scientific fields (Guz & Rushchitsky, 2009). The scope of the search includes peer-reviewed journal articles published between 1990 until present (Dec 2015). The time span (from 1990 to present) was selected to give an understanding for how the concept of resilience has evolved over time. The search was carried out within the subject areas of Physical Science and Social Sciences & Humanities (thus excluding Life Science and Health Science). Only peer-reviewed articles were included. This initial search generated 2993 hits next steps were used to further narrow down the scope and include only the most relevant subject areas.

### 3.1.4 CARRY OUT SEARCH AND NARROW DOWN THE SCOPE

Based on a scanning of articles within the subject areas several areas were excluded from the search to further narrow down the scope. The selection was made based on project relevance. Excluded areas include: Agriculture, Arts and humanities, Chemical Engineering, Computer Science, Life Science, Health Science, Medicine, Health Professions, Immunology and Microbiology, Mathematics, Multidisciplinary, Physics and Astronomy, Nursing, Biochemistry, Material Science, Neurology, Pharmaceuticals and Pharmacology, Psychology and Toxicology. The search now generated 1498 articles.

The number of articles for review was too large for the scope of the study and as a next step the articles were sorted based on articles with most citations. To keep the number of articles to a manageable amount it was decided to include articles with the most citations. The top 200 most cited articles were included for the next round. To ensure that recent publications which may not have many citations were not excluded by these criteria an additional search was conducted on the articles published within the past 2 years. A final search within the 1498 articles was conducted based on the top 200 most relevant



articles in relation to the keywords of “urban” “resilience” and “disaster”. The final search was performed to ensure that highly relevant articles that were not among the most cited or recent were considered for further review.

### 3.1.5 IDENTIFYING RELEVANT ARTICLES

The remaining articles were reviewed based on title and abstract by two researchers. Criteria for inclusion in the full review were based on the research questions and project relevance. The review was focused on resilience within safety sciences, and thus excluded articles of resilience in the areas of, for example, infrastructure networks and individual resilience (e.g., childhood trauma). Further, articles where resilience was a sub-topic or only mentioned in passing were excluded from the review. This could be, for example, research focusing on flood or earthquake vulnerability, which uses the notion of resilience without directly referring to resilience literature. A total of 119 articles were selected for full review.

### 3.1.6 FULL ARTICLE REVIEW

Categories for analysis were selected based on the SMR project objectives, “conduct a survey of approaches of urban resilience to identify best practices used and challenges faced today”. Information regarding the main areas, presented in The remaining articles were reviewed based on title and abstract by two researchers. Criteria for inclusion in the full review were based on the research questions and project relevance. The review was focused on resilience within safety sciences, and thus excluded articles of resilience in the areas of, for example, infrastructure networks and individual resilience (e.g., childhood trauma). Further, articles where resilience was a sub-topic or only mentioned in passing were excluded from the review. This could be, for example, research focusing on flood or earthquake vulnerability, which uses the notion of resilience without directly referring to resilience literature. A total of 119 articles were selected for full review.

, was extracted from the papers and summarised in google forms. The information was collected in a spread sheet where each row represented an article and each column the topics shown in the right side of Table 2. The spread sheet was used as a tool to make cross-article comparisons and analysis.

**Table 1. Review procedure**

Procedure step	Search description and criteria	Search results
Step 1	Database: Scopus, Keywords: “urban resilien*” OR “disaster resilien*”,	2993



<b>Identify scope and research questions</b>	<p><b>Search in:</b> Title, Abstract &amp; Keywords  <b>Type:</b> Journal article  <b>Year:</b> 1990 to present</p> <p><b>Subject area limitations:</b> Physical Science and Social Sciences &amp; Humanities</p> <p>Research questions:</p> <ul style="list-style-type: none"> <li>• How is resilience used and defined in literature on urban and disaster resilience?</li> <li>• Which concepts, approaches, tools, indicators and methods for resilience can be found in literature on urban and disaster resilience?</li> <li>• What are challenges identified in the literature of urban and disaster resilience?</li> </ul>	
<b>Step 2</b> <b>Carry out search and narrow down scope</b>	Search narrowed down through inclusion/exclusion of subject area, peer-community acceptance (i.e. citations) and recency.	1498 (narrowed down to 600)
<b>Step 3</b> <b>Identification of relevant articles</b>	Review of title and abstract performed by two persons. Results are compared and articles selected.	119
<b>Step 4</b> <b>Full article review</b>	Review of full article and insert information into Google forms	119

Table 2. Areas of inquiry for literature review analysis.

Area of inquiry	Topics
Bibliographic information	Title Author

	Name of journal
	Year published
	Keyword
<b>Research question and key points of inquiry</b>	Research questions
	Key point summary
	Method (e.g., case study, literature review)
<b>Resilience definition(s) and problem area</b>	Resilience definition(s)
	Reference of resilience definition
	Problem areas (e.g., urban, societal, economic, natural hazard)
<b>Related concepts</b>	Concepts central to the article (e.g., vulnerability, sustainability)
<b>Application of resilience</b>	Methods/approaches for resilience
	Implementations/evaluations for resilience
	Resilience indicators/metrics
	Best practices/policies/guidelines for resilience
	Challenges for resilience
<b>Relevance and further references</b>	Rating system or relevance to the project
	Identification of key references
	Any other comments

## 3.2 RESULTS

This section presents an analysis of the data gathered based on the “areas of inquiry” (Table 2). The section should be seen as an overview and the catalogue database can be used throughout the project to make searches for more specific tasks. First, a section on background information on the selected articles is provided.

### 3.2.1 BACKGROUND INFORMATION ON THE SELECTED ARTICLES

#### Publication year

The literature search reflects the exponential increase in popularity of the topic of resilience (Figure 5). Prior to 1990 there are practically no articles on the topic of urban and disaster resilience in the Scopus

search. Prior to 2000 there are a few, and after 2005 there is a steady increase. The 119 analysed articles were published between 1997 and 2015. The number of articles from each year is depicted in Figure 5. Just as the general trend of a steady increase in resilience literature, 95 % of the selected articles were published after 2006 and 45 % were published between 2013-2015.

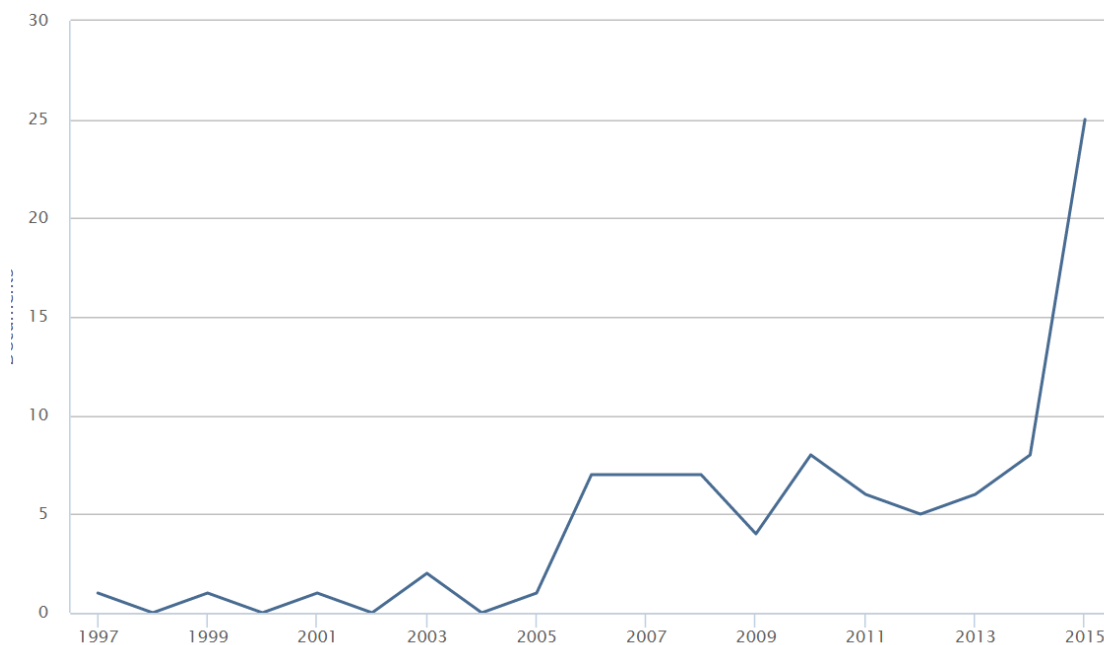
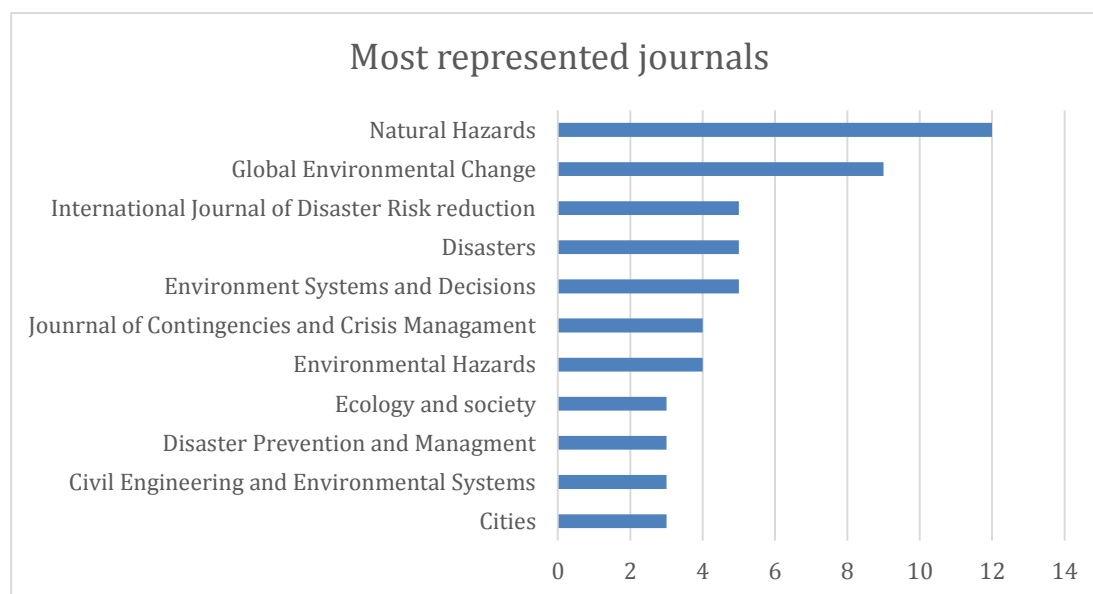


Figure 5. Number of resulting papers from the selected articles for review

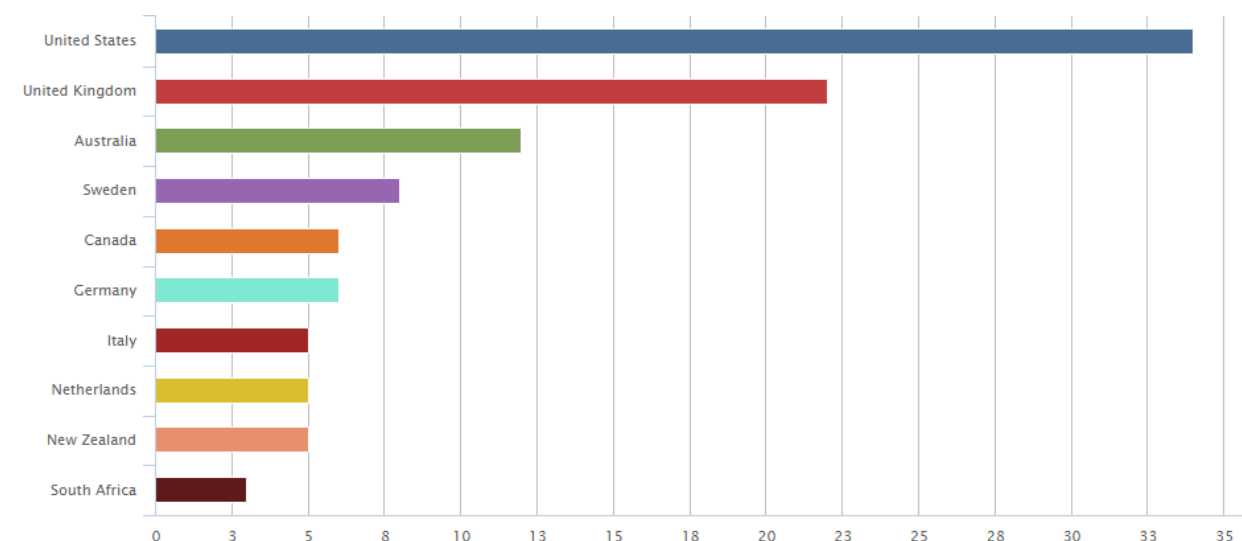
### Top subject areas journals

The top areas for the search were Environmental science (54%), Social sciences (50%), and Earth and Planetary Science (23%), Business, Management and Accounting (14 %) and Engineering (9 %). Results show that articles are most represented in the categories of environmental and social science, in many cases at the cross-road of the two subject areas. Table 3 represents the top journals represented in the search and includes all journals that had more than 2 articles.

**Table 3. Most represented journals**

## Geographical location

Table 4 presents the geographical location of the authors of the articles. The top 10 countries are mainly in Europe and North America, but also including South Africa. The Table shows the countries with 3 or more articles. Another 17 countries across Europe, Asia and South America are further represented in the selection of articles for the review.

**Table 4. Geographical location of reviewed articles**



The analysis of article selection shows that a majority of the selected articles were in the social and environmental sciences, or at the cross-point between them. This result is in line with the D1.1 and SMR goals to review definitions, concepts, approaches and methods for developing management guidelines for cities. Engineering articles within the urban and disaster resilience literature are more focused on resilient (robust) building and other constructions. Although this is of importance for overall city resilience, it is not within the scope of the SMR study. Studies from all continents were represented in the literature, although heavily biased toward North America and Europe. A possible reason for this may be that a lot of the most influential work comes from these areas.

### 3.2.2 RESILIENCE BACKGROUND AND VIEWPOINTS

The concept of resilience was first introduced into systems theory through the work done by Holling (1973) in the field of ecology. While the field had previously viewed ecological systems as having a single stable state, or equilibrium, Holling instead posited that nature consisted of several stable states, and that the system could alternate between these stable states (Walker & Cooper, 2011). Since then the concept has steadily grown in and reached popularity in a variety of fields, such as economics, political science, psychology, disaster and safety science. Although the disciplines may seem far apart they all have some fundamental aspects and challenges in common. First of all, they all are systems with intricate dependencies and interconnectivities within and between the systems and subsystems, making them vulnerable to unforeseen events and disasters. Further, they are all subjected to an abundance of factors and interests affecting them, ranging from profits and power to environmental issues and resources. The joint challenge is to understand what makes some systems or system parts break down, where others manage to sustain basic functioning, that is, what makes them resilient.

Resilience may be seen as a natural development as the complexity and interconnectedness of society grows. It suggests that systems and system parts cannot be understood and analysed in isolation from the bigger picture. There is an acceptance that human ability to foresee and prepare for all possible future events is limited, that surprises will come, and that errors will be made. The aim is therefore to ensure that systems are capable of adapting enough to withstand disruptions and sustain functioning (Zolli & Healy, 2012).

The definition of resilience may vary depending on which field of research one is coming from. For example, in crisis management it generally refers to the ability and speed to which critical systems can sustain operation and be restored following an event (Manyena, 2006). In the field of disaster management resilience has become an important concept in the past decade (Lei, Wang, Yue, Zhou, & Yin, 2014). The interest in this field beyond the scientific community can further be shown in the UNISDR



(United Nations International Strategy for Disaster Reduction) proposed framework that aim to increase community resilience by reducing vulnerabilities: “Hyogo Framework for Action 2005-2015 (HFA): Building the Resilience of Nations and Communities to Disasters”. This document has since been updated for the period 2015-2030 in the Sendai Framework for Disaster Risk Reduction (UNISDR, 2015). The following section expands on the concepts and definitions found within the literature review.

### Resilience from three perspectives

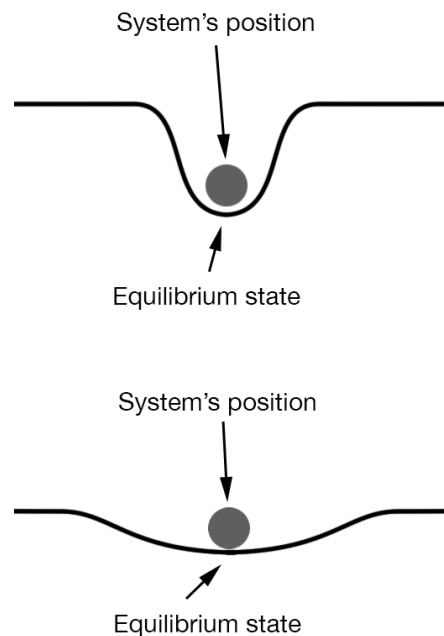
Due of the multidisciplinary nature of resilience there have always been several interpretations of the term. Folke (2006) reviewed the literature and found that there were three major branches: single equilibrium, multi equilibrium and adaptive cycles. Pendall, Foster, & Cowell (2010) echo these classifications and Simmie & Martin (2010) write about the same classifications, although their starting point is from an economic perspective.

Aldunce, Beilin, Handmer, & Howden (2014) also found three “storylines” that, at least on a higher level of abstraction, map to these three perspectives. The storylines they found were: “Mechanistic/Technocratic”, “Community based”, and “Sustainability”. They note that the first “reflects an engineered approach to resilience” similar to the single equilibrium model. The second has its roots in psychology and social resilience and focuses on the actors within the community. The sustainable view corresponds with Folke and Holling’s ecological view with a focus on system properties and how the system changes over time.

### Single equilibrium and bouncing back

The single equilibrium model has become the most common within what is often called resilience in the areas of networks and built infrastructure. In the simplest of terms, an engineered system is more often than not under a high degree of control and tends to operate at or near an equilibrium point (see Figure 1 for illustration). Most perturbations to the system will lie within an accepted margin of performance; this is sometimes referred to as the *robustness* of the system (Bruneau et al., 2003). When a disturbance has occurred, the system attempts to return to the state it was at before the disturbance occurred, rather than a new state. This is referred to as the system’s ability to *bounce back*. In the rare occasions that the system is pushed outside of these acceptable limits, the focus is on returning to normal operating function within the margin of the system as quickly as possible. The time this takes is the *rapidity* of the system. This goal can be accomplished in, primarily, two different manners. A system can have built-in *redundancies* which allows it to draw from secondary components in order to still fulfill its primary function when its primary components have been impeded by the disturbance. The system may also be

*resourceful*, in that it has a capacity to modify itself for a possible situation (ibid.). This can be done by prioritising or using different resources, e.g. monetary or human, to compensate for the disturbance.

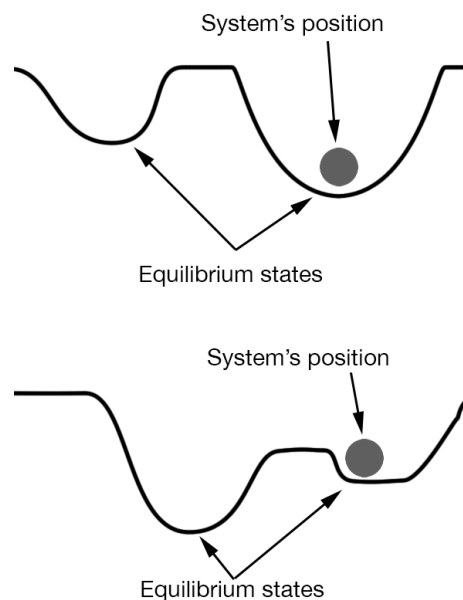


**Figure 1. The top illustration shows a highly stable system, where the possibility of leaving the equilibrium point is difficult due to the high level of force that is needed to climb the hills. The bottom illustration, on the other hand, shows a system that that requires less force to be moved out of the equilibrium valley and is therefore less resilient.**

Underlying concepts have been expanded to include scenarios with multiple events and cascading effects (Zobel & Khansa, 2014). Walker & Westley (2011), although not strictly within the engineering tradition, have advanced the idea of a post disaster time threshold. If recovery is not achieved within a specified time, there is increasing risk that negative impacts, such as cascading effects will occur. For example, if electricity is out for more than a certain amount of hours the batteries in cellular towers will lose power and thus, the communication will be affected. Hagen, Tzanetakis & Watson (2015) have also identified six different types of cascading effects: the disruption of pre-existing relations of information, organisation, and supply, disturbance relations, pre- disaster conditions, and the malfunctioning of legal and regulatory relations. The cascading effects may push the system further out from the equilibrium, thus affecting the rapidity of the system. They note that cascading effects can have its roots both in the events of the disaster and in the pre-existing structure. When planning for resilience one should therefore attempt to take these potential cascading effects into account.

## Multiple equilibriums and bouncing forward

The single equilibrium model is an accurate description for certain areas of research, most notably engineering and infrastructure, where the system either performs its function or not. However, a complete model of society would be lacking if it relied entirely on a single equilibrium model. Similar to the single equilibrium model these systems are also modeled on their robustness, rapidity, etc. Should these systems be pushed out of their equilibriums they may fall, or strive, towards other points of equilibrium (see Figure 2). In this conception of resilience it may not be desirable to return to the pre-disaster state since you will then reproduce the same vulnerabilities. It might not even be possible to return to a previous equilibrium point. The idea is instead to “bounce forward”, in an effort to rid the system of the non-essential parts and to reinvent itself (Malalgoda, Amaratunga & Haigh, 2014).



**Figure 2. The top illustration shows a system in a resilient state within a multi equilibrium model. The bottom illustration shows a less stable equilibrium point. The second system requires less force in order to be pushed out of its state. However, if it manages to push itself, through the expenditure of capital, into the deeper valley next to it then it will be in a more stable state.**

A system’s history also affects its possible future states. While a system moves across a plane, bouncing from equilibrium to equilibrium the decisions made at each bounce influences where it may end up. Pendall et al. (2010), describe “lock-ins” that a system may fall into. Adopting a certain standard may for example lead to much of the infrastructure depending on that particular standard. The system can then not shift to a new standard without considerable cost for adapting to the rest of the infrastructure. The system is therefore locked-in to that particular standard.



## Adaptive cycles

Holling later expanded the multiple equilibrium model into the adaptive cycle model (Walker & Cooper, 2011). In this conception, the equilibriums themselves are not interesting; rather it is the processes that shape the change in the system that is under investigation. A system moves through four phases of (1) exploitation and rapid growth, (2) consolidation and conservation, (3) release, and (4) reorganisation, see Figure 3. During the first phase systems gain capital, or resources. During the second phase the methods of acquiring capital is entrenched until an event occurs that causes the release of capital and in the last stage, subsequent reorganisation of the system happens (Pendall et al., 2010).

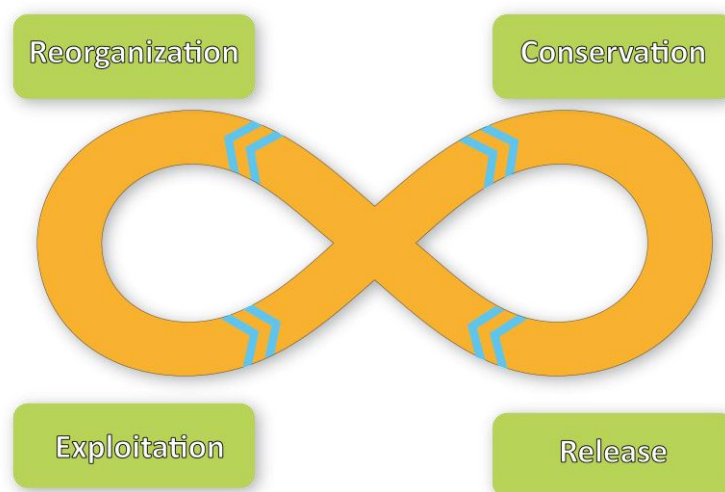


Figure 3. The four stages of the Adaptive Cycle Model, adapted from Holling (2001).

A socio-ecological system described by adaptive cycles can no longer be thought of as having any stability since it is in constant change (Desouza & Flanery, 2013a; Folke, 2006). The relevant aspect is instead how the system acquires capital and how it can exchange its capital for the resources needed for continued existence or growth.

Capital is critical for a system to renew itself after a crisis (Gunderson, 2010). Capital is not necessarily financial capital, but can also include social capital (Gunderson, 2010; Masten & Obradovic, 2008), political capital (Restemeyer, Woltjer, & van den Brink, 2013), human and knowledge capital (Simmie & Martin, 2010), and natural capital such as trees or fertile soils (Gunderson, 2010). Capital in this sense is anything that can be traded for something else, for example, high social capital can be traded for a well-paying job that returns higher financial capital.

All parts of the system go through adaptive cycles. These adaptive cycles are nested within larger cycles. The nested cycles push for change and restructuring of the larger cycles and the larger cycles provide restrictions and also stability for the nested cycles (Pendall et al., 2010).

The imagined systems are vast and interconnected in complex ways which makes modelling them an almost impossible task. Even if they were possible to be modeled, the models would have very little predictive power because of the huge number of influences that exist. It also removes all human agency or even the possibility to work towards a goal. Human decisions often expect a linear answer from a non-linear system (Pendall et al., 2010).

### 3.2.3 DEFINITIONS OF RESILIENCE

The definitions used in the reviewed articles have been categorised into three groups (Table 5. Definitions categories). The first group includes the definition of authors that have expressed a definition of resilience used in the research. The second group are named the “exploratory” group. In this group resilience or aspects of resilience are discussed and attempts made to clarify the concept of resilience, however, no distinct definition is provided. Similarly, the third group do not apply a specific definition. This group generally discuss different definitions of resilience in the introduction, underlining the disparate use of the concept.

**Table 5. Definitions categories**

Definition used in article	Count
Explicit definition	62
Exploring definitions	29
Non-specific definition	26

#### Explicit definitions

An analysis of the definitions in the first group can be found in Table 6 and 7. The definitions have been categorised and described according to four different areas: (1) dimensions, (2) temporal aspects (3) characterisations (4) behaviours. Table 6 shows an overview of all definitions and Table 7 offers comparison of definitions in different dimensions (see Table R).

The *dimension* refers to the field of resilience in question, largely based on the research areas of the authors. Fields include e.g. disaster resilience, community resilience, socio-ecological resilience and system resilience. The *temporal aspects* identify if resilience is described as something that occurs before, during, or after an event. The *characterisations* include a description of resilience as a property,



process, capability, ability, capacity, or characteristics. The fourth group depicts the resilient behaviour when experiencing a disruptive event, that is, if it absorbs, adapts, recovers, or self-organizes. As several terms often are used interchangeably for all groups, they have been clustered into categories (Table 6. Categories clusters).

**Table 6. Categories clusters**

Category	Contains
Community	Community, City, Urban, Society
Disasters	Disasters, Crisis, Natural hazards
Socio-ecological	Ecological, social, social and ecological
Other	Governance, Infrastructure, Organisation, Resilience Engineering
Adapt	Accommodate to, Transform, Reorganize, Change
Absorb	Maintain function, Resist, Mitigate, Respond to, Cope
Recover	Re-establish, Bounce back, Regenerate, Rebound, Spring back

## SURVEY REPORT ON WORLDWIDE APPROACHES



Table 7. Analysis of Resilience definitions (general)

		Characteristics						Temporal aspects			Behaviours			
	No. of articles	Property	Process	Characteristics	Capability	Ability	Capacity	Before	During	After	Adapt	Absorb	Recover	Self-organizing
Total	62	5%	3%	2%	3%	40%	35%	29%	77%	77%	74%	77%	71%	6%

## SURVEY REPORT ON WORLDWIDE APPROACHES



Table 8. Analysis of resilience definitions (clustered dimensions)

		Characteristics						Temporal aspects			Behaviours			
Resilience Dimensions	No. of articles	Property	Process	Characteristics	Capability	Ability	Capacity	Before	During	After	Adapt	Absorb	Recover	Self-organizing
Disaster	18	0%	0%	6%	6%	50%	28%	44%	83%	83%	72%	78%	89%	0%
Community	19	0%	5%	0%	0%	35%	30%	35%	70%	80%	90%	75%	75%	5%
System (general)	11	18%	0%	0%	9%	27%	55%	0%	91%	82%	64%	100%	64%	9%
Socio-Ecological	5	0%	0%	0%	0%	40%	60%	0%	100%	100%	100%	100%	60%	40%
Economic	3	0%	33%	0%	0%	67%	0%	0%	67%	33%	33%	67%	0%	0%

## MOST COMMON BEHAVIOURS IN RESILIENCE DEFINITIONS

- ✓ Absorb shocks
- ✓ Ability to adapt
- ✓ Ability to recover or "bounce-back"

The most common behavior used to describe resilience was the ability to absorb the impact of the event (Table 7). For example, Berkes (2007) definition reflects an understanding of resilience as an ability to resist outside forces: *"...the capacity of a system to absorb recurrent disturbances, such as natural disasters, so as to retain essential structures, processes and feedbacks"* (ibid., p. 284).

The second most common notion was the ability to adapt. While many of the definitions use a passive notion of resilience, the system reacts to some event; the definitions that also included adaption often stressed the need for a more active role of the policymakers or the system as a whole to shape its own future. Manyena (2006) similarly brings a focus on adaptation and learning to the forefront: *"The argument presented in this paper suggests that disaster resilience could be viewed as the intrinsic capacity of a system, community or society predisposed to a shock or stress to adapt and survive by changing its non-essential attributes and rebuilding itself"* (ibid., p. 443).

The third most used concept was the system's ability to recover or bounce back to the pre-disaster state. An example can be seen in Zhou et al. (2010, p. 28), where they state that *"disaster resilience can be defined as the capacity of hazard-affected bodies (HABs) to resist loss during disaster and to regenerate and reorganize after disaster in a specific area in a given period"*.

Table 8 shows that the most common dimensions in the literature are disaster and community resilience, making the dimensions difficult to compare. Also important to note is that many, but not all, definitions in the community dimension incorporates theory from socio-ecological systems. These influences are not visible at the level of the definitions but can be seen referenced in the broader discussion or the research paper. However, definition of community and socio-ecological offer valuable differences as the subject matter of the latter is often broader and more abstract. Socio-ecological definitions tend to be more focused on the interplay between people and environment while the definitions in the community dimensions focus more heavily on social aspects.

### *Temporal aspects*



Resilience is most often described as something that occurs during and event and after an event (both of which are 77%). An exception being the Economic dimension where only 33% describe resilience as something happening after an event (note small sample). Only in 29 % of the definitions refer to resilience as something occurring before an event. Further, it is only in the dimensions of Disaster and Community resilience (44% and 35%, respectively) that it is found. This can be contrasted to System, Socio-Ecological, and Economic (0%, 0%, 0%).

### *Characterisations*

Most popular are descriptions of resilience as an Ability or Capacity (40% and 35%, respectively). Resilience as a Property of the system was only found in the Systems dimension, where it was mentioned in 18% of the definitions. Only two definitions, one in the community dimension and one in the economic dimension described resilience as a Process. Two definitions in the disaster dimension and seven definitions in the community dimension do not describe the character of resilience.

### *Behaviours*

Disaster and Community have a larger focus on recovering after an event compared to general systems and socio-ecological systems (89% and 75% vs 64% and 60%, respectively). Community and socio-ecological both included aspects of adaption in their definitions (90% and 100%) while Disaster and general Systems tended toward a lower degree (74% and 64%). This may be viewed as an indication of the heavy influence socio-ecological thinking has had on the community dimension. Self-organising was most frequent in Socio-ecological definitions, although this trend should be viewed with caution due to low sample size.

Although there are rather small samples in this category, more pragmatic and applied dimensions such as Disaster and Community resilience see resilience as something to be prepared before an event (44% and 35%, respectively) compared to more abstract dimensions such as systems and socio-ecological systems where the number is 0%.

## **Exploratory articles**

The exploratory articles aim either to have a discussion on specific aspects of resilience or to synthesize various branches of resilience. The literature can broadly be grouped together based on the methods used by the authors to synthesize the definitions. The identified groups are: Synthesis, Bottom-up, Historical, Political, Knowledge production, Sustainability, Vulnerability. For a full table, see Annex 3. Resilience definitions - Exploratory



Several syntheses are made of definitions from one or more fields into a common framework (Berkes, 2007; Chelleri, Waters, Olazabal, & Minucci, 2015; Masten & Obradovic, 2008; Miles, 2015; Weichselgartner & Kelman, 2015; Zobel, 2011). For example: Chelleri et al., (2015) aims to synthesise definitions for sustainability and disaster management. Historical origins and contexts of resilience are explored by Amico & Currà, (2014), Folke, (2006) and Pendall et al., (2010). In the Political grouping Fainstein, (2015) and Walker & Cooper, (2011) criticise resilience from a political perspective by pointing out neoliberal ideologies inherent in the concept. Bottom-up processes are used in four of the articles, where attempts are made to clarify how practitioners in the field view resilience (Aldunce et al., 2014; Aldunce, Beilin, Howden, & Handmer, 2015; Campanella, 2006; Weichselgartner & Kasperson, 2010). Knowledge production and what can be considered as valid knowledge is examined by two authors. They examine how generalizable solutions are as they are often studied in a specific context (Evans, 2011; Vogel, Moser, Kasperson, & Dabelko, 2007). Resilience and Vulnerability is the main concern for some authors (Baker, 2009; Birkmann et al., 2013; Füssel, 2007). The remainder of the papers in the exploratory group fit either into several categories, or none. Fuchs (2009), for example could fit into the historical group, the synthesising group and the vulnerability group.

### No specific definitions

The non-specific group do not offer a specific definition of resilience. Most of the authors produce a discussion on different viewpoints of resilience and what they believe are relevant aspects of the term. These discussions, however, do not express the use of a particular definition. The reason for this could be that the authors are aware of the fuzzy, and sometimes conflicting, definitions of resilience and expect their audience to have an implicit sense of what the concept entails. For some it might also be that a clear definition is less relevant to their goal, which might be more pragmatic and applied. One thing to note is that this group contains a big proportion of national and international organisations and that they are often concerned with sustainability.

### 3.2.4 RELATED CONCEPTS

The two concepts, *vulnerability* and *sustainability*, are often used in conjunction with resilience. In the following paragraphs these two concepts will be discussed in relation to resilience.

#### Vulnerability

This term has, like resilience, been criticized for being vague (Adger, 2006). However, it is more concretely defined and often used as a proxy for resilience, especially by those who come from the engineering perspective. Some scholars consider vulnerability the opposite of resilience (e.g. Berkess,





2007; Chelleri, Waters, Olazabal, & Minucci, 2015; Cimellaro, Reinhorn, & Bruneau, 2010; Fuchs, 2009; Smit & Wandel, 2006). Here, resilience and vulnerability are two opposite ends of the same axis. If a system is high in vulnerability it is also low in resilience and if its vulnerability is low then its resilience is high.

There are several definitions of vulnerability. Most widely cited is the definition by Adger (2006), who views vulnerability and resilience as linked concepts where vulnerability is the inherent risk for damage to a system (or part of a system), described by the equation:

$$\text{vulnerability} = \text{probability} * \text{sensitivity}$$

There are however those who conceive of vulnerability and resilience as two separate concepts. A system, from this point of view, may for example both be very vulnerable while still maintaining a high resilience. Manyena (2006), found two different streams of ideas in the literature: one stream views vulnerability as the opposite of resilience as in two sides of the same scale. The other stream sees them as two discrete phenomena. In the second definition, they point out that the elements vulnerability tends to focus on engineering and environmental sciences while the major elements in resilience tend to be in the medical or social sciences. A case study from Keogh, Apan, Mushtaq, King, & Thomas (2011) echoes this distinction. The researchers did a case study on an Australian community that frequently experienced flooding. In vulnerability literature recommendations for resilience were more concerned with people than buildings since their concerns were “Promoting resident responsibility to prepare for floods” and “Getting additional professionals to help with overtime”.

### Sustainability

Sustainability and resilience are, like vulnerability, intertwined. The most common (Rodriguez-Nikl, 2015) definition of sustainability comes from the Brundtland-report and states that sustainability is:

*“Meeting the needs of the present without compromising the ability of future generations to meet their own needs”* (World Commission on Environment and Development, 1987). Another opinion states that resilience is necessary but not sufficient for sustainability (Rodriguez-Nikl, 2015). Therefore, in order to achieve sustainable cities, one also needs to create resilient cities.

In sustainability, there has been a focus on the long term effects of behaviors. Sustainability recognises that small every day behaviors and events affect the future when aggregated. In contrast, the focus on resilience, perhaps from its popularity in the disaster and natural hazards literature, has been the big events and shorter time periods. Rodriguez-Nikl (2015), notes that infrastructures like buildings are often



evaluated for their sustainability level while societies and communities are evaluated for their resilience level. Sustainability assessments usually concern what they label as “ordinary events” while resilience mostly deals with extraordinary catastrophes.

This effect has led some researchers to theorise if the rise of resilience over sustainability is due to the attractiveness of adapting the current systems instead of the much more radical alternative of transforming them (Pizzo, 2015).

In this chapter, we have described the definitions found in our literature review. While most papers use their own definition, they can still be classified by their theoretical model. Some of the definitions see resilience as being able to bounce back to a previous state while others emphasise the ability to change and adapt. Resilience is entangled with other closely related concepts as vulnerability and sustainability; some see these concepts as distinct from resilience while others see them as different sides of the same coin.

### 3.2.5 APPROACHES AND METHODS: FRAMEWORK ANALYSIS

In this section, we review the 22 resilience frameworks identified in the literature. Key elements of each framework have been analysed and a summary has been developed (see Annex 1) for the full frameworks analysis. Table 9 offers an overview of the 22 frameworks and the key feature. Below, summary of the key features, target area and application and key attributes/indicators are presented. *Key features* describe the main objective of the proposed frameworks. *Target area and application* describes the areas in which the frameworks are intended to be used and if the framework has been applied or not. *Key attributes/indicators* discuss the central concepts of the framework.

**Table 9. Framework analysis table.**

Authors	Framework	Description/Key feature
(Ainuddin & Routray, 2012)	Joint framework for community resilience	Joint framework for community resilience. Review and analysis of community resilience frameworks. Includes results from a household survey
(Berkes, 2007)	Identification of resilience aspects	Expands upon Folke's (ref) 4 factors to investigate how resilience aspects can help reduce vulnerability.

		Includes high level strategies that need to be altered to the specific context
(Birkmann et al., 2013)	The MOVE framework (Methods for Improvement of Vulnerability Assessment in Europe)	Aims to holistically assess vulnerability and resilience in response to hazards. Provides a review of previous frameworks.
(Carpenter et al., 2012)	Enabling conditions for general resilience	Focus on “general resilience” and aims to go beyond socio-ecological and includes literature on natural disasters, social vulnerability, scenario planning, and adaptive management.
(Cutter et al., 2008a)	DROP: A place-based model for community resilience	Aim to improve comparative assessments of disaster resilience at community level resilience, primarily while viewing natural hazards. Further provides models to link the concepts of resilience, adaptive capacity and vulnerability
(Cimellaro et al., 2010)	Unified reference framework	Quantitative evaluation of disaster resilience. Potential losses are measured and described.
(Desouza & Flanery, 2013b)	Resilient cities framework	Holistic approach to designing, planning, and managing for resilience by including an evaluation of cultural and process dynamics within cities and physical elements. Based on 20 case studies. Focus on flow in and out of cities. Strategies are suggested to direct the development.
(Fox-Lent, Bates, & Linkov, 2015)	Resilience Matrix (RM) framework	Minly focused on key stakeholders. Utilises local stakeholder-informed metrics aligned with the

		temporal stages of disaster resilience. Numbers must be localised to have meaning.
(Jabareen, 2013)	RCPF (the Resilient City Planning Framework)	The framework aims to fill the theoretical and practical gaps and answer questions regarding what cities and their urban communities should do in order to move towards a more resilient future state. Suggests both qualitative and quantitative measurements depending on definition of data.
(Kuhlicke, 2013)	Resilience as a capacity and a myth	Discussion on the usefulness of resilience for risk and disaster management to deal with unexpected events. Focus on how narrators construct a relationship between their experiences and their subsequent sense-making of these experiences
(McDaniels, Chang, Cole, Mikawoz, & Longstaff, 2008)	Conceptual framework for resilience in infrastructure	Conceptual framework for resilience within infrastructure systems after an extreme event. Measurements of robustness and rapidity in quantitative terms but describe their decision model in qualitative terms.
(Miles, 2015)	The WISC framework (Well-being, Identity, Social services and Capital)	Foundations of community disaster resilience. Offers 29 variables to classify each of the WISC. Focus on link between infrastructure resilience and community resilience.
(Ouyang, Dueñas-Osorio, & Min, 2012)	Three-stage resilience analysis framework	Mathematical model to measure infrastructure resilience. Does not include dynamic resources.
(Rodriguez-Nikl, 2015)	Conceptual framework of resilience and sustainability	A conceptual framework to understand the relationship between resilience and sustainability. Mathematical model to measure the health of a city.

(Restemeyer et al., 2013)	Strategy based framework	A strategy-based framework for assessing the flood resilience of cities. Identification of components to implement resilience strategies. Aims to move from definition to “doing” resilience.
(Stewart, Kolluru, & Smith, 2009)	Theoretical framework for community resilience	A framework of community resilience to understand the ability of impacted areas to effectively manage the consequences of disasters. Framework requires local identification of indicators.
(Sherrieb, Norris, & Galea, 2010)	Community resilience model	Measure adaptive capacities for Economic Development and Social Capital in the Norris et al. (2008)
(Simmie & Martin, 2010)	Adaptive cycle model	Entirely focused on economic aspects of resilience. A four-phase adaptive cycle model of regional economic resilience that follows a sequential cycle
(Singh-Peterson, Salmon, Baldwin, & Goode, 2015)	Shared resilience factors	Factors influencing the resilience of the Sunshine Coast – shared resilience among stakeholders. Attempts to identify which stakeholder has a high level of responsibility for which factor
(Somers, 2009)	Measures of latent resilience	Measure latent resilience in organisations. Focused on an organisation of a limited scale, not clear how it translates to something large
(Lei et al., 2014)	A conceptual framework of vulnerability, resilience, and adaptation	Relationships of vulnerability, resilience, and adaptation within the disaster risk domain. Focus on disaster risk (short term), may not fit other domains with longer time scales.



(Zhou et al., 2010)	The DRLRL (Disaster Resilience of "Loss-Response" of Location)	A model for a geographic perspective of resilience. Building at various spatial levels. Offers the link to the geographical area as a determining factor of resilience.
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## Key features

Most of the frameworks are broad and generic with an aim to create a more general or holistic model for urban and community resilience, linking different theoretical concepts (vulnerability, sustainability) (Birkmann et al., 2013; Lei et al., 2014), or areas of the urban environment together (e.g., social, physical and economic) (Carpenter et al., 2012; Desouza & Flanery, 2013). The gaps identified by the authors are in many cases related to the complexity of the urban context and the appreciation that resilience resides at multiple layers in multiple dimensions. To fill the identified gaps frameworks are in some cases expansions of previous definitions and models (e.g., Carpenter et al., 2012; Desouza & Flanery, 2013) or a unification of them (e.g., Ainuddin & Routray, 2012; Cimellaro et al., 2010; Lei et al., 2014). Other frameworks aim for more specific aspects such as the geographical conditions (Zhou, 2009), economic indicators (Sherrieb et al., 2010; Simmie & Martin, 2010) or the preparation for a disaster (Cutter et al., 2008b; Stewart et al., 2009). Two frameworks have expressed the aim of developing frameworks that go from conceptual to the practical "doing" resilience (Jabareen, 2013; Restemeyer et al., 2013).

In most cases the authors suggest concepts which involve qualitative assessments, but quantitative measurements are also used in four of the frameworks (Cimellaro et al., 2010; McDaniels et al., 2008; Ouyang, 2014; Rodriguez-Nikl, 2015). The latter come from an engineering background and in three out of the four frameworks they focus on building infrastructure.

In four of the included articles the authors do not offer a framework with links between different concepts and sources, but rather suggest a set of strategies on how to enhance resilience (Berkes, 2007; Cefai et al., 2014; Kuhlicke, 2013; Singh-Peterson et al., 2015; Somers, 2009).

## Target area and application

Although all frameworks are within the area of urban resilience, they also have specific focus areas. In Figure 4, the target areas have been summarised. In most cases the framework has more than one target area (e.g., economic and climate change).

The most popular area is “natural hazards/climate change”, followed by “community resilience”. Two frameworks focus primarily on economic resilience, and the other three use it as part of their model. All frameworks which include man-made hazards also have natural hazards as a focus area.

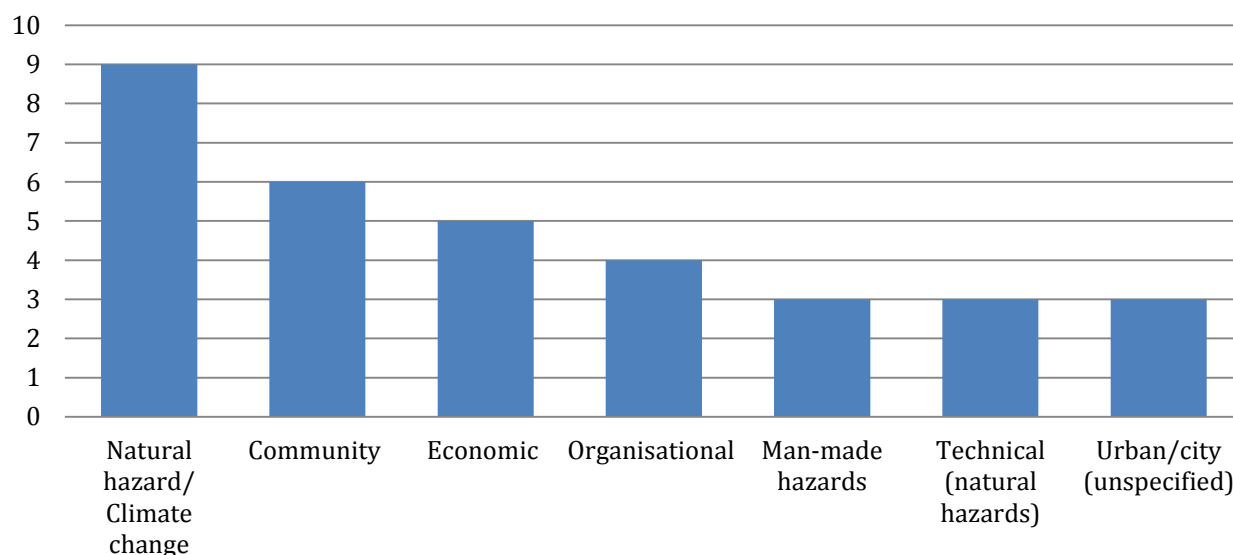


Figure 4. Focus area of the various frameworks.

Out of the 22 frameworks, 12 applied their framework to a real case, 2 offered a hypothetical illustration and discussion on the frameworks application and 8 did not apply their framework at all.

### Key attributes/indicators

There is a large variety in the attributes/indicators used in the frameworks, which reflects the lack of consensus and unification on urban resilience and its central themes. It also reflects the vast number of aspects that are important to resilience and that there are many ways to increase resilience, depending on the area of interest.

Central attributes may emanate from theoretical concepts such as, vulnerability, uncertainty, diversity and trust (e.g., Ainuddin & Routray, 2012; Carpenter et al., 2012; Cutter et al., 2008b; Jabareen, 2013; Lei et al., 2014; Restemeyer et al., 2013; Simmie & Martin, 2010), or concrete areas of the urban environment such as social, economic and geographical (e.g., Sherrieb et al., 2010; Stewart et al., 2009; Zhou et al., 2010), or a mix of the two (e.g., Birkmann et al., 2013). Other variants also exist such as reducing cities into different elements (e.g., planning, spatial, temporal, cognitive elements) (e.g., Desouza & Flanery, 2013; Fox-Lent, Bates, & Linkov, 2015). The engineering frameworks focus on capabilities to robustness, absorption and recovery (e.g., Cimellaro et al., 2010; McDaniels et al., 2008;





Ouyang et al., 2012; Rodriguez-Nikl, 2015). The strategy-oriented frameworks use a somewhat different approach and include guidelines describing particular abilities and processes required to achieve resilience (e.g. Berkes, 2007; Kuhlicke, 2013; Singh-Peterson et al., 2015; Somers, 2009).

Frameworks also vary in how the attributes/indicators are applied. Most provide a conceptual map, linking different concepts and attributes. However, many offer little guidance on how to translate the high level concepts to practical use, they only suggest that more specific indicators must be identified in the local context (e.g., Ainuddin & Routray, 2012; Stephen Carpenter et al., 2012; Cimellaro et al., 2010; Cutter et al., 2008b; Lei et al., 2014; Miles, 2015; Ouyang et al., 2012; Ouyang, 2014; Rodriguez-Nikl, 2015; Singh-Peterson et al., 2015; Stewart et al., 2009). In other frameworks a process description is given (still high level), such as multiple stages or phases (Simmie & Martin, 2010), cyclical models (e.g. Pendall et al., 2010; Walker & Cooper, 2011; Vogel, Moser, Kasperson, & Dabelko, 2007), a mapping between various dimensions or characterisations (Fox-Lent et al., 2015; McDaniels et al., 2008; Sherrieb et al., 2010; Zhou et al., 2010) or strategies to guide implementation of the concepts (Berkes, 2007; Desouza & Flanery, 2013a; Jabareen, 2013; Kuhlicke, 2013; Restemeyer et al., 2013; Somers, 2009).

### 3.2.6 FROM THEORY TO PRACTICE: CONSIDERATIONS AND CHALLENGES

Urban resilience is complex and dynamic in structure, and uncertain in nature. It is affected by a multiplicity of economic, social, spatial, and physical factors. Further, it requires the planning of a wide range of stakeholders, e.g. civil society, local and national governments, the private sector, and various professional communities. To this end, it can be expected that the phenomena of resilience is sometimes described as a “fuzzy concept”, that is, a concept where the boundaries of application can vary considerably, making it difficult to translate into operational terms (Pendall et al., 2010). A concern is that the concept may be too general and vague to be used as a guiding metaphor for making plans and policies (Pendall et al., 2010). However, a concept that can be applied to such a vast array of systems and contexts cannot at the same time offer a specified agenda, but is instead inherently “fuzzy”. The contribution of the resilience concept is that, as noted by Pendall et al. (2010, p. 72), it “offers novel ways of thinking about and understanding complex phenomena, revealing new connections between seemingly disparate conceptual phenomena”. It further provides a common ground between disciplines and policy makers to discuss important points (Pendall et al., 2010).

In this section, we introduce some of the considerations to be made and challenges faced in operationalizing resilience that have been identified in the literature.



## Defining the scope

### DEFINING THE SCOPE FOR RESILIENCE ANALYSIS

- ✓ Geographical boundaries
- ✓ Temporal boundaries
- ✓ System dimensions
- ✓ Identifying indicators and metrics

Difficulties arise when attempting to operationalise the notion of resilience, that is, going from a descriptive concept to a normative agenda. One must first define the boundaries of the region to be studied and also the multiple dimensions and parameters of time and space. Once this challenging task is performed one must

identify a course of actions and set in place strategies for implementation, monitoring and assessment. A few of these difficult tasks will be discussed below.

#### *Resilience dimensions and system boundaries*

The analyst must define meaningful boundaries and parameters of the areas to be measured. This could be, e.g. geographical and temporal boundaries (Pendall et al., 2010). One of the boundaries to be considered is the spatial boundaries (definition of space) such as the city or region to be studied. A second challenge is defining time, what are the starting and ending points? Is it long-term or short-term? At what point can we determine an areas resilience? Temporal aspects (acute vs short/long-term stresses) are a source of complexity. Planning for the short term is relatively easy, such as preventing damage from earthquakes or cut costs in certain areas (Carpenter et al., 2012). Long term resilience, on the other hand, is a much more complex concept that requires a continuous stream of both funds and research. Further, if incentives are not constructed properly, short term needs may take priority over the long-term view needed to create resilience (Carpenter et al., 2012).

Resilience is a multidisciplinary field and the analyst must therefore further define within what dimensions resilience will be investigated, and the relation between these dimensions (Jabareen, 2013). Resilience dimensions in an urban context may include, for example, social, economic, cultural, environmental, spatial and physical (Jabareen, 2013). Another challenge is further to isolate resilience (Pendall et al., 2010). For example, the effect of a natural hazard, such as Hurricane Katrina, has a massive impact on many areas, what do we include? Housing? Employment rates? Citizen's well-being?

The boundaries of the system largely define in which attributes we must focus on. Having a large difference in scale will affect not only how to plan and create policies for resilience, but also which



aspects are important to consider. A large urban area is likely to comprise a variety of different challenges that cannot be solved using the same methods. In much the same sense, a country often cannot use the same indicators and metrics to measure resilience in multiple regions or cities.

### *Monitoring and assessment*

The ability to monitor and assess the impact of changes requires the identification of what data is suitable to analyse, which, when dealing with interdependent systems such as cities and communities, can be challenging (Ahern, 2011; Teodorescu, 2015); (European Environment Agency, 2012). Zaidi & Pelling (2015), further discuss the issue of using secondary data (e.g., how well a town is doing financially) as it does not capture critical resilience aspects such as information exchange, capacity to learn and behaviour among vulnerable groups, for example, the elderly. Also, as mentioned by Adger (2006), with reference to vulnerability, manifestations are contextual, they appear at a specific place and time, and this will look differently between and within regions and varying societal sectors. Each challenge, from responding to a rapid influx of immigrants or flooding to addressing issues of prolonged economic decline, should be associated with expectations of regional performance. Pendall et al. (2010), thus note that criteria and parameters to monitor and assess must be of relative performance. To improve resilience there must be an activity agenda in place.

Larkin et al. (2015) offer a review of implemented frameworks and their assessment tool. A main finding from this study was that all the framework tools include an assessment, but do not offer any guidance on solutions to improve the community or organisational resilience. The success of implementation of policies requires both political and social capital. Just because a plan is present, it does not guarantee successful implementation and use of local managers (Zaidi & Pelling, 2015).

A way of testing resilience is by running scenarios on events that may occur in the area. Scenarios run the risk of being highly specific and can be seen as not actually testing resilience, but rather the capacity to withstand the particular event. While this is something that must be taken into consideration, scenarios may still offer valuable knowledge. In the perhaps most obvious sense, it may aid in identifying routes of communication previously not considered, or realising that the collaboration between certain institutions are not working as previously thought (e.g. Davis et al., 2015; Zobel & Khansa, 2014).

## **Central processes for resilience**

### *Collaboration between stakeholders*

Contributing to difficulties in operationalizing resilience are the challenges of interdisciplinary collaboration within and between research teams and decision makers (Ahern, 2011; Weichselgartner & Kasperson, 2010). Weichselgartner & Kasperson (2010) investigated the collaboration between scientists and decision makers through a number of

cases, finding that decision makers typically use the research-based knowledge insufficiently and researchers typically produce insufficient knowledge that is directly applicable. Problems identified include divergent objectives, needs, scope, and priorities; different institutional settings and standards, as well as differing cultural values, understandings, and mistrust (Weichselgartner & Kasperson, 2010).

### CENTRAL PROCESSES FOR RESILIENCE

- ✓ Collaboration between stakeholders
- ✓ Decision Makers/Policies
- ✓ Social engagement

#### *Decision Makers/Policies*

### DECISION MAKERS/POLICIES

- ✓ Support from political leaders
- ✓ Managing economic pressures
- ✓ Increase knowledge and awareness in all city sectors

Support from responsible agents and political leaders are critical for the success of urban resilience (Berkas, 2007; Tobin, 1999). Further, it requires cooperation between decision makers of different stakeholders (Tobin, 1999). Weichselgartner & Kasperson (2010) found that research in resilience addresses the needs of

decision makers in disaster management but less in other policy fields. The lack of knowledge about local policy makers could also be related to the fact that for many organisations adaptive and resilience plans are not embedded in the culture (Boin & McConnell, 2007; Kavanaugh, 2015), thus creating a barrier for transformation.

Political capital is another pressing issue (Boin & McConnell, 2007; Restemeyer et al., 2013), as it is the need for regulatory frameworks (Malalgoda et al., 2014) and planning and policy momentum (Restemeyer et al., 2013). Identifying an appropriate scale for planning can be tricky as it is confounded by the globalisation of economy. Multinational co-operation may take priority over the relationships between decision makers and the local level, making local community resilience increasingly vulnerable to the interest of multi-national co-operations (Tobin, 1999). Strengthening the local community also requires that the national government increases the ability of local governments (Malalgoda & Amaratunga, 2015; Djalante, Thomalla, Sinapoy, & Carnegie, 2012; Davies, 2015). Benefits of such an approach is aimed at strengthening local preparedness and response, improving the sharing of



knowledge and experiences between stakeholders and improving the capacities of the local government (Djalante et al., 2012).

Increasing knowledge and raising awareness in all city sectors is also a central issue for resilience. Knowledge sharing can be between many different parties such as politicians, local decision makers, civil society, grass root organisations, scientific community and private sector. In her essay of resilience and justice, Fainstein (2015) argues that by keeping citizens informed of a decision and the reasons behind it, the boundaries of what is politically possible are expanded. In the resilience city planning framework, Jabareen (2013) notes “urban governance” as one of the main four concepts, which requires inclusive decision making, open dialogue and collaboration between people and local stakeholders. Weichselgartner & Kaspersen (2010) focus on knowledge sharing between the scientific community and decision makers and argues that differences often result from uncertainties in the factual knowledge, and groups tend to maintain internal coherence, which is why dialogue and boundary work is necessary. Restemeyer et al. (2013) argue that consensus building and partnership practices may bring different disciplines together and allows for new design and more integrated solutions.

### *Social engagement*

Resilience in urban environments is heavily influenced by the people living in it. More vulnerable citizens make a society increasingly hazard prone (Perks, 2013; Tobin, 1999) (Perks, 2013). By changing the behavior and social practice, vulnerability may decrease, which in turn will increase resilience (Fainstein,

#### SOCIAL ENGAGEMENT

- ✓ Social inequalities increases vulnerabilities
- ✓ Well-informed citizens with self-protective abilities

2015; Harman, Taylor, & Lane, 2015; Jabareen, 2013; Restemeyer et al., 2013; Somers, 2009; Zaidi & Pelling, 2015). Social inequalities, in turn, lead to increased vulnerabilities, thus affecting the resilience of a community (Tobin, 1999; Zaidi & Pelling, 2015). Having well-informed citizens and by promoting self-protective behavior, a community could also limit its vulnerability, as well as free up valuable resources during a crisis (Keogh et al., 2011; Restemeyer et al., 2013; Somers, 2009). For example, involving community professionals, e.g. doctors, nurses and social workers, during a heat wave may serve to reduce public exposure (Zaidi & Pelling, 2015). Involving local stakeholders also has the benefit of building trust in a community and identifying local needs, which in turn may increase the resilience of said community (Harman et al., 2015; Restemeyer et al., 2013). Additionally, Adger (2006), found that the citizens’ perception of their vulnerability also made them more vulnerable, a factor that is likely to



affect the more vulnerable part of society when change is necessary. Mental barriers such as denial or the downgrading of future threats can be found at all levels of society (Boin & McConnell, 2007). Further, Adger (2006) notes that it is often the most vulnerable citizens that are not included in the decision-making process, thus enforcing their sense of being vulnerable. The perception we have of our role is also a driving factor in our ability to make changes, such as seeing our lifestyle not only a disturbing factor, but as part of the solution (Larsen & Gunnarsson-Östling, 2009). To create resilience it is thus not sufficient to create new policies, it is also critical to have support from the community in order to make changes (Larsen & Gunnarsson-Östling, 2009; European Environment Agency, 2012). To gain social capital, that is, effective networks for communication at local communities as well as with decision makers, is a key factor (Restemeyer et al., 2013; Tobin, 1999). However, it is something that must be maintained and can be very time consuming.

### 3.2.7 CONCLUSIONS: REVISITING THE RESEARCH QUESTIONS

- How is resilience defined in literature on urban and disaster resilience?

The most common perspective in the literature comes from socio-ecological theory. In a socio-ecological viewpoint resilience is commonly referred to as a systems adaptive capacity, that is, the ability to adapt in the face of disturbance, and over time, change and transform because of a changing environment and continuous adaptations made (“bounce forward”). In literature from organisations, institutions and businesses (e.g., UNISDR, 2009) definitions of resilience are more focused on the ability to “bounce-back”, through and recovery and robustness. Recover refers to a systems ability to return to its original state after a disturbance and robustness is typically achieved by “hardening” the system or expanding the set of disturbances the system can withstand. Implications of using different definitions are found in the assumptions, measurements and system improvements. A focus on “getting back” to a previously known state allows analyses based on linear cause and effect relationships, which simplifies work identification of measurements suggestions for improvement. A “bounce forward” viewpoint requires description and analyses of more intricate systems as cause and effect might not be possible to pinpoint for future states. Defining measurements and making improvements thus requires continuous monitoring and learning of past and current process, to anticipate upcoming needs and future challenges.

The analysis reveals that urban resilience includes multiple sub-fields, including for example, community, disaster, general system, and economic resilience. Further, the definitions vary between and within the different sub-fields, demonstrating the authors within the same sub-field may have varying views and focus on resilience based on the theoretical perspectives taken by the authors. However, as



demonstrated in Table 6 some trends can be found. In disaster resilience there is a greater focus on “bouncing back”, that is, to recover from an event and resilience is the ability to get back to the way it was before in the most efficient way. In infrastructure and engineering resilience the definitions tend to focus on the ability to “absorb” disturbances. In community and socio-ecological resilience, on the other hand, resilience is more focused on the ability to adapt to on-going circumstances. The different theoretical perspectives have different implications on how to focus research and applications of resilience. It can be argued that different aspects of the resilience concept are suited for different “dimensions” of urban resilience, as goals may vary between different parts of the urban system. It is, however, of importance to be aware of the differences of the underlying assumptions when applying different definitions.

- Which concepts, approaches, tools, indicators and methods for resilience can be found in literature on urban and disaster resilience?

There is a large variety in the attributes and indicators used in the urban resilience methods, reflecting the lack of consensus and unification of urban resilience and its central themes. It also reflects the vast amount of aspects that are important to resilience and that there are many ways to increase resilience, depending on the area of interest. Many authors in the literature argue that what is absent in frameworks for urban resilience are the links between different dimensions of resilience, including both the social and physical aspects. To address this gap, frameworks tend to include very high-level concepts. The benefit of this is that it offers a way to see the vast number of stakeholders involved and the flow between different areas. The downside of more general models is that they cannot be directly applied but have to be translated to a specific context. In this sense, the frameworks are useful on a conceptual and theoretical level, but still far from being available for practical use.

The area of application of the frameworks further demonstrates the wide spread of the frameworks. Although all frameworks are within urban resilience, the dimensions of resilience included and the area(s) of application in the frameworks varies. The most common topic is natural hazards/climate change, possibly reflecting the concern raised by this topic in today’s society. Frameworks which target natural hazards also tend to mention that the framework can be used for other areas, such as man-made hazards or organisational resilience. Community resilience appears to be a somewhat separate topic, focusing on the population and social factors compared to the more “holistic” or “general” models of urban resilience.

The large variety of attributes/indicators makes comparisons of the frameworks challenging. Although the areas of application on a high level are similar, the cases described vary considerably, as well as



the how the concepts are implemented. The main difference found is coupled to the social-ecological models vs the engineering models, which can be seen as different strands in resilience. Suggested strategies for implementation and/or specific indicators are in some cases provided, but these are still very high level and in all cases rather laborious work would be required to make local interpretations of the framework concepts.

- What are challenges identified in the literature of urban and disaster resilience?

The most commonly discussed challenge in the literature is going from theory to practice, from normative to descriptive applications of resilience. The difficulties are manifold, as multiple dimensions and parameters must be defined to implement resilience models. The complexity of cities, with multiple interconnected factors and the dynamic nature of today ever-changing society makes boundary setting a critical process but also a source for potential problems. Identifying the right scope, the influencing factors and how these are linked is one of the major challenges today. Analyses will require close monitoring, re-assessment and re-interpretations throughout all transformations made.





## 4 WORLDWIDE REPORTS ON RESILIENCE

In addition to the scientific literature study, an analysis of approaches to resilience outside academia was performed. These studies included reviews of reports from organisational bodies and cities on resilience frameworks, definitions used, networks, resilience tools, evaluation frameworks and metrics used.

### 4.1 METHOD

The goal of the review was to deepen the understanding for on-going work in urban resilience outside the research field. A total of 30 reports and web sources were reviewed. The sources were chosen based on their impact on the resilience community and identified based on recommendation from experts in the field (from the SMR partner ICLEI). The following areas were analysed:

- Frameworks for resilience
- Resilience definitions
- International commitments, initiatives & networks
- Services and tools to support urban resilience
- Evaluation frameworks, and
- Metrics

#### THE WORLDWIDE REPORT STUDY

30 reports and web resources from organisational bodies and cities worldwide were analysed concerning to resilience frameworks, definitions, networks, resilience tools, evaluation frameworks, and metrics.

The study examines reports from the Rockefeller Foundation/Arup, OECD, and the Council of Europe. Reports on adaptation strategies of European cities Rotterdam, Copenhagen and London are included, four reports from ICLEI on Climate change adaptation as well as two report from the European Environment Agency (EEA) about urban adaptation to climate change. Two United Nations International Strategy for Disaster Reduction (UNISDR) reports on making cities more resilient were also included in the study. We assessed two reports on vulnerability, adaptation, and resilience science to practice and





perspectives on resilience to disasters across sectors and cultures are added. Finally, three web resources on resilience were reviewed: the Compact of Mayors<sup>2</sup>, Carbons<sup>3</sup> and UKCIP<sup>4</sup>.

## 4.2 RESULTS

### 4.2.1 APPROACHES AND FRAMEWORKS

The Sendai Framework for Disaster Risk Reduction 2015-2030 (UNISDR, 2015) is the first major agreement of the post-2015 development agenda, with seven targets and four priorities for action. Based on the Hyogo Framework for Action, it was endorsed in 2015 by the UN General Assembly following the Third UN World Conference on Disaster Risk Reduction (WCDRR). It aims to achieve the substantial reduction of disaster risk and losses in lives,

livelihoods and health and in the economic, physical, social, cultural and environmental assets of persons, businesses, communities and countries over the next 15 years. Since it is a policy document, the framework proposes actions across sectors at local, national, regional and global levels in the following areas:

#### THE SENDAI FRAMEWORK

A framework for Disaster Risk Reduction that aims to achieve the substantial reduction of disaster risk and losses in lives, livelihoods and health and in the economic, physical, social, cultural and environmental assets of persons, businesses, communities and countries over the next 15 years.

<sup>2</sup> [www.compactofmayors.org](http://www.compactofmayors.org)

<sup>3</sup> <http://carbons.org/>

<sup>4</sup> [www.ukcip.org.uk/wizard/](http://www.ukcip.org.uk/wizard/)



- ➔ Priority 1: Understanding disaster risk
- ➔ Priority 2: Strengthening disaster risk governance to manage disaster risk.
- ➔ Priority 3: Investing in disaster risk reduction for resilience
- ➔ Priority 4: Enhancing disaster preparedness for effective response and to “Build Back Better” in recovery, rehabilitation and reconstruction

Moreover, the framework also describes the role of the main stakeholders and considerations for international cooperation and global partnership.

Resolution 339 was adopted by the Council of Europe on its plenary session, March 22, 2012 (Council-of-Europe, 2012). Based on the report, drafted by ICLEI Europe on behalf of the Congress of Local and Regional Authorities of the Council of Europe, its aim is to support the United Nations World Disaster Reduction campaign. The approach and the goal of the campaign was to implement the following steps:

- ➔ Raise the awareness of citizens and governments of the benefits of reducing risks at the urban level
- ➔ Use local government budgets in a smart way, which enhances the resilience of infrastructure and reduces disaster risk – in other words, mainstreaming disaster risk reduction into urban planning and development at the decision-making level.
- ➔ Include disaster risk reduction in participatory development and planning processes at the city level to protect critical infrastructure.

At the political level, concrete actions are recommended in this report to the local and regional authorities in the EU member states:

- 1 To sign up to the UNISDR Making Cities Resilient campaign and implement a local adaptation process such as sharing best practices with other cities, developing partnerships with other local authorities in their countries, in Europe or in lower-income countries and designing innovative schemes in partnership with different players for knowledge transfers, and lobbying through city networks to increase the awareness of disaster risk reduction,
- 2 to adopt an integrated approach to the issues of disaster risk reduction and climate change adaptation and mitigation,



- 3 to improve the capacity to building resilience against climate change and natural disasters, disaster risk management and climate change adaptation, and
- 4 to implement programs and action plans based on the integrated management system.

In a comprehensive report, OECD examines and analyse approaches, policies and concrete city actions worldwide (OECD 2016). The resulting framework is part of their contribution to the implementation of the Sendai Framework and the New Urban Agenda of the UN (c.f. Habitat III conference in Quito, 2016). Specifically, OECD identifies four factors that affect resilience:

### THE OECD FRAMEWORK

A framework for city resilience that identify economic, social, environmental and institutional drivers that can aid cities improve resilience.

- ➔ Economic: industry should be diversified and foster innovation,
- ➔ Social: society should be inclusive and cohesive, foster citizen networking and provide opportunities for groups and individuals,
- ➔ Environmental: urban development should be sustainable with an adequate and reliable infrastructure with adequate natural resources available,
- ➔ Strong open-minded leadership with a multi-level collaborative management approach, long-term visions and proper resources are seen as important to foster resilience.

Moreover, the OECD report states that enhancing resilience requires new ways of designing and delivering policies, since the policies should support flexibility. Moreover, the report discusses the importance of collaboration with multi stakeholders (i.e., citizens and private sector).

The City Resilience Framework and Index was developed by Arup with support from the Rockefeller Foundation (Arup, 2014). The goal was to develop a framework that enable cities to measure and monitor the many factors that affect a city's resilience. This framework assists member cities by providing a perspective on city resilience and its driver. The comprehensive framework presents four dimensions of resilience:



- ➔ Health & Wellbeing
- ➔ Economy & Society
- ➔ Infrastructure & Environment
- ➔ Leadership & Strategy

Associated with each dimension are three drivers that are said to improve city resilience and direct the actions cities can take to improve resilience. Moreover, the framework provides twelve goals and 52 indicators. The latter has been developed to support individual cities to measure progress over time, not to compare cities per se. Interestingly, the framework highlights that cities are exposed to and need to manage both chronic stresses and acute shocks, which is distinct from traditional risk management approaches.

### 4.2.2 DEFINITIONS OF RESILIENCE

The resilience definition from the UNISDR is the predominant definition used in the reviewed reports: “The ability of a system, community or society exposed to hazards to resist, absorb, accommodate to and recover from the effects of a hazard in a timely and efficient manner, including through the preservation and restoration of its essential basic structures and functions” (Cocchiglia et al., 2012).

#### THE UNISDR RESILIENCE DEFINITION

“The ability of a system, community or society exposed to hazards to resist, absorb, accommodate to and recover from the effects of a hazard in a timely and efficient manner, including through the preservation and restoration of its essential basic structures and functions.”

Urban Resilience is defined as the ability of an urban system to cope with climate and other disaster risks and sustainability challenges, while maintaining the current form and functioning (Georgi et al., 2012). A resilient city is attractive to investors and inhabitants and can turn challenges into opportunities through harnessing synergies, multiple benefits and fostering collaboration. In economic terms, urban resilience is defined as the ability of an urban area or system to provide predictable performance, that is, benefits and utility, to residents and users, and predictable returns to investors, under a wide range of often unpredictable circumstances.

**Table 10. Overview of properties of resilient cities.**

Property	Description
Social infrastructure properties	<ul style="list-style-type: none"> <li>→ Minimal human vulnerability indicated by the extent to which everyone's basic needs are met.</li> <li>→ Diverse livelihoods and employment facilitated by access to finance, ability to accrue savings, skills training, business support, and social welfare</li> <li>→ Collective identity and mutual support observed as active community engagement, strong social networks and social integration.</li> </ul>
Health and safeguard	<ul style="list-style-type: none"> <li>→ Adequate safeguards to human life and health</li> <li>→ Relying on integrated health facilities and services, and responsive emergency services</li> <li>→ Social stability and security including law enforcement, crime prevention, justice, and emergency management. Reduced physical exposure and vulnerability</li> </ul>
Financial resource properties	<ul style="list-style-type: none"> <li>→ Availability of financial resources and contingency funds. Observed as sound financial management, diverse revenue streams, the ability to attract business investment, adequate investment, and emergency funds.</li> </ul>
Planning, leadership, knowledge and management properties	<ul style="list-style-type: none"> <li>→ Environmental stewardship, appropriate infrastructure, effective land use planning, and enforcement of planning regulations.</li> <li>→ Effective leadership and management Involving government, business and civil society, and indicated by trusted individuals, multi-stakeholder consultation and evidence- based decision-making.</li> <li>→ Empowered stakeholders indicated by education for all, and access to up-to-date information and knowledge to enable people and organisations to take appropriate action. Integrated development planning indicated by the presence of a city vision; an integrated development strategy; and plans that are regularly reviewed and updated by cross- departmental working groups.</li> </ul>
Critical infrastructure properties	<ul style="list-style-type: none"> <li>→ Continuity of critical services indicated by diverse provision and active management, maintenance of ecosystems and infrastructure and contingency planning. Reliable communications and mobility indicated by diverse and affordable multi- modal transport systems and information and communication technology (ICT) networks and contingency planning.</li> </ul>

The definition of city resilience is given as the capacity of cities to function, so that the people living and working in cities – particularly the poor and vulnerable – survive and thrive no matter what stresses or shocks they encounter. Table 10 and Table 11 shows properties of resilient cities according to How To Make Cities More Resilient Report (For & Government, 2012) and City Resilience Framework (Da Silva & Moench, 2014).

**Table 11. Properties of resilient cities.**

Properties of resilient cities
<ul style="list-style-type: none"> <li>→ A city where disasters are minimized because the population lives in homes and neighbourhoods with organised services and infrastructure that adhere to sensible building codes, without informal settlements built on flood plains or steep slopes because no other land is available.</li> <li>→ A city that has an inclusive, competent and accountable local government that is concerned about sustainable urbanisation and that <b>commits the necessary resources to develop capacities to manage and organise itself before, during and after a natural hazard event.</b></li> <li>→ A city where the local authorities and the population understand their risks and develop a shared, local information base on disaster losses, hazards and risks, including who is exposed and who is vulnerable.</li> </ul>



- A city where people are empowered to **participate**, decide and plan their city together with local authorities and value local and indigenous knowledge, capacities and resources.
- A city that has taken steps to anticipate and mitigate the impact of disasters, incorporating **monitoring and early warning technologies to protect infrastructure**, community assets and individuals, including their homes and possessions, cultural heritage, environmental and economic capital, and is able to minimise physical and social losses arising from extreme weather events, earthquakes or other natural or human induced hazards.
- A city that is able to **respond, implement immediate recovery strategies** and quickly restore basic services to resume social, institutional and economic activity after an event.
- A city that understands that most of the above is also central to building resilience to adverse environmental changes, including climate change.

In conclusion, a resilient city is a city where human vulnerability is reduced because of appropriate infrastructure, is concerned about sustainable urbanization and continuity of critical services indicated by diverse provision and active management, shares information between the different stakeholders, reduces physical exposure and vulnerability by taking steps to anticipate and mitigate the impact of disaster and finally is able to respond, implement recovery strategies and quickly restore basic services.

### 4.2.3 NETWORKS

We have identified 10 networks that cooperate to improve the city resilience. There are different methods and focus when implementing strategies in general. Table 12 provides a summary and description of these networks. Additionally, there are several standardization activities (e.g. within ISO/TC 292 Security and resilience) that are related to resilience, and which will be part of the deliverable 6.1 ("A report describing the existing standards and standardization activities", scheduled for month 12).

**Table 12. Summary of networks working with resilience**

Name	Description
Durban Adaptation Charter	The Durban Adaptation Charter commits local governments to local climate action in their jurisdiction that will assist their communities to respond to and cope with climate change risks thereby reducing vulnerability. <a href="http://www.durbanadaptationcharter.org">www.durbanadaptationcharter.org</a>
100 Resilient Cities	100RC uses the City Resilience Framework developed by Arup with the support of the Rockefeller Foundation as a lens to understand the complexity of urban systems. <a href="http://www.100resilientcities.org">www.100resilientcities.org</a>
Compact of Mayors	The Compact of Mayors is an agreement by city networks – and then by their members – to undertake a transparent and supportive approach to reduce city-level emissions, to reduce vulnerability and to enhance resilience to climate change, in a consistent and complimentary manner to national level climate protection efforts. Under the Compact of Mayors, cities will report their climate commitments, actions and inventories on reporting platforms which will be linked to a central repository (the carbonn Climate Registry). In general, this network with all members have commitment to reduce the climate risk according the the agreed standard. <a href="http://www.compactofmayors.org">www.compactofmayors.org</a>
Carbon Climate Registry (cCR)	The Carbon Climate Registry is the world's leading reporting platform for local and subnational climate action. The reporting template includes indicators related to both mitigation and adaptation. <a href="http://carbonn.org/">http://carbonn.org/</a>
Local Government Climate Roadmap	The Local Government Climate Roadmap, a broad coalition of local government networks in response to the Bali Action Plan, is an advocacy process that began in 2007 and aims to ensure that a strong and ambitious global climate regime is designed and implemented in the post-2015 period. <a href="http://www.durbanadaptationcharter.org">www.durbanadaptationcharter.org</a>
UNISDR Making My City Resilient	The Making Cities Resilient: 'My City is getting ready!' campaign, launched in May 2010, addresses issues of local governance and urban risk. The website includes various reports and guidance materials. "The 10 Essentials" is a ten-point checklist and the building block for disaster risk reduction. <a href="http://www.unisdr.org/campaign/resilientcities">www.unisdr.org/campaign/resilientcities</a>
Mayors Adapt/ Covenant of Mayors	Mayors Adapt – the Covenant of Mayors Initiative on Climate Change Adaptation has been set up by the European Commission to engage cities in taking action to adapt to climate change. Cities signing up to the initiative commit to contributing to the overall aim of the EU Adaptation Strategy by developing a comprehensive local adaptation strategy and/or integrating adaptation to climate change into relevant existing plans. More advanced cities have submitted factsheets including basic information on their approaches and state of advancement. <a href="http://mayors-adapt.eu/">http://mayors-adapt.eu/</a>
Asian Cities Climate Change Resilience Network (ACCCRN)	The Asian Cities Climate Change Resilience Network (ACCCRN) comprises practitioners and institutions committed to creating knowledge, accessing resources, and influencing agendas to build inclusive urban climate change resilience. Pioneered by the Rockefeller Foundation, ACCCRN is built on a multi-year initiative to strengthen the capacity of over 50 rapidly urbanising cities in Bangladesh, India, Indonesia, the Philippines, Thailand and Vietnam to survive, adapt, and transform in the face of climate-related stress and shocks. <a href="http://acccrn.net/about-acccrn">http://acccrn.net/about-acccrn</a>
Resilient Cities Global Forum	Resilient Cities - The Annual Global Forum on Urban Resilience and Adaptation - is the global platform for urban resilience and climate change adaptation, hosted every year in Bonn. The webinars, congress proceedings and conference reports include many good practice examples. <a href="http://resilient-cities.iclei.org/">http://resilient-cities.iclei.org/</a>
World Mayors Council on Climate Change	An alliance consisting of over 80 committed local government leaders concerned about climate change, the Council advocates for enhanced engagement of local governments in multilateral efforts on climate change and related sustainability issues. Membership is open to Mayors and equivalent leaders of municipal levels of government. <a href="http://www.worldmayorscouncil.org/">http://www.worldmayorscouncil.org/</a>





Examples of the best practices of local adaptation strategies to enhance urban resilience as outlined by three cities, i.e. London, Rotterdam and Copenhagen apparently pursue different approaches, depending upon the vulnerabilities and unique climate challenges and perceived faced by each city and perceived position as a city (summaries in Table 13):

**London adaptation strategy:** London offers concrete actions against floods, overheating and droughts. The strategies are systematically derived from careful analysis of potential threats, risks and impacts due to climate change, and transfer these understanding into vision, policy and actions. For example, to fight against the raising temperature, the mayor of London will increase the green space and vegetation that cover the city. To reduce the risk of overheating, there are set of actions that contain design guidelines for architects and developers to reduce the risk of overheating. These actions are outlined in different threats identified. London also introduces a roadmap to resilience: to improve the ability to predict and manage flood risk, to enable coherent cost-effective working, to identify the most vulnerable communities and critical assets, to introduce measure to sustain a long-term water efficiency, and using rainwater for non-consumptive purpose, to improve response to drought and having clear target the green area coverage by 2025. In the end, the actions will lead into better London's economy, health improvement, and resilience city infrastructures.

**Rotterdam adaptive measures:** Rotterdam perceived itself as a delta city, which also has a role as a world port. Therefore, the climate adaptation strategies are not only for making the cities climate proof but also for providing opportunities to growth. The measures target outer-dike Rotterdam, inner-dike Rotterdam and within the dikes.

The measure in outer-dike Rotterdam is multi-layered flood protection approach such as 'flood-proof' buildings, construction of flood-proof public areas, floating communities and 'building with nature'. The protection of inner-dike Rotterdam is approached by optimising the storm surge barriers as a prevention measure. In addition, the city adopts multifunctional dikes approach by introducing the recreational routes and natural embankments. Within the dikes, the 'sponge function' of the city will be restored by implementing measures to capture and store rainwater where it falls and to delay drainage. These measures include green roofs and façades, less paving and more plants in the public streets, water squares and infiltration zones as part of the infrastructure.

**Copenhagen resilience measures against climate change:** Copenhagen's strategy follows the future climate scenario outlined by UN's Intergovernmental Panel on Climate Change (IPCC) to limit the emissions, in addition to the threats and risks faced by the city, especially floods. Copenhagen introduced three levels of adaptations. In Level 1, the measure aims at reducing the likelihood of the



event happening, preferably to completely prevent it. At this level the establishment of dikes, building higher above sea level, local adaptation of sewer capacity, and local management of storm water are emphasised. Upon an efficient implementation of Level 1 measure, then Level 2 measures (e.g. the establishment of watertight basements, sandbags, adaptation of public spaces to store rainwater) and Level 3 measures (e.g. extensive utilisation of basements, emergency preparedness with pumps) will not be necessary. This is also valid for any type of threats identified by the city (sea water, warming, groundwater issue, greener city, etc.). In brief, Level 1 measures try to reduce the likelihood, Level 2 measures are actions to reduce the scale of hazards, while Level 3 measures are intended to reduce vulnerability.

**Table 13. List of measures to cope with resilience**

Name	Description
Changing climate, changing communities	A compendium developed by ICLEI Canada (2010) offers a simple and standardized guide for local governments to measure, monitor, report, and establish targets on greenhouse gas emission reduction. In this document, ICLEI proposes Five Milestones for Climate Adaptation methodology.
Financing the resilient city	An ICLEI white paper on the benefits of a bottom-up and comprehensive resilience investment approach to development, disaster risk reduction and climate adaptation. The approach offers in this document is demand-driven investment for resilience upgrading and suggests to approach resilience investments in bottom-up fashion. The approach is about how to create a market for resilience: 1) bottom-up planning processes for identifying vulnerabilities and risks, and linking the related risk mitigation solutions with priority performance enhancements in relevant areas or systems; 2) bottom-up technical and institutional capacity and 3) bottom-up procurement of investment.
Local governments climate adaptation toolkit	<p>A climate adaptation toolkit developed by ICLEI Oceania to address the specific needs of individual councils. The toolkits consist of the following:</p> <ul style="list-style-type: none"> <li>• Council Questionnaire (self-directed)</li> <li>• Planning Workshop Template (facilitator required)</li> <li>• Tools Worksheet (facilitator encouraged as part of planning workshop)</li> <li>• Stakeholder Identification Worksheet (facilitator encouraged as part of planning workshop)</li> <li>• Adaptive Management Scoping Worksheet (facilitator encouraged as part of planning workshop)</li> <li>• Social Contract Template (facilitator encouraged as part of planning workshop)</li> <li>• Issue Brief and Direct Impacts (self-directed)</li> <li>• Conceptual Modelling Exercise and Example (facilitator encouraged)</li> <li>• Support Letter (self-directed)</li> <li>• Barriers Document (self-directed)</li> <li>• Risk Assessment Scenario Worksheet (self-directed)</li> <li>• Action Planning Workshop Template (facilitator required)</li> <li>• Assumptions Worksheet (facilitator highly encouraged)</li> </ul> <p>Action Plan Template (self-directed)</p>
Climate Adapt Platform	<p>This platform includes various case studies, general information and guidance material. The Urban Adaptation Support tool has been developed as the adaptation guidance for urban areas by Mayors Adapt, the EU initiative for urban adaptation to guide cities through the main steps of the adaptation process. It gives easy access relevant adaptation information, data, tools and guidance specifically tailored for urban settings in Europe. In this platform there are comprehensive collection of the guidelines that are intended for supporting cities and municipalities such as how to plan for adaptation and response, both in EU level and international guidelines. Example of guidelines are "Five steps to manage your climate risks - A Guide for Public Bodies in Scotland (2013)", "Planning for adaptation to climate change - Guidelines for Municipalities" and The Integrated Management for Local Climate Change Response: Capacity Development Package (2010). The platform provides six steps about how to use urban adaptation tool with the following steps:</p> <ul style="list-style-type: none"> <li>• Preparing the ground for adaptation,</li> </ul>

	<ul style="list-style-type: none"> <li>Assessing risks and vulnerabilities to climate change,</li> <li>Identifying adaptation options,</li> <li>Assessing and selecting adaptation options,</li> <li>Implementation, and</li> </ul> <p>Monitoring and evaluation.</p>
UK CIP Adaptation Wizard	<p>The UKCIP Adaptation Wizard is an online tool providing a 5-step methodology to support local governments in adapting to climate change. The Wizard supposedly can help cities to raise awareness about the importance of climate change and adaptation, access information, tools and resources, assess the vulnerability of the climate change, to make the case for adaptation in the organisation as well as develop and implement the climate-resilient project, programme, policy or strategy. The most important thing is that the wizard is not to provide one a customised climate adaptation strategy at the click of the button. The wizard only offers resources to develop city's specific adaptation strategy. They have clearly indicated in these 5 steps support from how to get started, provide resources about current and future climate vulnerability, the adaptation options and how to monitor the implementation of the adaptation strategy.</p>
Local Climate Impact Profile	<p>The Local Climate Impact Profile (LCLIP) was developed by the UK Climate Impacts Partnership (UKCIP). It is a simple tool designed to help assess exposure to weather. It can be used as a standalone tool, or as a step in a risk-based framework such as the Adaptation Wizard. The LCLIP process shows how prepared an organisation is to deal with severe weather events. The understanding about cities' current vulnerability to the weather can be a powerful catalyst to raise the awareness and improve preparedness for the future climate.</p>
Stadtklimatolse	<p>This is an online decision support system provided by the German Bundesinstitut für Bau, Stadt und Raumforschung (BBSR) to support the development of climate adaptation measures in city development. Based on scientific evidence a decision support system (DSS) was developed focussing on German municipalities as central actors. Stadtklimatolse contains 138 measures from 10 fields of action, 330 references to legal texts and 61 examples of the planning and implementation of measures. Stadtklimatolse supports the identification and implementation of appropriate measures for mitigation and adaptation in urban development. It consists of: Approaches to flexible planning, including under uncertainty. Implementation examples of planning practice:</p> <ul style="list-style-type: none"> <li>Approaches to economic valuation of adaptation measures including implementation examples from planning practice,</li> <li>Good Practice Database,</li> <li>Module for self-assessment of effects of the climate change,</li> <li>Considering the aspects of 'demographic change' and 'climate change,' and</li> </ul> <p>Improved overview of synergies and conflicts of individual measures.</p>

#### 4.2.4 RESILIENCE TOOLS FOR CITIES

We have identified seven tools and toolkits that can be used to assess and work with different aspects of resilience on the city level. A summary of each tool can be found in Table 14.

**Table 14. Tools and toolkits for resilience cities.**

Name	Description
Changing climate, changing communities	<p>A compendium developed by ICLEI Canada (2010) offers a simple and standardized guide for local governments to measure, monitor, report, and establish targets on greenhouse gas emission reduction. In this document, ICLEI proposes Five Milestones for Climate Adaptation methodology.</p>
Financing the resilient city	<p>An ICLEI white paper on the benefits of a bottom-up and comprehensive resilience investment approach to development, disaster risk reduction and climate adaptation. The approach offers in this document is demand-driven investment for resilience upgrading and suggests to approach resilience investments in bottom-up fashion. The approach is about how to create a market for resilience: 1) bottom-up planning processes for identifying vulnerabilities and risks, and linking the related risk mitigation solutions with priority performance enhancements in relevant areas or systems; 2) bottom-up technical and institutional capacity and 3) bottom-up procurement of investment.</p>

Local governments climate adaptation toolkit	<p>A climate adaptation toolkit developed by ICLEI Oceania to address the specific needs of individual councils. The toolkits consist of the following:</p> <ul style="list-style-type: none"> <li>• Council Questionnaire (self-directed)</li> <li>• Planning Workshop Template (facilitator required)</li> <li>• Tools Worksheet (facilitator encouraged as part of planning workshop)</li> <li>• Stakeholder Identification Worksheet (facilitator encouraged as part of planning workshop)</li> <li>• Adaptive Management Scoping Worksheet (facilitator encouraged as part of planning workshop)</li> <li>• Social Contract Template (facilitator encouraged as part of planning workshop)</li> <li>• Issue Brief and Direct Impacts (self-directed)</li> <li>• Conceptual Modelling Exercise and Example (facilitator encouraged)</li> <li>• Support Letter (self-directed)</li> <li>• Barriers Document (self-directed)</li> <li>• Risk Assessment Scenario Worksheet (self-directed)</li> <li>• Action Planning Workshop Template (facilitator required)</li> <li>• Assumptions Worksheet (facilitator highly encouraged)</li> </ul> <p>Action Plan Template (self-directed)</p>
Climate Platform Adapt	<p>This platform includes various case studies, general information and guidance material. The Urban Adaptation Support tool has been developed as the adaptation guidance for urban areas by Mayors Adapt, the EU initiative for urban adaptation to guide cities through the main steps of the adaptation process. It gives easy access relevant adaptation information, data, tools and guidance specifically tailored for urban settings in Europe. In this platform there are comprehensive collection of the guidelines that are intended for supporting cities and municipalities such as how to plan for adaptation and response, both in EU level and international guidelines. Example of guidelines are "Five steps to manage your climate risks - A Guide for Public Bodies in Scotland (2013)", "Planning for adaptation to climate change - Guidelines for Municipalities" and The Integrated Management for Local Climate Change Response: Capacity Development Package (2010). The platform provides six steps about how to use urban adaptation tool with the following steps:</p> <ul style="list-style-type: none"> <li>• Preparing the ground for adaptation,</li> <li>• Assessing risks and vulnerabilities to climate change,</li> <li>• Identifying adaptation options,</li> <li>• Assessing and selecting adaptation options,</li> <li>• Implementation, and</li> </ul> <p>Monitoring and evaluation.</p>
UK CIP Adaptation Wizard	<p>The UKCIP Adaptation Wizard is an online tool providing a 5-step methodology to support local governments in adapting to climate change. The Wizard supposedly can help cities to raise awareness about the importance of climate change and adaptation, access information, tools and resources, assess the vulnerability of the climate change, to make the case for adaptation in the organisation as well as develop and implement the climate-resilient project, programme, policy or strategy. The most important thing is that the wizard is not to provide one a customised climate adaptation strategy at the click of the button. The wizard only offers resources to develop city's specific adaptation strategy. They have clearly indicated in these 5 steps support from how to get started, provide resources about current and future climate vulnerability, the adaptation options and how to monitor the implementation of the adaptation strategy.</p>
Local Climate Impact Profile	<p>The Local Climate Impact Profile (LCLIP) was developed by the UK Climate Impacts Partnership (UKCIP). It is a simple tool designed to help assess exposure to weather. It can be used as a standalone tool, or as a step in a risk-based framework such as the Adaptation Wizard. The LCLIP process shows how prepared an organisation is to deal with severe weather events. The understanding about cities' current vulnerability to the weather can be a powerful catalyst to raise the awareness and improve preparedness for the future climate.</p>
Stadtklimatse	<p>This is an online decision support system provided by the German Bundesinstitut für Bau, Stadt und Raumforschung (BBSR) to support the development of climate adaptation measures in city development. Based on scientific evidence a decision support system (DSS) was developed focussing on German municipalities as central actors. Stadtklimatse contains 138 measures from 10 fields of action, 330 references to legal texts and 61 examples of the planning and implementation of measures. Stadtklimatse supports the identification and implementation of appropriate measures for mitigation and adaptation in urban development. It consists of: Approaches to flexible planning, including under uncertainty. Implementation examples of planning practice:</p> <ul style="list-style-type: none"> <li>• Approaches to economic valuation of adaptation measures including implementation examples from planning practice,</li> </ul>



- Good Practice Database,
- Module for self-assessment of effects of the climate change,
- Considering the aspects of 'demographic change' and 'climate change,' and Improved overview of synergies and conflicts of individual measures.

#### 4.2.5 EVALUATION

Not all documents and resources in this review provide suggestions on evaluation frameworks. However, some organisational bodies include a procedure or methodology as how to improve the resilience and describe several examples of resilience implementation or evaluation in various sectors. For example, the Pathways, players, and partnerships report (Vogel et al., 2007) showed how different actors co-operated across organisational and knowledge system boundaries in southern Africa.

Evaluations can be *formative*, aiming at improving on-going project or program, and it is often associated with forecast and mid-term evaluations. They can also be *summative* and judge the overall effectiveness of an intervention, implemented project or program. The UK CIP Adaptation Wizard provides a way to monitor and evaluate the adaptation strategy through a tool called AdaptME toolkit. It recommends to consider what aspects to evaluate, such as:

- Evaluating effectiveness,
- Assessing efficiency,
- Understanding equity,
- Providing accountability,
- Assessing outcomes,
- Improving learning,
- Improving future activities or interventions, and
- Comparing with other similar activities or interventions.

The Council of Europe's report on resilient cities (Council-of-Europe, 2012) discusses the need to conduct resilience work under a framework that ensures a holistic, integrated, inclusive and continually improving processes. It proposes a local-level process based on a framework developed by European project CHAMP called Local Responses to Climate Change. The process tasks and cycle are the following:

- Baseline review: Available data on all relevant sustainability aspects should be collected and structured
- Target setting: to prepare the strategic programme and action plan



- Political commitment: pivotal and needs to be secured throughout the entire process
- Implementation and monitoring: all the preceding assessment, target setting and planning have the overall objective of improving the way the city functions in terms of sustainable development,
- Evaluation and reporting: It analyses what has happened during the year in order to understand why things happened or failed to succeed. It provides the politicians with a basis for taking further decisions on the targets and actions for the next year.

Second, it refers to UNISDR Making Cities Resilient Campaign through 10 points:

1. To understand and reduce disaster risk, based on participation of citizen groups and civil society, developing local alliances and ensuring that all departments understand their role in disaster risk reduction and preparedness.
2. A budget for disaster risk reduction targets different group in the communities
3. Up-to-date data on hazards and vulnerabilities, risk assessments and use these as the basis for urban development plans and decisions. Plans for city's resilience should be available to the public.
4. Invest in and maintain the infrastructure that reduces risk, such as flood drainage, adjusted where needed to cope with climate change.
5. Assess the safety of all schools and health facilities and upgrade these as necessary.
6. Apply and enforce realistic, risk-compliant building regulations and land use planning principles. Identify safe land for low-income citizens and develop upgrading of informal settlements, wherever feasible.
7. Ensure that education programs and training on disaster risk reduction are in place in schools and local communities.
8. Protect ecosystems and natural buffers to mitigate floods, storm surges and other hazards to which your city may be vulnerable. Adapt to climate change by building on good risk reduction practices.
9. Install early warning systems and emergency management capacities in your city and hold regular public preparedness drills.
10. After any disaster, ensure that the needs of the survivors are in place at the centre of reconstruction with support for them and their community organisations to design and help implement responses, including rebuilding homes and livelihoods.

The report on Adaptation Strategies for European Cities (Perks, 2013) proposes the following evaluation framework:



- Create a common approach allowing for a more efficient exchange and comparison between cities
- Pragmatic approaches to developing selection criteria and grouping the cities by climate hazards
- A flexible, multi-dimension approach to adaptation is required which engages all appropriate stakeholders.
- Provide resources and coordinated action for research to fill existing knowledge gaps in urban impacts and adaptation
- Work on indicators of urban vulnerability to identify regions and cities facing similar climate impacts, as well as hotspots for adaptation.
- Work on performance indicators or other benchmarks for measuring progress in adaptation in urban areas, and
- Work on costs and benefits of urban adaptation.

The Urban Disaster Risk Index presented in this report measures disaster risk from an integrated perspective and guides decision-making by considering the potential direct impacts of disasters and by identifying multiple-socio economic and capacity/resilience factors.

### 4.2.6 INDICATORS AND METRICS

The initiatives listed in this report have identified different indicators, however only some of them have indicated different resilience layers.

#### INDICATORS AND TOOLS

Qualitative and quantitative indicators as well as policies, guidelines and tools have been developed that can guide resilience implementation.



Table 15 shows a set of proposed indicator groups for measuring resilience aspects of a city-community. From these indicators, many resilience frameworks for climate adaptation have concerned about the temperature changes that may lead into drought and overheating threats and higher rainfalls or increased sea level that can cause floods to the cities. These quantitative climate indicators have frequently cited in different city adaptation strategies.



**Table 15. Proposed indicators for measuring resilience aspects of a city-community.**

Quantitative	Qualitative
<p>The compact of Mayors</p> <ul style="list-style-type: none"> <li>Emission level of CO<sub>2</sub>, CH<sub>4</sub> and N<sub>2</sub>O;</li> <li>Emission from stationary energy,</li> <li>In boundary travel and from waste</li> </ul> <p>Guide and Workbook for Municipal Climate Adaptation</p> <ul style="list-style-type: none"> <li>Temperature</li> <li>Rainfalls</li> <li>Other climate indicators</li> </ul> <p>UKCIP 2015</p> <ul style="list-style-type: none"> <li>Global surface temperature</li> <li>CO<sub>2</sub> concentration</li> <li>Rainfalls</li> <li>Arctic sea ice, land ice</li> <li>Sea level</li> </ul> <p>Rotterdam climate change adaptation strategy (2013)</p> <ul style="list-style-type: none"> <li>Sea Level</li> <li>Rainfalls</li> <li>Droughts</li> <li>Floods</li> </ul> <p>Mayor's climate change adaptation strategy (2012)</p> <ul style="list-style-type: none"> <li>Effects of droughts</li> <li>Effects of floods</li> <li>Effects of overheating</li> </ul>	<p>City resilience framework (2014)</p> <ul style="list-style-type: none"> <li>Minimal human vulnerability</li> <li>Diverse livelihoods and employment</li> <li>Adequate safeguards to human life and health</li> <li>Collective identity and mutual support</li> <li>Social stability and security</li> <li>Availability of financial resources and contingency funds</li> <li>Reduced physical exposure and vulnerability</li> <li>Continuity of critical services</li> <li>Reliable communications and mobility</li> </ul> <p>A guide to measure urban resilience risk (2015)</p> <ul style="list-style-type: none"> <li>Effective leadership and management</li> <li>Empowered stakeholders</li> <li>Integrated development planning</li> <li>Effectiveness of legislative framework</li> <li>Effectiveness of institutional arrangements</li> <li>Capacity building</li> <li>Advocacy, Communication, Education and Public Awareness</li> <li>Resiliency of Critical Services</li> <li>Resiliency of Infrastructure</li> <li>Emergency management</li> <li>Resource Management, Logistics and Contingency planning</li> <li>Hazard, Vulnerability and Risk assessment</li> <li>Risk-Sensitive Urban development</li> </ul> <p>Copenhagen climate adaptation plan (2011)</p> <ul style="list-style-type: none"> <li>Impacts of floods</li> <li>Impacts of high sea levels</li> <li>Impacts of high temperatures</li> </ul>

#### 4.2.7 BEST PRACTICES

There is a tension between developing consensus on the methodologies used by a range of stakeholders across wide regions (posing particular challenges for comparability and regional integration) when their applicability in local contexts demands idiosyncratic adjustments. Such debate is, however, ultimately healthy and may lead to better methodologies and framings of the problems in the regions. There is a need for scientific credibility and the need to clarify the role of 'external' agencies, stakeholders, and scientists at the outset of the process under study. Finally, there is an absence of some form of 'organisational base', or institutional 'frame' as well as clear 'rules of engagement' at the outset of such information exchanges, research activities, and interactions to build longstanding trusted relationships.





Resolution 339 “Making cities resilient” of the Europe’s council can be considered as a policy/campaign (Council-of-Europe, 2012). It suggests EU member states to (1) sign up to the UNISDR Making Cities Resilient campaign (2) adopt an integrated approach to the issues of disaster risk reduction and climate change adaptation and mitigation (transport, communication, housing, urban green spaces, water and electricity supply, waste removal systems, food production, etc.) (3) boost their capacity in terms of building resilience to climate change and natural disasters, disaster risk management and climate change adaptation and (4) draw up and implement strategic programmes and action plans based on the integrated management system described in the explanatory memorandum. The documents identified in this report/policy are:

1. 40 measures in dealing with natural hazards” (2005)
2. Resolution 248 (2008) on climate change: building adaptive capacity of local and regional authorities,
3. Resolution 317 (2010) on coastal towns and cities tackling threats from the sea

On its behalf, the compact of mayors provides a climate action plan based on the following aspects:

1. Political commitment, vision, context, GHG emissions-forecast and reducing targets, implementation plan and monitoring plan.
2. Adaptation compliance requirements: First, Hazard reporting, Second, Vulnerability assessment (climate change risk assessment and climate change vulnerability assessment) and third, Climate adaptation plan minimum requirements.

The strategy toward financing resilience according to ICLEI is based on establishing local mainstreaming efforts, developing new sources of capital for quality resilience upgrades, and on developing the local institutional capacity to structure projects that are suitable for these new sources of finance. ICLEI recommends, through “The resilient cities” report of 2015, to increase awareness on climate change adaptation with outreach campaigns in vulnerable areas and expand partnerships with peer cities to learn from good practices. The City notes that long-term planning also requires long-term financing, which means that the government must be able to follow through on its commitments and realigning priorities accordingly.

In order to achieve a substantial reduction of disaster risk, The Sendai Framework for Disaster Risk Reduction 2015-2030 (UNISDR, 2015) proposes actions across sectors at local, national, regional and global levels in the following areas:

1. Priority 1: Understanding disaster risk.
2. Priority 2: Strengthening disaster risk governance to manage disaster risk.
3. Priority 3: Investing in disaster risk reduction for resilience.
4. Priority 4: Enhancing disaster preparedness for effective response and to “Build Back Better” in recovery, rehabilitation and reconstruction.

Finally, How To Make Cities More Resilient Report (For & Government, 2012) proposed actions (Table 16) to make a city more resilient comprising risk reduction, points to good practices and tools that are already being applied in different cities for resilience purposes.

**Table 16. UNISDR suggestions to make cities resilient.**

**UNISDR steps to make cities more resilient**

Put in place organisation and coordination to understand and reduce disaster risk, based on participation of citizen groups and civil society. Build local alliances. Ensure that all departments understand their role in disaster risk reduction and preparedness.

Assign a budget for disaster risk reduction and provide incentives for homeowners, low-income families, communities, businesses and the public sector to invest in reducing the risks they face.

Maintain up to date data on hazards and vulnerabilities. Prepare risk assessments and use these as the basis for urban development plans and decisions, ensure that this information and the plans for your city’s resilience are readily available to the public and fully discussed with them.

Invest in and maintain critical infrastructure that reduces risk, such as flood drainage, adjusted where needed to cope with climate change.

Assess the safety of all schools and health facilities and upgrade these as necessary.

Apply and enforce realistic, risk compliant building regulations and land use planning principles. Identify safe land for low income citizens and upgrade informal settlements, wherever feasible.

Ensure that education programmes and training on disaster risk reduction are in place in schools and local communities.

## 4.2.8 CONCLUSIONS

Several frameworks for resilience have been developed. However, their direct applicability to everyday city management is limited since that are abstract and policy-oriented. Moreover, many of the frameworks still have a focus on risk reduction, rather than on a holistic approach including both risk management (Safety-I) and general capacity and flexibility (Safety-II). The focus on risk and a faulty conceptualization of resilience solely as risk reduction management may seriously reduce the of the complexity of the issue since many cities already have a risk management approach in progress, and hence “resilience”. Moreover, since resilience frameworks are abstract, needed are suggestions on concrete work processes that city managers and city employees can understand and apply in everyday work. Important, here, is that such tools and processes, guidelines, checklists can be contextualized and appropriated – hence, they need to be written in a form that allow local adoptions to be made.



Consequently, great care should be taken when developing tools for city resilience since over-formalised and over-standardised work process may, in fact, decrease resilience, add to the workload and be difficult to integrate in actual work processes. When designing such tools, we suggest using participatory design methods or similar approaches to ensure input from several stakeholders and professions of the city. The latter is also a way to accomplish change in practico-inert and rigid organisational settings such as politically-guided city management processes. The section also provided a set of examples on networks, toolkits and indicators etc. providing input to SMR. We suggest that the tools presented should be analysed by SMR in greater detail. For example, ICLEI Oceania's resilience toolkit introduce interesting concepts such as *adaptive management*, in a work process aimed to improve resilience and climate adaption. Such an approach theoretically-laden approach could be valuable when developing tool and instruments in in SMR.



## 5 CITY SURVEY

In this section, we discuss how cities worldwide approach resilience operatively. The study is twofold and consists of a literature survey of official documents from 18 cities in the Rockefeller Foundation 100 Resilience Cities initiative. Moreover, a survey of resilience actions of the SMR city members was performed. The purpose of the latter study was to get first-hand information of practical resilience implementation approaches, critical infrastructures and the current challenges in these cities.

### 5.1 METHOD

#### 5.1.1 CITY WORLD-WIDE REPORT

The resilience strategies and concrete actions of 18 RC100 cities worldwide were analysed and summarized. The data came from official reports from the cities available at the RC100 website. The cities were chosen as they are the 18 cities out of the 100RC that have, so far, presented their resilience strategy. One city, Porto Alegre in Brazil, was excluded as the full strategy was not yet available. The 18 cities included in the survey were:

- North America (USA): New Orleans, New York City, Norfolk, Oakland, San Francisco, Berkley, Boulder
- South America: Medellin, Columbia; Rio de Janeiro, Brazil; Mexico City, Mexico; Semarang, Indonesia
- Asia: Byblos, Lebanon; Da Nang, Vietnam
- Europe: Vejle, Denmark; Rotterdam, the Netherlands; Glasgow, Great Britain
- Australia: Melbourne, Australia; Christchurch, New Zealand

Coding and thematic analysis (Braun & Clarke, 2006) of the data was performed to capture broad trends of the cities' actions with regards to resilience. Three classes of codes were applied to each resilience action. Within in these classes the codes were developed in a bottom-up approach by identifying the concerns of each action. Themes in the codes where then identified. The three areas were:

1. The problem, vulnerability, or hazard that the action aimed to address,
2. The solution, tactic or approach used to address the problem,
3. Who the action concerned. This class were included after concerns in the literature (Fainstein, 2015; Meerow & Newell, 2016).

A cluster analysis was performed on the material to identify commonalities and differences between the city strategies. Table 16 presents an overview of the categorization. In the material of 18 city sources, 13 categories of vulnerabilities, including 36 sub-categories (Table 17), 15 categories of solutions, including 55 sub-categories (Table 18) and 6 categories of affected groups, including 10 sub-categories were identified (Table 19). The number of references refers to number of coded instances. For example, a specific solution in one city strategy would be described as a reference. The total number of references for each category are 1344 related to vulnerabilities, 1889 to solutions, and 930 to affected groups. Annex four offers an overview of the number of references for each category and sub-category.

**Table 17. Overview of cluster analysis.**

Groups	Number of categories	Number of sub-categories	Number of references
Vulnerabilities	13	36	1344
Solutions	15	55	1889
Affected groups	6	10	930

### 5.1.2 SMR CITY SURVEY

Regarding the focussed city study with SMR cities, a basic, open-ended questionnaire was developed in collaboration with Tecnun, DIN, and CIEM that comprised ten questions - with a set of sub-questions – that concerned key resilience concepts in relation to critical infrastructures. The interview guide is presented in full in Annex 2. The goal of the study was to get an overview of the SMR member cities' approach to resilience and their challenges, the inquiries were both broad and specific and concerned key infrastructures, external dependencies, past failures, policy making, preparedness plans, concrete work practices etc. The questionnaires allowed for free text answers. Initially the plan was to conduct a survey also on the two other project focus areas, climate change and social problems. However, responses from the city partners offered insights into all three areas and it was decided that the efforts from city partners to compile specific information was better spent as preparations for WP2 workshops where issues could be followed up and discussed. It was sent out to the seven city partners in SMR, five cities responded (e.g., Donostia/San Sebastian, Bristol, Veile, Kristiansand and Glasgow). Two partners were busy at the time and did not manage to complete the survey prior to the deadline. The data was analysed qualitatively by categorising the data. The resulting categories are not mutually exclusive.

## 5.2 RESULTS: CITIES WORLDWIDE

In this section a summary of the analysis results will be presented. Trends identified in the literature will be described for the three top-down groups vulnerabilities, solutions and affected groups. Each group will be discussed in relation to the three focus areas in the SMR project: Climate Change, critical infrastructure and social dynamics. Further, categories identified as part of the bottom-up analysis will be presented, including cohesion, information gathering, green cities and positive effects of interventions.

### 5.2.1 VULNERABILITIES

A summary of the identified categories and sub-categories of vulnerabilities are presented in Table 18. Below, the results are discussed in relation to the three focus areas in the SMR project: Climate Change, Critical Infrastructure, and Social dynamics. See Annex 4 for details further details.

**Table 18. Categories of vulnerabilities.** Left column presents the main categories and right column subgroups (where applicable)

Vulnerabilities	Sub-categories
Climate	<i>Greenhouse gas emissions, Reducing energy usage, Sea level rise</i>
Disaster	<i>Flooding, Earthquake, Storms, Heat wave, Drought, Wildfires</i>
Economic	<i>Poverty, Affordable housing</i>
Environment	-
Food availability	-
Historical or cultural	-
Infrastructure	<i>Water, Waste management, lack of mobility, Electricity grid</i>
Lack of information	-
Population increase	-
Social	<i>Exclusion from society, Health Care, Safety, Under-educated people, Vulnerable groups, Unemployment, Gender, Homelessness</i>
Trust in government	-
Uncoordinated parts	-

Uncoordinated parts	-
Urban sprawl	-

## Climate change

Climate vulnerabilities are in general ill-defined in the material and often blend into other vulnerabilities such as infrastructure or disaster vulnerabilities. When reports discuss resilience against climate vulnerabilities they are either vague or refer to flooding or greenhouse gas emissions (GHG). Plans to deal with flooding and sea level rise are often detailed and concerns either infrastructure or knowledge-gaining activities to better plan for this future threat. GHG is described as a problem, although the effects are never articulated in detail in the reports, and solutions often include public policies to lower emissions for both local government and businesses.

Closely related to climate change were discussions on disaster vulnerabilities. Such vulnerabilities tended to either concern storms and flooding, earthquakes, or heatwaves and droughts. Concerns about flooding is very prevalent among the strategies and sometimes co-occur with storms. Since several of the 18 cities lies in earthquake risk areas they discuss their plans to decrease the effects of such events. A few of the cities discuss problems with heat waves. Both in the short-term with heat waves to which especially elderly citizens are vulnerable but also long-term with increased risks for wildfires and flooding when it finally rains.

## Critical Infrastructure

Infrastructure vulnerabilities are often concerned with water, waste management, and road and public transport. All cities are aiming to have a resilient water supply that can withstand different shocks such as disasters and stresses (availability). Wastewater and solid wastes both have to be dealt with in order to avoid disease, pollution, and problems in the traffic system due to waste on the roads. The strategies stress the need for good communications, roads, and public transport. A lack of mobility will not only hinder emergency services to perform their functions but it can have economic impact as well.

## Social Dynamics

Social vulnerabilities concern two major areas: exclusion from society and lack of society-provided services. These vulnerabilities are often discussed as intertwined and related. Societal exclusion is both discussed as a problem in its own right but is, in addition, both a symptom and a cause of other social vulnerabilities. Vulnerable groups are often exposed because of multi-factorial issues of exclusion, poverty, education and so on. Solutions are also often framed in a compounded way: appropriate

educational program will solve problems related not only to education but economic and exclusion problems as well. The other type of problems concerns the citizens access to societal services such as health care and protection from crime.

### 5.2.2 SOLUTIONS

A common approach to vulnerabilities in the city is to create community plans or expand present programs or plans. The cities use pilot *projects* to evaluate approaches and plans before they are expanded to include the city. Commonly, RC100 cities are currently planning to alter evaluation processes of the projects to include resilience aspects making it an integral part of policy making and everyday operations.

A summary of the identified categories of solutions is presented in Table 17. Below the results are discussed in relation to the three focus areas in the SMR project: Climate Change, Critical Infrastructure, and Social dynamics. See Annex 4 for details further details.

**Table 19. Categories of suggested solution. Left column presents the main categories and right column subgroups (where applicable)**

Solution	Sub-groups
Citizen responsibility	-
Co-operation	<i>Collaboration, Community approach, Develop leadership, Competition, Partner relationship</i>
Culture and arts	<i>Event, Sports</i>
Economic	-
Education	<i>Resilience awareness, Training</i>
Environment	<i>Placemaking</i>
Financial	<i>Insurance</i>
Infrastructure	<i>Bicycle Transportation, Robust buildings, Construct affordable housing, Drinking water, Electric energy supply, Flooding or sea rise, Public transportation, Rehabilitate rivers and other bodies of water, Road Infrastructure, Sewage and drainage systems</i>
Knowledge gaining	<i>Academic research, Develop indicators, Experimental research</i>
Marketing	-
Planning	<i>Climate plans, Departmental co-ordination plans, embed resilience in all new plans, Expand a present program, Strategies for action, Transportation planning,</i>



	<i>Urban bio-diversity and sustainable ecology – plans, Water infrastructure and management plans</i>
Public Policy	-
Social	<i>Social Cohesion</i>
Technological	<i>Assessment tools, Digital technology, crowdsourcing, open data, rain water usage technologies</i>

## Climate change

Solutions to climate change is often in the form of public policies. It is common to try to address the problems of GHG emissions by creating public policies so that the city departments will lower their energy usage. Another popular approach is to invest in renewable energy or that a certain percentage of the city energy use will be renewable by a certain time. Solutions to climate vulnerabilities such as sea-rise are often multifunctional infrastructure: It's not just a concrete flood barrier but also a part of a park or a nice walk by the sea.

## Critical Infrastructure

Infrastructure problems are usually solved technically. For example, vulnerable solutions to the water-infrastructure is built away. Social vulnerabilities that are addressed with infrastructural solutions tend to be transportation solutions, such as better public transportation and rebuilding of roads to include bicycle lanes. Another type of technical-infrastructural solution, discussed in the reports, to social problems is to build affordable housing.

## Social Dynamics

Social vulnerabilities are targeted in the reports by a set of diverse solutions. Local governments employ everything from educational programs to infrastructure and technology to approach social problems. It is also done through a process of cooperation and collaboration among stakeholders to get the best solutions for the communities.

### 5.2.3 AFFECTED GROUPS

A summary of the identified categories of affected groups is presented in Table 18. Below, the results are discussed in relation to the three focus areas in the SMR project: Climate Change, Critical Infrastructure, and Social dynamics. See Annex 4 for details further details.

**Table 20. Categories of identified affected groups. Left column presents the main categories and right column subgroups (where applicable)**

Affected	Sub-categories
Businesses	Small and medium-sized enterprises
Community	-
Groups-affected	Children, Individuals, Neighbourhoods
Local government	-
Organisations	-
Region	-

## Climate change

Vulnerabilities from climate change is mostly discussed as the responsibility of the local government. Actions to mitigate effects of climate change are usually different types of infrastructure changes. Either to lower the use of non-renewable energy sources or protect from extreme weather and flooding. One aspect of climate change where businesses are targeted through public policies is to lower the emission GHG. Company owned cars might need to run on renewable energy, for example.

## Critical Infrastructure

Several 100RC reports discuss changes to the local organization and government and to modifications of internal structures and procedures. Actions concerning areas such as CI such as plans for future projects and related knowledge-gaining activities are often described in the reports as being performed by the local government as the lone actor. Hence, despite a rhetoric of placing responsibility of resilience capacity in the community, cities seem to want to retain control over actions.

## Social Dynamics

Regarding social vulnerabilities and solutions through new collaborations the strategies often describe both the need and ambition to collaborate internally in the community and to create new forms of partnerships with businesses. Hence, internal units and local businesses are seen as a resource in this regard and an important part in increasing the city's resilience against social issues.

Several 100RC reports discuss changes to the local organization and government and relates to modifications of internal structures and procedures. Actions concerning areas such as CI such as plans for future projects and related knowledge-gaining activities are often described in the reports as being



performed by the local government as the lone actor. Hence, despite a rhetoric of placing responsibility of resilience capacity in the community, cities seem to want to retain control over actions.

### 5.2.4 THEMES

In this section bottom-up themes identified in the material are outlined.

#### **Cohesion**

Several of the actions describe efforts to unify the community and make cross-departmental cooperation easier. Resilience is built by unifying the parts of the system. To achieve this, cities take actions to support social cohesion like building parks and green areas are planned with the rationale that community members will meet and form stronger bonds. Education-initiatives such as Maker Labs are supported to increase knowledge and get the community living. Through these stronger bonds the communities seek to will be better prepared for disasters and will recover easier and faster.

#### **Information gathering**

To build better resilience, the policy makers need to know how to prepare and what to prepare for. To gain this knowledge the cities aim to use new technologies (sensors), visualization techniques and information crowdsourcing. By obtaining better information of city processes the quality of predictions of negative events is expected to. Not all information gathering is technological in nature: our study also reveals that knowledge is gained by interactions with businesses, organizations and the public.

#### **Green cities**

Cities aim to work with, not against, nature. Green spaces are expected to help cities become more resilient by reducing the impact of disasters. For instance, initiatives such as Rotterdam's "living with water", where the river can overflow in a controlled manner instead of being heavily controlled by barriers, is an exemplar of this type of thinking. Rio de Janeiro seek to collect rainwater to build redundancy into its water supply.

Cities are planning new green spaces to reduce the effects of storms, flooding, and heat waves. Green areas not only reduce weather effects; they increase a sense of wellbeing as they can be used by citizens as a meeting place when the park is not a water reservoir reducing the amount of surface water during a storm. An example city employing this thinking is Byblos where one wants to open up its overbuilt river to create a place where communities can meet.



## Positive effects of interventions

Changes in the community almost never has a single effect on the city's resilience but can have far-reaching effects in many different realms of society. The construction of a park, for example, not only gives the community a green place to spend their afternoon, it can also be a meeting place for different to support social cohesion. Additionally, its permeable soil can increase resilience against flooding and decrease effects of heat waves. The trees absorb GHG and the park is a place of education where the community can learn about ecological principles. An education program can increase economic resilience and lower vulnerabilities to health risks. Resilience solutions are often framed in this way in the reports: cascading positive effects from single community actions.

### 5.2.5 CONCLUSIONS

The study indicates that the resilience strategies and concrete actions of the 18 RC100 are focused on cohesion, information gathering (monitoring), and resilience thinking based on graceful management of "disasters", such as allowing *controlled flooding*. Resilience-improving actions are seen from multiple, positive perspectives. With regards to cohesion, cities aim to approach the *management silos* and also seek to improve communication with citizens, business and other stakeholders. The analysis also revealed that there is no single approach to resilience implementation in these cities, which indicates that general and adaptable approaches and tools to resilience implementation is advisable, hence, approaches and tools that allow local conceptualisation and appropriation.

## 5.3 RESULTS: SMR CITIES

### 5.3.1 CRITICAL INFRASTRUCTURES

Basically, all cities stated that electric power, water supply and communications (transport and ICT) were of key importance to secure. However, threats to those infrastructures are not the same for the cities. The cities also reported that dependencies among different infrastructures are a problem, for example, that ICT infrastructure and communications are dependent on power. These dependencies can result in unwanted *cascading effects* in the infrastructural system when a single infrastructure fails. A common mitigation approach mentioned to increase robustness in the infrastructures was to separate systems and remove critical interdependencies among systems (de-centralisation). Many cities also mentioned emergency services and hospital resources as being important infrastructures to secure. Moreover, the cities have local and distinctive assets that need protection such as chemical plants and ports.

### 5.3.2 DEPENDENCIES AND COLLABORATIONS

#### NUMEROUS DEPENDENCIES

The dependencies, numerous stakeholders (subcontractors) and legal frameworks render managing the infrastructures on the local level difficult. A present strategy in the resilience work is to seek to better communication among different stakeholders and to pool resources locally and regionally.

The cities' infrastructure sits within a complex national and global framework with inherent co-dependencies and weak points. For example, electricity production and distribution in Bristol is provided by both national and regional bodies. The understanding of all present dependencies in the city's

infrastructure is a problem and the hope is that the 100 RC programmes will deepen the understanding of the issues involved. According to Kristiansand is, for example, that hydro power in Norway is owned by the state but produced locally. Decreased local power production means that the state-owned energy company must rely on other countries and import energy. Regarding their ICT-infrastructure, Kristiansand is depending on a state-owned company. Glasgow City Council holds a budget which supplies a great deal of the required infrastructure in the city such as roads, waste water, as well as emergency health services. This means that the resilience of Glasgow not necessarily depends on external resources. Provisions for pooling resources with Scottish local authorities have been established. Vejle reports on several regional collaborations with the goal to strengthen infrastructural resilience such as the triangle collaboration area with communities Billund, Frederica, Kolding, Middlefart and Vejen.

### 5.3.3 RECENT FAILURES AND PROBLEMS

Donostia/San Sebastian report on ground contamination and pollution problems (dam) as well as disasters related to transportation of dangerous goods. Extreme weather is reported to be a problem for Bristol, industrial events (fires), infrastructural failures as well as riots and past terrorism events. Economic decline has affected Bristol's resilience due to recent financial crises. This problem has had a direct impact on Bristol's means to deal with shocks and planning for long-term resilience. Kristiansand reports on a recent event that shut down

#### GENERAL PREPAREDNESS

Local work and preparedness seems to be biased towards local conditions and previous experiences of failures and problems, which might decrease the general resilience of the cities.



several departments in the hospital including the emergency room. This problem was due to flooding. Kristiansand also report on raising unemployment figures that effect holding competence in the region. Moreover, they report on the terror attacks in Oslo and Utoja that affected the city indirectly. Here, a problem was to get correct information on fatalities etc. Glasgow reports on severe weather impacts such as high winds resulting in floods. Ground contaminations have resulted in delayed project of development of infrastructure. Moreover, Glasgow reports unforeseen emergency events (helicopter crash) and problems related to vandalism. Finally, Vejle reports on several flooding disasters that have been due to heavy rainfall and rising sea level.

### 5.3.4 WORK METHODS

According to Bristol the current work processes are focused on strengthening existing organisational bodies rather than creating new ones to achieve goals set by the state. However, much of policy and the related decision-making regarding the critical infrastructures is outside the

#### JURISDICTION AND SCOPE

Much of policy and the related decision-making regarding the critical infrastructures is outside the jurisdiction of the cities which inhibit their

jurisdiction of the city. Bristol reported ongoing work to improve data collection from citizens to improve decision-making. Donostia reported that local emergency plans in terms of special plans, procedures and practice guidelines have been set up. With regard to the infrastructures the work is focused towards prevention and structural improvements (e.g. continuous improvement).

A present strategy in the resilience work is to seek better communication among different stakeholders and organisations (Kristiansand). They seek to improve collaborations with near cities and municipalities to improve the critical infrastructures (shared infrastructures). Changes in local policies have, in some cities, been implemented in the cities development plans. For example, Glasgow reports that new legislation requires contractors of larger development projects to plan and include sustainable water drainage systems. One city reports that improvements in working processes include ideas to centralise information centres to one centre that, according to respondents, would increase ability to gen an overview and monitor the environment (e.g., CCTV). Some cities mention that they are Resilience Labs (City as Lab) in the 100RC collaboration. This means that they are now able to test and evaluate different approaches to resilience and report back to the 100RC partners

### 5.3.5 BEST PRACTICES

The questionnaire shed some light on already implemented practices in the cities:



Glasgow has been forward planning and implementing several initiatives; Glasgow City Development Plan (expected to be adopted 2016), Glasgow City Council's Resilience Team and Resilience Partnership, The Traffic and Coordination Centre as well as regular network meetings with key infrastructure partners. The initiatives include new policies regarding planning across the city as well as procedures for risk monitoring, learning etc. Kristiansand report that they have implemented a national risk and analysis tool (CIM) which is, basically, used for incident reporting. Moreover, they have implemented TQM in the technical department. Risk and vulnerability analyses is on implemented approach and made when planning new industrial and housing areas. The city of Vejle has approved a new risk management plan for flooding and a plan for a resilient city. Bristol reports on a range of new initiatives that are expected to improve the resilience level of the city many with a focus on flooding; they have improved monitoring capabilities nowadays using flow sensors and incident with follow up reporting (Op-Link). Some cities state that it is important to have political and mayoral engagement that champion the resilience work.

### 5.3.6 CHALLENGES

Generally, all cities report that it is challenging to maintain and upgrade the water and sewage systems which are expensive and difficult to adequately dimension. It is difficult to assess the overall quality and maintenance requirements of different the critical infrastructures due to information fragmentation, different players and a general lack of transparency of performance data. Stakeholders do not share data as stated by the Civil Contingency Act (difficult to enforce) and point to "commercial sensitivity". Moreover, there are deficient communication platforms and infrastructure to facilitate collaboration on critical community infrastructures and maintenance. For example, difficulties of knowing the status and quality of their infrastructures (e.g. maintenance needs in an aging infrastructure). Worries are centred on new economic and climate change impacts related to the infrastructure, for example, related to maintenance and funding resources. Vejle's challenges relate to problems with flooding, rain and an increased dependence on vulnerable digital solutions. Moreover, a pronounced problem is to involve civil society and companies to support the welfare readiness to possible disasters. Some cities work with radicalisation and violent extremism, increased unemployment and ways to keep competence within the region. Other current challenges include improving communication with the citizens, handling local treats with fully resourced local providers, defining the boundaries in which the cities should work, and improving lacking ICT for maintenance.





### 5.3.7 CONCLUSIONS

The cities' infrastructure sits within complex national and global frameworks with inherent co-dependencies and weak points. Basically, all cities stated that electric power, water supply and communications (transport and ICT) were of key importance to secure. Much of policy and the related decision-making regarding the critical infrastructures are outside the jurisdiction of the cities which inhibit their response to disasters and problems. The dependencies, numerous stakeholders (subcontractors) and legal frameworks renders managing the infrastructures on the local level difficult. A present strategy in the resilience work is to seek better communication among different stakeholders and to pool resources locally and regionally. Moreover, some of the cities have implemented incident reporting and sensing systems to locate potential threats and problems in their infrastructure. Threats to the infrastructure are not general to the cities with local conditions and risks that must be managed. Local work and preparedness seems to be biased towards local conditions and previous experiences of failures and problems. The city survey says little regarding specific organisational setups of the resilience work in participating cities. Follow up studies are needed, preferable using interview or workshops methods. Current challenges include improving communication with the citizens, handling local treats with fully resources local providers, defining the boundaries in which the cities should work, and improving lacking ICT for maintenance.





## 6 DISCUSSION AND CONCLUSIONS

In this section the methods and findings of the studies are discussed in the light of the SMR project aims and goals. The first section provides a critical discussion on the methods used for the studies. The second section discusses the key findings from the studies and implications for the SMR project and development of the tools. Concluding remarks are presented in the third section.

### 6.1 METHODOLOGY

The work in this deliverable includes a broad spectrum of literature from scientific and practical work of urban and disaster resilience world-wide. However, the broad and diverse scope of the resilience concept also poses several limitations on the studies, as discussed below.

#### 6.1.1 LIMITATION OF SCIENTIFIC LITERATURE REVIEW

The research questions posed to guide the literature search are broad and do thus not allow conclusive and exhaustive answers. However, the questions were useful as a means to guide the search, scope and analysis. The objective of the review was not to provide an exhaustive review of literature that refers to resilience in an urban setting, but to get an overview of how the concept is discussed and applied in scientific literature. To keep the search manageable the review was done only in Scopus, limiting the search to disciplines and subject areas included in the data base. Also, within the scopes search several steps were taken to narrow down the search resultful, including subject areas, number of citations, recency and relevancy regarding key words. The search and selection criteria impose several limitations on the scope of the review and it is likely that there are more articles relevant to the topic not included in the review. However, based on the scope of this review it is possible to draw conclusions regarding view on what resilience, converge on approaches and central concepts, and challenges ahead. So, although additional studies could provide valuable insights for the SMR project, particularly regarding useful approaches, it is considered unlikely that a broader review would generate different conclusions. Also, no detailed accounts of specific approaches or indicators are included in the overview presented in this report. However, the findings are saved as a catalogue of information which can be used in further WPs, as more specific questions arise.



### 6.1.2 WORLD-WIDE REPORTS

In 30 reports and web resources from organisational bodies and cities worldwide were analysed concerning to resilience frameworks, definitions, networks, resilience tools, evaluation frameworks, and metrics. A limitation of this study is its tendency toward climate issues and on organisations and cities focussing on climate change. Mitigation was performed in Version 2 of this report which included analysis of general frameworks for resilience (e.g., OECD) and inclusion of concurrent research on resilience city management.

### 6.1.3 CITY SURVEY

The resilience strategies and concrete actions of eighteen RC100 cities worldwide were analysed and summarized. The data came solely from *official reports* from these cities. The information in these documents is abstract and refined. This make it somewhat difficult to identify concrete actions and concrete work processes related. Hence, it is challenging to assess political and economic processes, as resilience is integrated into existing organizational setups and processes.

The SMR city study was to be focused on resilience of critical infrastructure and related issues in the participating SMR cities. Hence, this part of the city survey says little on issues outside this scope, for example, regarding social issues and specific organisational setups of the resilience work. Follow up studies are needed, for example, with regards to social issues and how these are handled, preferable using interview or workshops methods.



## 6.2 KEY FINDINGS AND IMPLICATIONS

In this section, key findings of the results are discussed and implications for the SMR project are identified.

### Key finding 1

In academic literature, much of the definitions on urban and disaster resilience use a socio-ecological perspective. A socio-ecological viewpoint commonly referred to resilience as a systems adaptive capacity, that is, the ability to adapt to the changing environment and evolve over time (“bounce forward”). In literature from organisations, institutions and businesses (e.g., UNISDR, 2009) definitions of resilience are more focused on the ability to “bounce-back”, through recovery and robustness. Recovery refers to a systems ability to return to its original state after a disturbance and robustness is typically achieved by “hardening” the system or expanding the set of disturbances the system can withstand. Implications of using different definitions are found in assumptions about the system, measurements of resilience and suggested system improvements. A focus on “getting back” to a previously known state, suggests analyses based on linear cause and effect relationships. A “bounce forward” viewpoint requires description and analyses of more intricate systems dependencies and interdependencies, as cause and effect relationships may not be sufficient. Defining measurements and making improvements in the latter case thus requires continuous monitoring and learning of past and current process, to anticipate upcoming needs and future challenges.

**Implications:** Implications of different resilience viewpoints are found in the assumptions, objectives, measurements and improvements made by researchers and practitioners. It is thus of utmost importance to carefully consider and discuss with all project partners about the objectives, viewpoints and strategies used in the SMR project, to ensure joint understand of the conducted work.

### Key finding 2

A frequent topic in the literature is how to go from theory to practice, that is, from normative to descriptive applications of resilience. There is a large variety of attributes and indicators used in urban resilience methods, reflecting the lack of consensus and unification of urban resilience and its central themes. It also reflects the vast amount of aspects that are important to resilience and that there are many ways to work on aspects of resilience, depending on the area of interest. Further, links between different



dimensions of resilience are missing, including social and physical aspects. To address the gap suggested frameworks include very high-level concepts. The advantage of high-level concepts is that they offer a way to see the complexity and vast amount of processes and stakeholders involved and the flow between them. The downside of more general models is that they must be translated to a specific context, which can be cumbersome and challenging. Challenges include untangling and defining multiple dimensions and parameters. The complexity of cities, with multiple interconnected factors and the dynamic and rapidly changing society makes boundary setting both a critical process but also a source for potential problems. Identifying the right scope, the influencing factors and how these are linked is a major challenge. In this sense, the conceptual frameworks are useful on theoretical level, but still far from being available for practical use.

**Implications:** For the SMR-project the broad scope of resilience means that the focus areas must be clearly specified to allow a contextual setting for work on resilience guidelines and tools. At a first instance guidance from literature can mainly be given on a high level. Once more specific objectives and contexts are identified, literature can again be advised to help guide continued development. Further, several theoretical advances must be made within the SMR project to achieve the project objectives, including defining the viewpoints, scope, indicators and measurements that reflect the SMR resilience definition and scope.

### Key finding 3

Regarding non-academic frameworks and campaigns for city resilience, we have found that they generally tend to *focus on risk reduction* (Safety I) rather than on risk and general adaptive capacity (Safety II). Moreover, and generally, they tend to focus on *specific issues*, like climate threats and related matters, and less on how to implement resilience in an existing city organisation and infrastructure (e.g., the Paris Agreement, New Urban/Agenda/Habitat III). The preliminary report and city framework from OECD provides a modern resilience perspective that acknowledges both Safety I and Safety II issues. For example, it states that enhancing resilience requires *new ways of designing and delivering policies*, because they are policies for *changing* circumstances. Collaborating with all stakeholders, in particular, citizens and the private sector, is also seen as important for resilience. To increase resilience, city management should, according to the OECD report, work together with both national and regional governments because the issues that need to be resolved include many stakeholders. Moreover, investing in a broad, diverse and innovative industry and community network developments, improve capacity to rebound from challenges, crises and shocks. The above discussed critique and the OECD



perspective on resilience is in line with contemporary research on governance and city management. Adaptive governance is characterized by notions of city management as flexible and innovative and processes that foster learning to handle uncertainties and system complexities (Brunner et al. 2005; Dietz et al. 2003; Folke et al. 2005, Djalante et. al., 2013). The idea is to strengthen mechanism that foster flexibility, multi-stakeholder and cross-organisational collaboration and learning (Djalante et. al., 2013).

**Implications:** Models and tools developed in SMR should acknowledge and support both risk reduction (Safety I) and adaptive capacity (Safety II) perspectives. A focus on general capacities, flexibility and multi-stakeholder collaboration across private and public sector will increase resilience and adaptive capacity. Flexible city management processes that foster learning with regards to handling unexpected events is suggested. Policies and metrics should focus on cohesion, communication, flexibility and integration of resilience into existing city organisation, budgeting and financing processes.

#### Key finding 4

RC100 cities worldwide are seeking to improve their *monitoring capacity* to identify potential threats and problems in their cities. Both technological solutions (incident reporting and sensor systems) and well as programs aimed to improve general communication with citizens are implemented. The latter is also targeted at improving social cohesion and inclusion of weaker groups in society through both infrastructure projects such as creating parks and meeting places and targeted projects such as improving public schools. A line of thinking in the RC100 cities is to work along with nature seeing it as a resource rather than a threat. Moreover, resilience actions and projects are framed in a way to highlight the many positive cascading effects in several community sectors that single changes can create. Moreover, the cities' infrastructure sits within complex national and global frameworks with inherent co-dependencies and weak points. Basically, all cities stated that electric power, water supply and communications (transport and ICT) were of key importance to secure. Much of policy and the related decision-making regarding the critical infrastructures are outside the jurisdiction of the cities which inhibit their response to disasters and problems. The dependencies, numerous stakeholders (subcontractors) and legal frameworks renders managing the infrastructures on the local level difficult. A present strategy in the resilience work is to seek better communication among different stakeholders and to pool resources locally and regionally. Threats to the infrastructure are not generalizable, as cities have local



conditions and risks that must be managed. Local work and preparedness seems to be biased towards local conditions and previous experiences of failures and problems.

**Implications:** Improving general monitoring capacity is a key to improve resilience in the RC100 cities. Cities should have processes for setting up and using monitoring data at different levels. The SMR maturity models and related tools should highlight a cities' monitoring capacity and its progress through maturity levels. Multi-sector collaboration as well as resource pooling is a strategy used to increase resilience in the RC100 cities. SMR policies and metrics should include aspects of collaboration and resource sharing. Moreover, it is important to acknowledge that legislation in many cases is outside the jurisdiction of the city, which can hamper flexibility.

## 6.3 CONCLUDING REMARKS

The objective of this report has been to obtain an overview of viewpoints, approaches, challenges and best practices in urban resilience worldwide. To this end, an academic literature review, an analysis of world-wide reports and city surveys have been conducted. The work presented in this report is an overview of the findings. The analyses underlying this overview will serve as a repository for the remainder of the project as tools are developed and questions asked. Below some of the key take-away points from this report are summarised.

### Key take-away points for the SMR project

- ✓ Perspectives and approaches to resilience differ greatly. To ensure joint understand of the SMR goals and strategies elaborate discussions on resilience viewpoints involving all city partners should take place. Topics highly affected by the viewpoints that deserve careful consideration include definitions, approaches and objectives.
- ✓ The SMR tools require a careful balance between general, high-level concepts, and the specifics of the different settings (i.e., cities) the tools are being developed for. Through the development of the SMR tools there is an opportunity to take an important step in the right direction of going from normative to descriptive models and guidelines.
- ✓ Models and tools developed in SMR should acknowledge and support both risk reduction and adaptive capacity. Increased focus on general capacities, flexibility and multi-stakeholder collaboration across private and public sectors is an important next step to increase resilience



and adaptive capacity. Flexible city management processes that foster learning with regards to handling unexpected events is suggested.

- ✓ Policies and metrics should focus on cohesion, communication, flexibility and integration of resilience into existing city organisation, budgeting and financing processes.
- ✓ Improving general monitoring capacity is a key to improve resilience in the RC100 cities. Cities should have processes for setting up and using monitoring data at different levels. The SMR maturity models and related tools should highlight a cities' monitoring capacity and its progress through maturity levels.
- ✓ Multi-sector collaboration as well as resource pooling is a strategy used to increase resilience in the RC100 cities. SMR policies and metrics should include aspects of collaboration and resource sharing.



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## ANNEX 1. FRAMEWORKS TABLE

*Framework type and authors* presents the framework name or central concept where no name is given and the authors. *Key features* described the main objective of the proposed framework. *Key attributes/indicators* offer an overview of the framework central concepts. *Target area* describes the areas in which the framework is intended for. *Application* notes if the framework has been applied or not. *Comment applicability* describes particular or outstanding features of the framework.

Framework type and Authors	Key features	Key attributes/indicators	Target area	Application	Comments
Enabling conditions for general resilience  Carpenter, 2012	Aims to go beyond socio-ecological and includes literature on natural disasters, social vulnerability, scenario planning, and adaptive management.	Enabling condition for general resilience: <ul style="list-style-type: none"> <li>- Diversity</li> <li>- Modularity</li> <li>- Openness</li> <li>- Reserves</li> <li>- Feedback</li> <li>- Nestedness</li> <li>- Monitoring</li> <li>- Leadership</li> <li>- Trust</li> </ul>	Urban/city resilience Economic resilience, Climate change, Man-made hazard	Not applied	Challenge is to transform this into concrete plans and action
Resilient cities framework	Holistic approach to designing, planning, and	Framework includes reducing cities into elements:	Holistic urban resilience	Not applied	Framework is developed based on 20 case studies



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Desouza, 2013	managing for resilience by including an evaluation of cultural and process dynamics within cities as well as their physical elements.	<ul style="list-style-type: none"> <li>- Urban system design</li> <li>- Planning and management</li> <li>- Physical and social process</li> <li>- Spatial and temporal</li> </ul> <p>Strategies for resilience:</p> <ul style="list-style-type: none"> <li>- Assume change and uncertainty</li> <li>- Nurture conditions for recovery and renewal after disturbance</li> <li>- Combine different types of knowledge for learning</li> <li>- Create opportunities of self-organisation</li> </ul>			<p>Focus on flow in and out of cities.</p> <p>Strategies are intended to help direct the development.</p>
The MOVE framework (Methods for Improvement of Vulnerability Assessment in Europe)	Holistically assess vulnerability and resilience in response to hazards.	<p>Exposure: geographical range of a hazard event</p> <ul style="list-style-type: none"> <li>- Susceptibility describes the predisposition of elements at risk to suffer harm</li> </ul>	Natural hazards (disaster risk)	Hypothetic illustration of application on flooding and earthquake in Europe	Based on review of previous frameworks

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Birkmann, 2011		<ul style="list-style-type: none"> <li>- Lack of resilience (limitation of access to and mobilization of the resources)</li> <li>- Hazard potential occurrence of a hazard.</li> <li>- (multi-dimension, social, economic, physical, cultural, environmental, institutional)</li> </ul>			
<p>The DRLRL (Disaster Resilience of "Loss-Response" of Location)</p> <p>Zhou, 2009</p>	A model for a geographic perspective of resilience	<p>Risk (resistance/relief/loss potential) filtered through:</p> <ul style="list-style-type: none"> <li>- Social resilience (ability to respond, adaptive resilience)</li> <li>- Biophysical resilience (geographical context, inherent resilience)</li> </ul> <p>Dimensions:</p> <ul style="list-style-type: none"> <li>- Attribute (Economic, institutional, social, environmental)</li> </ul>	Community/societal resilience, Organisational/local government resilience, Economic resilience, Natural hazard, Climate change	Case study on agricultural drought in China.	Building at various spatial levels. Offers the link to the geographical area as a determining factor of resilience.



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		<ul style="list-style-type: none"> <li>- Space (Community, Town, County, Province, Country)</li> <li>- Time (Pre-, In-, Post-, Next disaster)</li> </ul>			
<p>A conceptual framework of vulnerability, resilience, and adaptation</p> <p>Yongdeng, 2014</p>	Relationships of vulnerability, resilience, and adaptation within the disaster risk domain.	<p>Vulnerability (inner attribute)</p> <p>Resilience (reactive response)</p> <p>Adaptive Capacity (protective action)</p>	Natural hazard, Climate change	Case study on agricultural drought in China	Focus on disaster risk (short term). May not fit other domains with longer time scales.
<p>Common reference framework</p> <p>Cimellaro, 2010</p>	Quantitative evaluation of disaster resilience offering unified terminology for a common reference framework.	<p>Engineering resilience:</p> <ul style="list-style-type: none"> <li>- Capability to sustain a level of functionality or performance from a given building (quantified)</li> <li>- Recovery time the period necessary to restore functionality of a structure</li> </ul>	Natural hazard	Two application for hospital network hit by earthquake	Includes only quantitative assessments. Assumptions made are only representative for the cases presented.
Three-stage resilience	Mathematical model to measure	Engineering resilience of a power grid:	Natural hazard, Man-made hazard,	Case study of the power	Does not include dynamic resources.

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analysis framework	infrastructure resilience.	<ul style="list-style-type: none"> <li>- Resistance capacity</li> <li>- Absorptive capacity</li> <li>- Restorative capacity</li> </ul>		transmission grid in USA	Mathematical model for technical resilience.
Min Ouyang, Leonardo Dueñas-Osorio, Xing Min, 2012					
Conceptual framework of resilience and sustainability	A conceptual framework to understand the relationship between resilience and sustainability	<p>Engineering resilience:</p> <p>Sustainability in two dimensional graph:</p> <p>Quality (health of the city)</p> <p>Time</p> <p>Resilience: typically only offers a brief moment in time (but using the same indicators)</p>	Sustainability, Resilience	Case study of a coastal town subject to sea-level rise and large storms	<p>Focuses mainly on the link between resilience and sustainability.</p> <p>Mathematical model to measure the health of a city. Does not provide indicators.</p>
Tonatiuh Rodriguez-Nikl, 2015)					
Conceptual framework for resilience in infrastructure	Conceptual framework for resilience within infrastructure	<ul style="list-style-type: none"> <li>- Robustness (the extent of system function that is maintained) and</li> </ul>	Organisational/local government resilience, Natural hazard	Not applied	Measurements of robustness and rapidity in quantitative terms but describe

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McDaniels, 2008	<p>systems after an extreme event.</p> <p>Characteristics of a framework through the use of flow diagrams for understanding decision types that can be pursued.</p>	<ul style="list-style-type: none"> <li>- Rapidity (the time required to return to full system operations and productivity).</li> </ul> <p>Characterizations:</p> <ul style="list-style-type: none"> <li>- socio-technical context</li> <li>- pre-disaster planning</li> <li>- vulnerability</li> <li>- Hazard</li> <li>- Robustness</li> <li>- Adaptation</li> <li>- Rapidity</li> <li>- Learning</li> </ul>		<p>Discussion on hospitals and earthquakes from an infrastructure point of view</p>	<p>their decision model in qualitative terms (not applied)</p>
<p>RCPF (the Resilient City Planning Framework)</p> <p>Jabareen, 2013</p>	<p>The framework aims to fill the theoretical and practical gaps and answer questions regarding what cities and their urban communities should do in order to move towards a more resilient future state.</p>	<ul style="list-style-type: none"> <li>- Vulnerability Analysis matrix (uncertainty, informality, demography, spatiality)</li> <li>- Uncertainty Oriented Planning (Adaptation, planning, sustainable form)</li> <li>- Prevention (Mitigation, Restructuring, Alternative Energy)</li> </ul>	<p>Climate change</p> <p>Urban infrastructures.</p>	<p>Not applied</p>	<p>Lacks description of how to measure/evaluate the concepts</p> <p>Suggests both qualitative and quantitative measurements depending on definition of data</p>

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		<ul style="list-style-type: none"> <li>- Urban Governance (equity, integrative, economics)</li> </ul> <p>Offers a set of questions/measurements for each area (p 227)</p>			
<p>Strategy based framework</p> <p>Restemeyer et al., 2015</p>	<p>A strategy-based framework for assessing the flood resilience of cities. Identification of components to implement resilience strategies. Aims to move from definition to “doing” resilience.</p>	<ul style="list-style-type: none"> <li>- Content (policy instruments),</li> <li>- Context (strategic issues, institutional structure),</li> <li>- Process (intellectual, social and political capital)</li> </ul> <p>The categories above are analysed in terms of Robustness, Adaptability, Transformability</p> <p>Deals with measures, strategic/institutional aspects, and different capital</p>	<p>Natural hazard, Climate change</p>	<p>Case study of flooding in Hamburg</p>	<p>Focused on flooding scenario</p>

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<p>Theoretical framework for community resilience</p> <p>Stewart, Geoffrey T Kolluru, Ramesh Smith, Mark, 2009</p>	<p>A framework of community resilience to understand the ability of impacted areas to effectively manage the consequences of disasters</p>	<ul style="list-style-type: none"> <li>- Public-private relationships</li> <li>- Supply chain resilience</li> <li>- Critical infrastructure/key resources/resilience</li> <li>- Community resilience (economic, social)</li> </ul>	<p>Community/societal resilience, Economic resilience</p>	<p>Not applied</p>	<p>Framework requires local identification of indicators.</p>
<p>Joint framework for community resilience</p> <p>Ainuddin, 2012</p>	<p>Review of community resilience frameworks and proposes a joint framework for community resilience</p>	<p>Community resilience:</p> <ul style="list-style-type: none"> <li>- Vulnerability analysis (individual/community)</li> <li>- Risk and Perception Awareness</li> <li>- Resilience Analysis (social, Economic, Physical, Institutional)</li> </ul>	<p>Hazards and Natural disasters</p>	<p>Not applied</p>	<p>Provides and overview of previous frameworks for community resilience</p> <p>Results from a household survey</p>

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<p>Resilience Matrix (RM) framework</p> <p>Fox-Lent, 2015</p>	<p>Utilizes local stakeholder-informed metrics aligned with the temporal stages of the National Academy of Science definition of disaster resilience.</p>	<p>Define system boundaries</p> <p>Identify critical functions</p> <p>Select indicators and generate scores</p> <ul style="list-style-type: none"> <li>- Physical</li> <li>- Information</li> <li>- Cognitive</li> <li>- Social</li> <li>- Prepare</li> <li>- Absorb</li> <li>- Recover</li> <li>- Adapt</li> </ul>	<p>Community resilience,</p> <p>Primarily focus on coastal areas</p>	<p>Application of the RM to coastal community resilience in USA.</p>	<p>Uses specific metrics that have a higher and lower bound for performance and scores them. Numbers must be localized to have meaning.</p>
<p>A place-based model for community resilience</p> <p>Cutter, 2008</p>	<p>Developed a model that can be applied to community level resilience, primarily while viewing natural hazards.</p>	<p>Antecedent conditions: place specific processes (inherent vulnerability, resilience)</p> <ul style="list-style-type: none"> <li>- Hazard event conditions</li> <li>- Coping responses</li> <li>- Adaptive capacity improvisation, learning (longer term)</li> <li>- Degree of recovery</li> </ul>	<p>Community resilience,</p> <p>Primarily natural hazards, but also other rapid onset events</p>	<p>Not applied</p>	

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<p>The WISC framework (Well-being, Identity, Social services and Capital)</p> <p>Miles, 2015</p>	<p>Foundations of community disaster resilience</p>	<ul style="list-style-type: none"> <li>- Community (Well-being, Identity)</li> <li>- Infrastructure (Services Capitals)</li> </ul>	<p>Community resilience, community infrastructure</p>	<p>Not applied</p>	<p>Fairly high level, offers some suggestions on classifications for each of the WISC</p>
<p>Adaptive cycle model</p> <p>Simmie, 2010</p>	<p>A four-phase adaptive cycle model of regional economic resilience that follows a sequential cycle- Each phase of the cycle is associated with different degrees of resilience, connectedness and capital accumulation or release.</p>	<p>Economic resilience:</p> <ul style="list-style-type: none"> <li>- Reorganisation Phase (period of innovation and restructuring)</li> <li>- Exploitation Phase (period of growth and seizing of opportunities)</li> <li>- Conservation phase (period of stability and increasing rigidity)</li> <li>- Release Phase (period of decline and destruction)</li> <li>- Reorganisation and restructuring</li> </ul>	<p>Economic resilience</p>	<p>Applied on two cities in the UK</p>	<p>Entirely focused on economic aspects</p>

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<p>Community resilience model</p> <p>Sherrieb, 2010</p>	<p>Measure adaptive capacities for Economic Development and Social Capital in the Norris et al. (2008)</p>	<p>Adaptive capacity of economic and social capital:</p> <ul style="list-style-type: none"> <li>- Economic development</li> <li>- Social capital</li> <li>- Community resilience</li> </ul> <p>Measure resources level, equity and diversity of economic development</p>	<p>Economic, some aspects of community resilience</p>	<p>Applied to publicly available data for validation</p>	<p>Economic indicators, some social capital such as community involvement</p>
<p>Measures of latent resilience</p> <p>Somers, 2009</p>	<p>Measure latent resilience in organisations</p>	<p>Measures for organisational crisis planning</p> <ul style="list-style-type: none"> <li>- Goal-directed solution seeking</li> <li>- Risk avoidance</li> <li>- Critical situation understanding</li> <li>- Ability to fill multiple roles</li> <li>- Reliance on information sources</li> <li>- Access to resources</li> </ul>	<p>Organisational resilience</p>	<p>Applied to a public works organisation</p>	<p>Focused on an organisation of a limited scale, not clear how it translates to something larger</p>



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<p>Identification of resilience aspects</p> <p>Berkes</p>	<p>How resilience aspects can help reduce vulnerability.</p>	<ul style="list-style-type: none"> <li>- Foster ecological, economic and cultural diversity</li> <li>- Plan for changes that are likely to occur</li> <li>- Foster learning</li> <li>- Communicate the societal consequences of recent changes</li> </ul>	<p>General Resilience</p>	<p>Not applied</p>	<p>Expands upon Folke's (ref) 4 factors</p> <p>High level strategies that need to be altered to the specific context</p>
<p>Singh-Peterson et al., 2015</p>	<p>Factors influencing the resilience of the Sunshine Coast – shared resilience among stakeholders</p>	<ul style="list-style-type: none"> <li>- Environmental</li> <li>- Institutional – 15 factors</li> <li>- Infrastructure – built environment</li> <li>- Social – connectedness, community skills</li> <li>- Economic – financial capital</li> </ul>	<p>Natural hazards and community resilience</p>	<p>Case study in Australia</p>	<p>Attempting to identify which stakeholder has a high level of responsibility for which factor</p> <p>Highly localized, same factors may not apply in all urban environments</p>
<p>Resilience as a capacity and a myth</p> <p>Kuhlicke, 2013</p>	<p>Develops a descriptive understanding of resilience. Aim is to include diverging interests</p>	<p>Factors contributing to building resilience:</p> <p>(1) Learning to live with <b>change</b> and uncertainties,</p> <p>(2) Nurturing <b>diversity</b> in its various forms,</p>	<p>Organisations</p> <p>Communities</p> <p>Entire systems</p>	<p>Case study of flooding In German city</p>	<p>Discussion on the usefulness of resilience for risk and disaster management to deal with</p>

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	and social and political conflicts arising from these interests	(3) Combining different types of <b>knowledge</b> for learning and (4) Creating opportunity for <b>self-organisation</b> and cross-scale linkages (Kuhlicke, 2013)			unexpected events. Focus on how narrators construct a relationship between their experiences and their subsequent sense-making of these experiences
Factors contributing to building resilience:					



## ANNEX 2. CITY SURVEY

### Resilience implementation approaches, critical infrastructure, and current challenges

#### Questionnaire

This questionnaire is sent out to city partners in the Horizon 2020 Smart Mature Resilience project (SMR). The purpose is to get a first overview of resilience implementation approaches, critical infrastructures and the current challenges in your city. In the next phases we will likely contact you again to gain deeper insights into the specific issues regarding your city's approaches and challenges. Please, answer the questions in free text form (MS Word, pdf or scan will do). The form will take about 30 minutes to complete. Send the answers – one form per organisation – to Magnus Bång at Linköping University, Sweden by October 21<sup>st</sup> at the latest. If text space is an issue, you can extend the form. Researchers in the SMR GROUP will handle the information confidentially. If you have provided sensitive information in the form, please send it – in paper format – with ordinary mail to:

Dr. Magnus Bång

*Thank you!*

#### Definitions and explanations

##### *Resilience*<sup>5</sup>

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<sup>5</sup> European Commission. The EU approach to Resilience: Learning from food and security crises. Communication from the Commission to the European Parliament and the Council. Brussels, 3.10.2012



Resilience is the ability of an individual, a household, a community, a country or a region to withstand, to adapt, and to quickly recover from stresses and shocks.

**Critical Infrastructure Sectors<sup>6</sup> (examples)**

- |  |  |                                   |
|--|--|-----------------------------------|
| • Energy                                       |  | • Financial                       |
| • Information, Communication Technologies, ICT |  | • Public & Legal Order and Safety |
| • Water  |  | • Civil administration            |
| • Food   |  | • Transport                       |
| • Health                                       |  | • Chemical and nuclear industry   |
|  |  | • Space and Research              |

**Name of respondent:** \_\_\_\_\_

**Professional role of respondent:** \_\_\_\_\_

**Years of experience in this role:** \_\_\_\_\_

**Email of respondent:** \_\_\_\_\_

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<sup>6</sup> European Commission. GREEN PAPER: ON A EUROPEAN PROGRAMME FOR CRITICAL INFRASTRUCTURE PROTECTION, Brussels, 17.11.2005.



1. Please, state and prioritize the *five* most critical infrastructures in your city:

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

4. \_\_\_\_\_

5. \_\_\_\_\_

2. How does your city's critical infrastructure *depend on resources* coming from other cities or even cities outside your country?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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\_\_\_\_\_



3. What kinds of *failures and disasters* has your city experienced in the past?

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4. Did the experienced failures and disasters described under Question 3 lead to some *changes in policies* for managing the critical infrastructures? If yes, can you briefly *explain the implemented policy changes*.

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5. What kinds of failures and possible disasters are you specifically preparing for currently?

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6. We want to know how you *work concretely* with resilience of the critical infrastructures in your city. Please, answer the following:

- a. What are your primary *goals* with respect to improving the resilience of your critical infrastructures?



- 
- 
- 
- b. What *working groups* are involved in improving the critical infrastructures? Please, state the *primary stakeholders* involved in this work effort (management, operative etc.).

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- 
- 
- c. What are their *roles and responsibilities*?
- 
- 
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- d. What kinds of *work processes* (procedures and initiatives) are being set up to strengthen the *overall resilience* of the critical infrastructures in your city?

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- e. What are the *greatest challenges* regarding the resilience of critical infrastructures in your city?

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7. What kinds of *best practice* of resilience have already been implemented to improve your city's resilience level? (For example, incident reporting, monitoring of risks etc.)

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8. Please, state *three important current collaborations* with other cities, regions, nations, and



the EU with respect to the strengthening the resilience of the critical infrastructure of your city.

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

9. What *direct safety measures* such as physical barriers related to critical infrastructures have you *already* implemented in your city to hinder and decrease effects of failures and disasters?

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10. Please specify any sources where we can obtain more information on your city and your approach to resilience. (Internet sources, contact persons etc.)



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## ANNEX 3. RESILIENCE DEFINITIONS - EXPLORATORY

Year	Subject	Author	Aim of article
2015	Political	(Fainstein, 2015)	"This essay first examines how resilience is currently being defined, then discusses the way in which it obscures power relations, notes the strengths of a Marxist framework and critiques progressive attempts to circumvent power hierarchies through calls for participation." p. 158
2011	Political	Jeremy Walker, Melinda Cooper	"This article argues for the importance of a critique of the proximity between the emergent discourse of 'resilience' and contemporary neoliberal doctrines. We demonstrate this with an analysis of the rise of resilience in the specific cases of international finance, critical infrastructure protection and contemporary approaches to 'sustainable' development." p. 145
2014	Bottom-up	Aldunce, Paulina Beilin, Ruth Handmer, John Howden, Mark	"The paper first presents the analytical framework and background information on the Natural Disaster Resilience Program (NDRP) that provides the empirical material for the study. Then, it explores how the concept of resilience is framed in the literature. The paper continues by presenting and discussing the results through the interviewees' framing of resilience and in particular focuses on their conceptualisation of "bouncing back" within this framing." p. 253
2015	Bottom-up	Aldunce, Paulina Beilin, Ruth Howden, Mark Handmer, John	"There is a growing use of resilience ideas within the disaster risk management literature and policy domain. However, few empirical studies have focused on how resilience ideas are conceptualized by practitioners, as they implement them in practice. Using Hajer's 'social-interactive discourse theory' this research contributes to the understanding of how practitioners frame, construct and make sense of resilience ideas in the context of changes in institutional arrangements for disaster

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			risk management that explicitly include the resilience approach and climate change considerations." p. 1
2010	Bottom-up	Juergen Weichselgartner, Roger Kasperson	"This paper presents the results of a case study analysis from the knowledge domains of vulnerability and resilience. We analyzed 20 scientific assessments to provide empirical evidence for successes and failures in collaborative knowledge production, i.e., the joint creation of assessments reports by researchers and decision makers in policy and practice." p. 266
2006	Bottom-up	Thomas J. Campanella	"This article considers the recent catastrophe in New Orleans in terms of "urban resilience," the capacity of a city to rebound from destruction." p. 141
2014	Historical	A. D'Amico, E.Currà	"The paper retraces the differentiation of the concept of resilience through both a review of literature and activities of international organizations, and through a possible reorganization of the framework, focusing on urban resilience in engineering systems." p. 182
2006	Historical	Carl Folke	"The resilience perspective is increasingly used as an approach for understanding the dynamics of social-ecological systems. This article presents the origin of the resilience perspective and provides an overview of its development to date." p. 253
2010	Historical	Rolf Pendall , Kathryn A. Foster and Margaret Cowell	"We survey literatures from disciplines including ecology, psychology, disaster studies, geography, political science and economics to understand how they see resilience." p. 71
2007	Knowledge production	Coleen Vogela,, Susanne C. Moserb , Roger E. Kaspersonc , Geoffrey D. Dabelkod	"What is credible, salient and legitimate knowledge, how is this knowledge generated and how is it used in decision making? Drawing on important science in this field, and including a case study from southern Africa, we suggest an alternative mode of interaction to the usual one-way interaction between science and practice often used." p. 349

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2011	Knowledge production	Evans, JP	"This paper traces one particular lineage of experimentation to resilience ecology, which rejects the possibility of external control over a system, casting planning and administrative functions, and even scientists themselves, as part of a Social-Ecological System. Using insights from political ecology, laboratory studies and urban studies, the paper explores how ecologists involved with the Long Term Ecological Research Programme in the USA are embedding adaptive experiments into urban governance." p. 223
2006	Sustainability	Geoff O'Brien, Phil O'Keefe, Joanne Rose and Ben Wisner	"Since climate change is a source of multiple hazards that threaten long-term development actions by the international community, the consensus and planning approaches that have linked development and disaster should extend to climate change. This paper shows that this extension has not yet taken place and argues that it is urgent that it does occur." p. 65
1999	Sustainability	Graham A. Tobin	"The focus of this paper is on the role of sustainability in hazard mitigation, emphasizing the interconnectedness of many issues at different spatial scales, including aspects of globalization as it pertains to local community resilience" p. 13
2007	Synthesis	Fikret Berkes	"Many natural hazards studies have focused on floods, hurricanes, earthquakes, wildfires, ice storms and other extreme weather events, examining why people move into disaster-prone areas and how they understand risk. Most research has taken either a physical or a human emphasis. I discuss an approach that integrates the two, and helps to understand uncertainty and to reduce vulnerability—the resilience approach." p. 283-284
2014	Synthesis	Juergen Weichselgartner and Ilan Kelman	"In disaster science, policy and practice, the transition of resilience from a descriptive concept to a normative agenda provides challenges and opportunities. This paper argues that both are needed to

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			increase resilience. Webriefly outline the concept and several recent international resilience-building efforts to elucidate critical questions and less-discussed issues." p. 249
2015	Synthesis	Miles, Scott B.	"Furthering the state-of-the-art of community disaster resilience scholarship and practice requires synthesizing a coherence of knowledge for the sole purpose of better understanding the subject. This theoretical study attempts to affirm, challenge, extend, and interweave disaster resilience-focused literature, while cohering this knowledge with relevant non-resilience literature." p. 105
2011	Synthesis	Zobel, C	"This paper presents a new analytic approach to representing the relationship between these two characteristics by extending a multi-dimensional approach for predicting resilience into a technique for fitting the resilience function to the preferences and priorities of a given decision maker." p. 394
2008	Synthesis	Masten, Ann S. Obradovic, Jelena	"Preparing societies for major disasters calls for the integration of human research on resilience with the theory and knowledge gained from other disciplines concerned with resilience in complex, dynamic systems, and particularly those systems that interact with human individuals as disaster unfolds." p. 1
2015	Synthesis	Chelleri, L. Waters, J. J. Olazabal, M. Minucci, G.	"The concept of urban resilience has so far been related mainly to climate change adaptation and disaster management perspectives. Here we aim to broaden the discussion by showing how the framework of urban resilience should be related to wider sustainability challenges, including i) climate change and natural hazard threats, ii) unsustainable urban metabolism patterns and iii) increasing social inequalities in cities." p. 181
2007	Vulnerability	Hans-Martin Füssel	"This paper presents a generally applicable conceptual framework of vulnerability that combines a nomenclature of vulnerable situations and a terminology of vulnerability concepts based on the distinction of four fundamental groups of vulnerability factors." p. 155

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2013	Vulnerability	J. Birkmann • O. D. Cardona • M. L. Carreño • A. H. Barbat • M. Pelling • S. Schneiderbauer • S. Kienberger • M. Keiler • D. Alexander • P. Zeil • T. Welle	"This paper outlines a framework for multi-dimensional, holistic vulnerability assessment that is understood as part of risk evaluation and risk management in the context of disaster risk management (DRM) <sup>1</sup> and climate change adaptation (CCA)." p. 194
2009	Vulnerability	Stacey Menzel Baker	"This essay addresses how the definitions of disaster and vulnerability serve as guides for market and policy responses and shows how a fundamental lack of understanding of what creates a disaster and what constitutes human (and consumer) vulnerability constrains the ability of individuals, communities, and institutions to mitigate and/or recover from natural hazards and the responses that follow." p. 114
2010		Gian Paolo Cimellaro, Andrei M. Reinhorn, Michel Bruneau	The concepts of disaster resilience and its quantitative evaluation are presented and a unified terminology for a common reference framework is proposed and implemented for evaluation of health care facilities subjected to earthquakes.
2007		Rose, A	"The focus of this paper is the economic dimensions of resilience. One key dimension relates to time. Another relates to the context in which resilience takes place. The concept of static economic resilience is essentially making the best of the resources available at a given point in time, as distinct from the dynamic implications of repair and reconstruction, which affect the time-path of the economy." p. 383
2009	Historical, Vulnerability	S. Fuchs	"Acknowledging different roots of disciplinary paradigms, issues determining structural, economic, institutional and social vulnerability are discussed with respect to mountain hazards in Austria." p.337
2012		Syed Ainuddin, Jayant Kumar Routray	"The objective of this paper is to analyze and review the frameworks on community resilience in the context of hazards and natural disasters and propose a community resilience framework for an



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			earthquake prone area in Baluchistan, based on the findings of an extensive research carried out on vulnerability and resilience assessment." p. 25
2008		Jon Coaffee & Peter Rogers	"Since September 11, many cities have undergone significant changes in both morphology and management as a result of the greater perceived risk of terrorist attack. Such changes have often sought to territorialise the city through the redesign of space and the modernisation of management systems. More recently, such 'resilience' planning is becoming increasingly focused upon how the general public can assist this securitisation process by becoming better prepared and more responsible for their personal risk management." p. 101
2003		Richard J.T. Klein, Robert J. Nicholls, Frank Thomalla	"This paper explores the concept of resilience to natural hazards, using weather-related hazards in coastal megacities as an example. The paper draws on the wide literature on megacities, coastal hazards, hazard risk reduction strategies, and resilience within environmental management." p. 25
2012		Mette F. Olwig	"This article aims to illuminate the mutual construction of "local" and "global" understandings and practices of resilience through multi-sited processes." p. 112

## ANNEX 4 WORLD-WIDE CITY SURVEY

**Table 21.** The table below presents the categories and subcategories of vulnerabilities, the number of references and the number of cities in which they occurred

Categories Vulnerability	Sub-category	Number of coding references	Number of Cities coded
Climate-vulnerabilities		50	14
	Greenhouse gas emissions	41	11
	Reducing energy usage	29	9
	Sea level rise	18	7
Disaster-vulnerabilities		76	16
	Drought	4	2
	Earthquake	21	6
	Flooding	60	15
	Heat wave	8	5
	Storms	16	6
	Wildfires	4	3
Economic - vulnerability		99	17
	Affordable housing	8	5
	Poverty	24	10
Environment - vulnerabilities		53	11
Food availability		12	7
Historical or cultural - vulnerability		15	6
Infrastructure-vulnerabilities		92	17
	Electricity grid - vulnerabilities	17	10
	Lack of mobility	29	7
	Waste management	40	10
	Water - vulnerabilities	45	12
Lack of information		84	18
Population increase-vulnerability		17	6
Social-vulnerabilities		147	18

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	Exclusion from society	70	17
	Gender - vulnerabilities	12	4
	Health care-vulnerability	58	15
	Homelessness	5	5
	Safety	37	12
	Under educated population	21	8
	Unemployment	14	7
	Vulnerable groups	48	11
Trust in government		8	5
Uncoordinated parts		47	14
Urban sprawl		15	6

**Table 22.** The table below presents the categories and subcategories of solutions, the number of references and the number of cities in which they occurred

Solution Codes	Sub Codes	Number of Coding reference	Number of Cited Codes
Citizen responsibility		26	13
Co-operation - solution		41	6
	Collaboration	128	18
	Community-approach	59	15
	Community-approach\Develop leadership	8	6
	Competition	15	9
	Partner relationship	71	17
Culture and arts		28	10
	Event	12	6
	Sports	8	3
Economic - solution		46	14
Education - solution		63	17
	Resilience awareness	67	16
	Training	56	18
Emergence response - solution		34	14
Environment		47	15

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	Placemaking	2	2
financial-solution		98	15
	Insurance	11	8
Infrastructure-solutions		70	17
	Bicycle Transportation	17	9
	Build better buildings	16	8
	Construct affordable housing	10	7
	Drinking water	17	8
	Electric energy supply	6	5
	Flooding or sea rise	15	10
	Public transport	35	10
	Rehabilitate rivers and other bodies of water	5	5
	Road Infrastructure	25	8
	Sewage and drainage systems	21	14
Knowledge gaining - solution		37	8
	Research	112	18
	Research\Academic research	6	5
	Research\Develop indicators	12	8
	Research\Experimental	22	12
Marketing - solution		20	7
Planning - solution		78	18
	Climate plans	32	12
	Departmental co-ordination plans	6	4
	Embed resilience in all new plans	9	4
	Expand a present program	28	9
	Planning	65	16
	Strategy for actions	15	7
	Transportation planning	20	8
	Urban bio-diversity and sustainable ecology - plans	7	6
	Water infrastructure and management plans	25	13

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Public Policy-solution	105	17
Social-solutions	92	18
Social cohesion	35	14
Technological - solution	83	17
Assessment-tools	21	10
Digital technology-solution	50	17
Digital technology-solution\Crowdsourcing	6	3
Digital technology-solution\Open data	13	8
Rain water usage technologies	8	6

**Table 23.** The table below presents the categories and subcategories of affected groups, the number of references and the number of cities in which they occurred

Affected Code	Sub-code	Number of coding references	Number of Cities coded
Businesses-affected		146	18
	Small and medium-sized enterprises	10	5
Community - affected		178	17
Groups-affected		89	18
	children	9	8
	Individuals	84	17
	Neighbourhoods	15	8
Local government-affected		294	18
Organisations-affected		89	18
Region - affected		50	15