

Authors' response to the reviews

ruse, S., Abeling, T., Deeming, H., Fordham, M., Forrester, J., Jülich, S., Karanci, A. N., Kuhlicke, C., Pelling, M., Pedoth, L., and Schneiderbauer, S.: Conceptualizing community resilience to natural hazards – the emBRACE framework, Nat. Hazards Earth Syst. Sci. Discuss., <https://doi.org/10.5194/nhess-2017-156>, in
5 review, 2017.

Response to interactive comment by I. Kelman:

We appreciate the in most parts positive evaluation of the proposed framework for characterizing
community resilience. We understand the comment of I. Kelman as encouragement of being clearer
10 about what the proposed framework does and does not do. We will build on challenges of community
resilience and will add a description of the elements of these challenges the model addresses plus
differentiating what is still open to resolve. The aim of this is to offer a structured drawing of the
research frontier and a drawing of some empirical work that builds upon this frontier. Much more work
and thinking will be needed, beyond the scope of the research presented in this paper.

Comment 1:

15 Include more of the critical discussions of the concepts “community” and “resilience” as well as the rich
history in many disciplines

1. *Authors' response:* We agree that we need to include more explicitly the historical references of
the mentioned disciplines that conceptualized resilience and community in the past as well as
20 discuss the critical discussions of the recent past. However, it would clearly be beyond the scope
of the paper to unravel the various (critical) historical strands underlying, for instance, the
resilience concept.

2. *Authors' changes:*

25 With respect to this comment we revised section 2 fundamentally and added both publications
with more critical discussions of the concepts of resilience and of community as well as very
recent publications on resilience and community resilience. This help to disentangle the roots of
the challenges we detect for a comprehensive resilience framework to respond to.

Comment 2:

30 Select references more carefully and build on the rich history of the discussion

1. *Authors' response:* This is of course challenging as we already cite references from various
disciplines that the current community resilience discourse builds upon; nevertheless we will more

explicitly reference the historical origins as well as selecting more carefully those recent references that critically add upon the discussion. Also see comment by Fünfgeld and Stephan on the same issue.

2. *Authors' changes:* We addressed this comments specifically in section 2 and added literature on the history of resilience and disaster research (e.g. Holling, 1973, 1996; Kates, 1971), history of the discussion on resilience in social sciences respectively in interdisciplinary debate on resilience research (e.g. Kelman et al., 2016; Alexander, 2013). Also consider response and changes made related to H. Fünfgeld's comment 1.

10 **Reply to interactive comment by H. Fünfgeld:**

Again, we appreciate the in most parts positive evaluation of the proposed framework for characterizing community resilience as well as the proposals for improvement.

Comment 1: Discuss the intrinsic challenge that is connected with the transposition of ideas that originate in natural sciences into the human social realm (C2)

- 15 1. *Authors' response:* We will add a discussion on these challenges that arise especially in the historical origins of the concepts of "resilience", "disturbances" and "transformation". Also see comment by Kelman C4 and C5.
- 20 2. *Authors' changes:* In section 1 we elaborated on the challenges that stem from a translation of resilience from natural to social sciences in the second section of the paper, which provides ground for our approach by highlighting some the conceptual tensions that surround resilience research. In particular, we added a brief discussion of how resilience emerged from earlier equilibrium-centered approaches (engineering and ecological resilience), and how this can be traced all the way to current policy applications of resilience (e.g. in emergency planning), which continue to draw heavily on the idea of "bouncing back". We acknowledge that our focus on
25 community resilience opens a range of questions on the social context in which resilience unfolds. This includes, amongst others, question on the nature of disturbances, the role of human interventions, the boundaries of social systems as well as the role of power struggles. The concept of "transformation" is not further elaborated at this point, as its use in the text is marginal and synonym for "fundamental change". Further defining or critiquing this term, which
30 is neither essential nor central to our argument and concept, would distract from the message of the text.

Comment 2: Make explicit and reflect ontological and epistemological challenges inherent in the proposed framework, including a stronger and more critical review of existing interpretations of the term “community”.

1. *Authors’ response:* We agree that we need to be clearer on the ontological and epistemological frames that are inherent to our proposed framework and to define more clearly the concept of community. See also comment by Kelman on including the recent critical debates on “community” and “resilience”

2. *Authors’ changes:* In section 2 we elaborated the described tensions between descriptive, analytical and normative approaches to resilience and related epistemological and ontological challenges. We connected them to the history of the resilience concept and the challenge of transposing a concept from natural to social sciences (see comment 1). Further, we added a more critical perspective on community resilience (also see Kelman’s comment 1 and the author’s reply & changes made).

Comment 3: Provide more conceptual guidance on how to examine power issues inherent in local resilience processes

1. *Authors’ response:* This is a relevant point that we have not made explicit enough in the description of the conceptual framework. We will add upon this by building on the differentiation of power over, power with and power through.

2. *Authors’ changes:* In section 2 we included more explicitly the question of power issues to community resilience and referenced recent and older works on political power and resilience (e.g. Szerszynski, 1999, Fainstein, 2015: 160; Jerneck and Olsson, 2008; MacKinnon and Derickson, 2013, Olsson et al., 2014; Bahadur and Tanner, 2014). In section 4.1.1 we added with reference to Partzsch 2016 and Allen 1998 a more specific conceptual guidance for the analysis of power dynamics.

Reply to interactive comment by C. Stephan:

We are grateful the in most parts positive evaluation of the proposed framework for characterizing community resilience and valuable suggestions.

Needs for further elaboration:

Comment 1: Make the challenges the proposed approach carries along sufficiently transparent

1. Authors' response: We agree that we need to be clearer on the challenges that the approach carries along, e.g. the combination of a deductive theory driven conceptualization with an inductive empirical perspective.

2. *Authors' changes:*

5 Challenges connected to community resilience literature are highlighted and connected with the identified gaps in section 2. Challenges that go along with the chosen iterative deductive and inductive research strategy are discussed in section 3 and 5.

Comment 2: Put the open questions that arise from the framework at the center.

10 1. Authors' response: We agree to be more explicit about the open questions that arise from the framework when it is applied to assess community resilience in different contexts

2. *Authors' changes:*

The discussion of limits and open questions has been widened; nevertheless we do not want to put the open questions at the center of the paper as it aims to propose a heuristic to assess community
15 resilience. This heuristic of course can and needs to be further questioned and developed by both in further empirical and theoretical research.

Comment 3: Discuss a critical perspective towards the use of the term "community".

1. Authors' response: See comment by H. Fünfgeld and reply and changes made on the same issue.

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Comment 4: Make use of the current developments in social practice theory and social change theory e.g. for enlarging the understanding of learning and knowledge or for reaching more conceptual depth when discussing the influence of contextual factors.

1. Authors' response: We will consider how social theory can further inform the proposed
25 framework e.g. in the dimension of learning processes and the contextual factors. Specifically we will critically reflect how far the proposed framework enables to assess community resilience understood as social interaction.

2. *Authors' changes:*

The reviewer 2 is making a very valid point with the option to consider social theory for the
30 development of community resilience as a concept of social interaction. We have addressed this as far as possible in the changes to section 2. Nevertheless, we only touch upon this potential contribution very briefly when elaborating the concept and critical discussion of 'community'.

This is because we argue that first, social change theory and practice theory are broad families of

theories that would need to be elaborated first before considering their potential for a coherent community resilience framework; it would go beyond the purpose and scope of this article to contribute to a *social theory* of resilience; and second, an expansion in direction of social theory would not fit to the scope of NHESS as an interdisciplinary but mainly natural science focused journal.

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Conceptualizing community resilience to natural hazards – the emBRACE framework

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Abstract. The level of community is considered to be vital for building disaster resilience. Yet, community resilience as a scientific concept often remains vaguely defined and lacks the guiding characteristics necessary for analysing and enhancing resilience on the ground. The emBRACE framework of community resilience presented in this paper provides a heuristic analytical tool for understanding, explaining and measuring community resilience to natural hazards. It was developed in an iterative process building on existing scholarly debates, on empirical case study work in five countries and on participatory consultation with community stakeholders, where the framework was applied and ground-tested in different contexts and for different hazard types. The framework conceptualizes resilience across three core domains: resources and capacities; actions; and learning. These three domains are conceptualized as intrinsically conjoined within a whole. Community resilience is influenced by these integral elements as well as by extra-community forces, comprising disaster risk governance and thus laws, policies and responsibilities on the one hand and on the other, the general societal context, natural and human-made disturbances and system change over time. The framework is a graphically rendered heuristic, which through application can assist in guiding the assessment of community resilience in a systematic way and identifying key drivers and barriers of resilience that affect any particular hazard-exposed community.

30 1 Introduction

Community resilience has become an important concept for characterizing and measuring the abilities of populations to anticipate, absorb, accommodate, or recover from the effects of a hazardous event in a timely and efficient manner ([Patel et al., 2017](#); Almedom, 2013; Berkes and Ross, 2013; Deeming et al., 2014; Walker and Westley, 2011, 2011). This goes beyond

a purely social-ecological systems understanding of resilience (e. g. Armitage et al., 2012: 9) by incorporating social subjective factors, e.g. perceptions and beliefs, as well as the wider institutional environment and governance ~~settings~~ shaping the capacities of ~~community~~ communities to build resilience (Ensor and Harvey, 2015; Paton, 2005; Tobin, 1999). Many conceptual and empirical studies have shown that communities are an important scale and site for building resilience that can enhance both individual/household and wider population level outcomes (Berkes et al., 1998; Cote and Nightingale, 2012; Nelson et al., 2007; Ross and Berkes, 2014).

Yet, the community remains poorly ~~theorised~~ theorized with little guidance on how to measure resilience building processes and outcomes. Both terms – resilience and community – incorporate an inherent vagueness combined with a positive linguistic bias, and are used with increasing frequency both on their own as well as in combination (Patel et al 2017; Mulligan et al., 2016; Brand and Jax, 2007; Strunz, 2012; Fekete et al., 2014). Both terms raise, as Norris et al. (2008) put it, the same concerns with variations in meaning. ~~We broadly follow the definition of resilience proposed by the Fifth Assessment Report of the Intergovernmental Panel on Climate Change (IPCC): the capacity of social, economic, and environmental systems to cope with a hazardous event, trends or disturbance, responding or reorganizing in ways that maintain their essential function, identity, and structure, while also maintaining the capacity for adaptation, learning, and transformation (IPCC, 2014: 5).~~

In resilience research we can detect a disparity whereby the focus of research has often lain at either the larger geographical scales (e.g. regions), or, as in psychological research, it is focused at the level of the individual extending to households (Ross and Berkes, 2014; Paton, 2005). Across these scales and sites of interest resilience is consistently understood as relational. It is an ever emergent property of social-ecological and technological systems coproduced with individuals and their imaginations. As a relational feature, resilience is both held in and produced through social interactions. Arguably, most intense and of direct relevance to those at risk, are such interactions at the local level including the influence of non-local actors and institutions. It is in this space that the ‘community’ becomes integral to resilience and ~~an~~ a crucial level of analysis for resilience research (Cutter et al., 2008; Walker and Westley, 2011; ~~Schneidebauer~~ Schneiderbauer and Ehrlich, 2006).

The idea of community comprises groups of actors (e.g. individuals, organizations, businesses) which share a common identity ~~or interest~~. Communities can have a spatial expression with geographic boundaries with a common identity; or “shared fate” (Norris et al., 2008: 128). Following the approach of Mulligan et al. (2016) we propose to apply a dynamic and multi-layered understanding of community including community as a place-based concept (e.g. inhabitants of a flooded neighbourhood); as a virtual and communicative community within a spatially extended network (e.g. members of crisis management in a region); and/or as an imagined community of individuals who may never have contact with each other, but who share an identity ~~or interest~~.

Considering the conceptual vagueness and variations of community and resilience, only a few approaches have tried to characterize and measure community resilience comprehensively (Cutter et al., 2014; Sherrieb et al., 2010; Mulligan et al., 2016). Thus, the aim of this paper is to further fill this gap and elaborate a coherent conceptual framework for the characterization and evaluation of community resilience to natural hazards by building both on a top-down systems understanding of resilience and on an empirical, bottom-up perspective specifically including the ‘subjective variables’ and

how they link to broader governance settings. The framework has been developed within the European research project *emBRACE* in an iterative process building on existing scholarly debates, and on empirical case study research in five countries (Germany, Great Britain, ~~Germany~~, Italy, Switzerland, Turkey) using participatory consultation with community stakeholders, where the framework was applied and ground-tested in different regional and cultural contexts and for different hazard types.

5 Further the framework served as a basis for guiding the assessment of community resilience on the ground.

The paper is structured as follows: the next section provides an overview of key themes and characteristics of conceptual frameworks on community resilience and identifies gaps and open questions in the current conceptual framings in the context of natural hazards. In section three we present the methodology for the development of the *emBRACE* framework of community resilience. In section four the *emBRACE* framework is introduced along its central elements and characteristics and illustrated by examples from the case study research. Section five discusses the interlinkages between the framework elements as well as the application and operationalization of the framework and reflects on the results, methodology and further research.

2 Conceptual tensions of community resilience in disaster research and policy

Both, the concept of community and resilience are contested and this in different fields of research and policy. This chapter therefore does not aim at providing a comprehensive overview of different strands of research (for more details see Abeling et al., 2018); the ambition is rather to present a heuristic framework for understanding, explaining and assessing community resilience to natural hazards. Therefore, we present here central strands of research that influenced the development of the *emBRACE* framework of community resilience.

Alexander's etymological resilience journey (2013) shows that the word looks back on a "long history of multiple, interconnected meanings in art, literature, law, science and engineering. Some of the uses invoked a positive outcome or state of being, while others invoked a negative one. In synthesis, before the 20th century, the core meaning was 'to bounce back'" (ibid., 2710). However, since Holling's influential publication (1973) on "Resilience and Stability of Ecological Systems" the idea of restricting resilience above all to the ability of ecosystems to bounce-back to a pre-disturbance state and, by implication, assume a more or less stable environment, came under increasing pressure. Therefore, another of the tensions surrounding the concept of resilience in the context of disaster risk reduction concerns its relation to social change and transformation. A divide is emerging between those that propose resilience as an opportunity for social reform and transformation in the context of uncertainty (Bahadur and Tanner, 2014; Brown, 2014; Olsson et al., 2014; MacKinnon and Derickson, 2013; Sudmeier-Rieux, 2014; Weichselgartner and Kelman, 2015; Kelman et al., 2016), and those that argue for a restriction of the term to functional resistance and stability (Smith and Stirling, 2010; Klein et al., 2003). Limiting resilience to narrow interpretations of robust infrastructure would promote local disaster risk reduction that fails to address the need for social change and learning. Frameworks of disaster resilience need to account for multiple entwined pressures, (e.g. development processes, DRR and

climate change cf. Kelman et al., 2015) to learn and adapt, and to innovate existing risk management regimes~~One on the community level.~~

5 At the heart of this divide is the gradual translation of resilience from its firm base¹ in the natural sciences to the social sciences, which brings with it a set of inherent ontological and epistemological challenges that become particularly prominent in discussions of “community resilience”. Rooted in ecology, resilience through the lens of Holling (1973, 1996) emphasized the concept of (multiple) equilibriums of systems in the face of “disturbances”. This focus on returning to or progressing towards stability domains laid the foundation for the “bouncing back” narrative that continues to shape resilience policy and discourses, particularly in the area of disaster risk management and emergency planning. When discussing resilience in the context of

10 community, however, a range of questions arise that shed light on the difficulties of translating ideas from the natural to the social sciences. These concern, amongst others, the character of “disturbances” in social systems (e.g. who gets disturbed by what or by whom?), the intentionality of human action (e.g. what role for purposeful interventions?), the overarching goals of resilience (e.g. what is desirable?), challenges with system boundaries (e.g. who is part of a social system?) and the role of power (e.g. who is empowered to act, participate, transform).

15 ~~of the tensions surrounding the concept of resilience in the context of disaster risk reduction concerns its relation to social change and transformation. A divide is emerging between those that propose resilience as an opportunity for social reform and transformation in the context of uncertainty (Bahadur and Tanner, 2014; Brown, 2014; Olsson et al., 2014; Kelman et al., 2015; MacKinnon and Derickson, 2013; Weichselgartner and Kelman, 2015), and those that argue for a restriction of the term to functional resistance and stability (Smith and Stirling, 2010; Klein et al., 2003).~~

20 Besides the differences in scope of the definition between bouncing back and societal change, there is another tension about whether resilience is a normative ~~or an analytical concept (Fekete et al., 2014; Mulligan et al., 2016). The normative dimension of resilience refers to its application as a policy instrument, an analytical or more a descriptive concept (Fekete et al., 2014; Mulligan et al., 2016). While, early on, resilience was employed as a descriptive concept in ecology that attempted to integrate different notions of stability (i.e. withstanding, recovering and persisting), its thematic expansion to the analysis of socio-~~

25 ecological systems goes hand-in-hand with a strong normative orientation or even prescriptive elements of how resilience ought to be organized (Brand and Jax, 2007), which is also increasingly applied as a policy goal to promote disaster risk reduction at all scales (United Nations Office for Disaster Risk Reduction, 2015, 2007). The analytical dimension of resilience refers to its application as a lens to assess, evaluate, and identify options for building resilience (Cutter et al., 2008; Norris et al., 2008; Tyler and Moench, 2012). Both dimensions are often not distinct from each other, but rather overlap and are

30 substantially intertwined. Many of the tensions around whether resilience is about social change, learning, and innovation can be attributed to this close integration of normative and analytical aspects related to disaster resilience. Community resilience

¹ Notwithstanding Alexander’s (2013) demonstration of its diverse roots and applications, the current dominance of the resilience concept owes much of its character to its ecological science derivation (e.g. Holling 1973).

~~is not just a theoretical concept, but its use and application in disaster risk reduction policy has implications well beyond academic debates on climate change, adaptation, and disaster risk. Resilience is~~The notion of resilience is meanwhile an integral element at the international policy level to both, the Hyogo Framework for Action and the Sendai Framework for Disaster Risk Reduction (United Nations Office for Disaster Risk Reduction, 2015, 2007) as well as to national and local discourses on disaster risk reduction, e.g. in the UK National Community Resilience Programme (National Academies, 2012) or on the level of local authorities in the UK (Jacobs and Malpas, 2017; Shaw, 2012).

~~We argue that the term community resilience is quickly acquiring prominence in disaster risk management policy-making across all scales, and is becoming part of political as well as academic discourses. Although in the context of natural hazards, community resilience is often framed with a positive connotation, resilience based risk reduction policy inevitably produces winners and losers (Bahadur and Tanner, 2014). However, simply transplanting a descriptive concept established in ecology, to a normative idea of how societies should be governed through resilience, is not necessarily a step forward since there is the risk that “the role of physical shocks” is overemphasized and the relevance of “political economic factors” undertheorized (Cote and Nightingale, 2012, 478). Even, if the social-ecological systems approaches take into account political or economic factors, they tend to do this with a focus on functions and structures of institutions and tend to neglect the wider “political, historical and cultural meaning.” (ibid). As an implication, as Lewis and Kelman argue (2012), attempts to make communities more resilient, can actually result in a contrary situation as they put them in a less tenable situation. This arises because resilience-based governance approaches have a tendency to be neglectful of social conflicts, inequalities and power (Fainstein, 2015: 160; Jerneck and Olsson, 2008; Davoudi, 2012; MacKinnon and Derickson, 2013, Olsson et al., 2014), underestimate the relevance of social institutions and political struggle (Hayward, 2013; Sjöstedt, 2015) or be unheeding of the challenges associated with the idea of community participation (Bahadur and Tanner, 2014; Bahadur et al., 2013).~~

~~In addition to underestimating the relevance of socio-economic-political as well as interpretational aspects, resilience itself is shaping the way disaster risk reduction is organised and how responsibilities between public and private actors are distributed.~~

In the UK, for example, resilience is part of a responsabilisation agenda in which responsibility for disaster risk reduction is intentionally devolved from the national to the local level (Department for Environment, Food and Rural Affairs, 2011; Deeming et al., ~~2017~~2018). This creates opportunities, but is also contested and can provoke resistance by activists (Begg et al., 2016).

~~This normative dimension of community Although this increasing critical engagement with the resilience and its relation to politics requires light being shed on the role of power and, the distribution of responsibilities when analysing community resilience.~~

~~In this context, resilience notion~~ is “here to stay” (Norris et al., 2008: 128) ~~for the conceivable future,~~ not only as a theoretical concept, but also as a policy tool to promote disaster risk reduction. As such, it ~~has~~will have direct implications for hazard prone communities. ~~Debates about whether resilience policy and practice should be limited to describe stability oriented aspects of disaster risk reduction (DRR), whilst leaving learning and social change for other concepts such as transformation, ignore the realities of disaster risk reduction action at the community level.~~

~~This importance of resilience “on the ground” has implications for the development and advancement of resilience theories. Frameworks of disaster resilience need to account for multiple entwined pressures, (e.g. development processes, DRR and climate change cf. Kelman et al., 2015) to learn and adapt, and to innovate existing risk management regimes. Limiting resilience to narrow interpretations of robust infrastructure would promote local disaster risk reduction that fails to address the need for social change and reform, although these are proposed as being of critical importance to address uncertainties in the context of climate change (Adger et al., 2009).~~

Based on these arguments, we identify three gaps, ~~in particular,~~ that characterize existing resilience frameworks and are related to conceptual challenges for a comprehensive community resilience framework. First, there seems to be an insufficient consideration and reflection of the role of power, governance, and political interests in resilience research. Secondly, many resilience frameworks still seem to fall short of exploring how resilience is shaped by the interaction of resources, actions, and learning. Due to the conceptual influence of the Sustainable Livelihood Framework (SLF) of some approaches (Chambers and Conway, 1992; Scoones, 1998; Ashley and Carney, 1999; Baumann and Sinha, 2001), resilience concepts tend to be focused on resources, but fail to systematically explore the interaction of resources with actions and learning and how understanding these variables might then usefully illustrate disparities in how social equity, capacity and sustainability (i.e. key considerations of the SLF approach cf. Chambers and Conway, 1992) are manifest. Third, an explicit elaboration of learning and change is largely absent in the literature that characterizes community resilience. So far, resilience as a theory of social change seems to remain rather vaguely specified- (Cote and Nightingale, 2012).

A resilience framework which accounts for these aspectsconceptual challenges is necessarily focused on the prospects of social reform, and incorporates many “soft” elements that are notoriously difficult to measure. We thus agree with the need to operationalize resilience frameworks (Carpenter et al., 2001), but argue that existing framework measurements (e.g. Cutter et al., 2008) often fail to systematically include those social aspectschallenges that we consider of critical importance for community resilience.

3 Framework development and methods used

Developing an interdisciplinary, multi-level and multi-hazard framework for characterizing and measuring resilience of European communities calls for the application of a multifaceted approach that adopts interdisciplinary methodological processes. Therefore, we applied a complementary research strategy, with the purpose of investigating resilience at different scales, from different perspectives and applying different research methods, as well as integrating the viewpoints of distinct actors. The research team came from different disciplinary backgrounds and it was the intention that no single disciplinary approach would dominate. Rather, a democratic process of consensus building was employed to arrive at methods and outputs acceptable to all.

A first strand of this research strategy included intensive structured literature reviews. The first sketch of the community resilience framework was informed by the early review systematizing the different disciplinary discussions on resilience into

thematic areas. As the project continued, specialized literature reviews complemented this first review by focusing on different aspects of the emerging framework and considering more recent publications. Throughout the project, developments in the literature were closely monitored and literature reviews were continuously updated (Abeling et al., 20172018).

A second strand involved empirical case-study research in five European countries investigating community resilience related to different hazard types at different scales. The five case studies comprised multiple Alpine hazards in South Tyrol, Italy and Grisons, Switzerland; earthquakes in Turkey; river floods in Central Europe; combined fluvial and pluvial floods in northern England; and heatwaves in London. A number of qualitative and quantitative methodologies were adopted in the case study research in order to scrutinizedevelop the final community resilience framework. The outcomes of this research have been used to inform the conceptual framework at different stages of the development process and helped to illustrate how the framework can be applied and adapted to different hazard types, scales and socio-economic and political contexts (Kuhlicke et al., 2016; Doğulu et al., 2016; Ikizer et al., 2015; Ikizer, 2014; Abeling, 2015b, 2015a; Taylor et al., 2014; Deeming H. et al., 20172018; Jülich, 2017b, 2017a2017, 2018).

A third strand saw three participatory workshops with stakeholders in case studies in Cumbria, England; Van, Turkey; and Saxony, Germany in order to add to the framework development the perspectiveperspectives of different community stakeholders onat the local and regional scalescales. The aim for the participatory assessment workshops was to collect, validate and assess the local appropriateness and relevance of different dimensions of community resilience and indicators to measure them. With the selection of case studies in different countries and different types of communities, we took into account that different cultures and communities conceptualize and articulate resilience differently. The workshops allowed discussion with local and regional stakeholders about how resilience can be assessed. This was both a presentation and revalidation of the first results of the case study work together with the stakeholders and also a starting point for further development of the framework. A fourth strand involved internal review processes with project partners as well as external experts on community resilience.

4 The emBRACE framework for characterizing community resilience

The emBRACE framework conceptualizes community resilience as a set of intertwined components in a three-layer framework. First, the core of community resilience comprises three interrelated domains that shape resilience within the community: resources and capacities; actions; and learning (cf. section 4.1). These three domains are intrinsically conjoint. Further, these domains are embedded in two layers of extra-community processes and structures (cf. section 4.2): first, in disaster risk governance which refers to laws, policies and responsibilities of different actors on multiple governance levels beyond the community level. It enables and supports regional, national and international civil protection practices and disaster risk management organisations. The second layer of extra-community processes and structures is influenced by broader social, economic, political and environmental context factors, by rapid or incremental socio-economic changes of these factors over time and by disturbance. Together, the three-layers constitute the heuristic framework of community resilience (cf. figure 1),

which through application can assist in defining the key drivers and barriers of resilience that affect any particular community within a hazard-exposed population.

4.1 Intra-community domains of resilience: resources & capacities, action and learning

4.1.1 Resources & capacities

5 The capacities and resources of the community and its members constitute the first domain of the core of resilience within the community. Informed ~~throughby~~ the Sustainable Livelihoods Approach (SLA) and its iterations (Chambers and Conway, 1992; Scoones, 1998; Ashley and Carney, 1999; Baumann and Sinha, 2001) as well as the concept of adaptive capacities (Pelling, 2011) we differentiate five types of capacities and resources. ~~We believe that this~~ This approach also addresses in parallel the need identified by Armitage et al. (2012), for ‘material’, ‘relational’, and ‘subjective’ variables as well as the social subjective
10 dimension of resilience (cf. section 1).

Natural and place-based capacities and resources relate to the protection and development of ecosystem services. This includes, but is not limited to, the role of land, water, forests and fisheries, both in terms of their availability for exploitation as well as more indirectly for personal wellbeing of community members. Place-based resources can also refer to cultural and/or heritage resources, to local public services, amenities, and to the availability of access to jobs and markets.

15 Socio-political capacities and resources account for the importance of political, social and power dynamics and the capacity of community members to influence political decision-making. Here, institutions such as the rule of law, political participation and accountability of government actors are of critical importance. Participation in governance can be both formal, for example through elections and interest representation, and informal, for example through ~~interest representation~~ empowerment and resistance in political decision-making. ~~Structural~~ Therefore, power dynamics in community resilience include both empowerment and resistance as well as cooperation and learning (related to the differentiation between ‘power to’ and power with’, cf. Partzsch, 2016; Allen, 1998). Therefore, structural social resources are also inherited within the structural and cognitive
20 components of social capital (Moser and McIlwaine, 2001), i.e. networks and trust. Social capital refers to lateral relationships between family, friends and informal networks, but also to more formal membership in groups, which may involve aspects of institutionalisation and hierarchy. Cognitively defined trust relationships can assist in collective action and knowledge-sharing, and thus seem integral for the development and maintenance of community resilience (Longstaff and Yang, 2008). Operating
25 within the framework’s disaster risk governance domain, however, it should be acknowledged that mutual social-trust relations – as might be expressed between community members; = can be differentiated from ‘trust in authority’ wherein hierarchical power differentials introduce an element of dependency to the relationship (Szerszynski, 1999).

Financial capacities and resources refer to monetary aspects of disaster resilience. This includes earned income, pensions,
30 savings, credit facilities, benefits, and importantly access to insurance. The role of financial capacities raises questions about availability of and access to individual and public assets, and about the distribution of wealth across social collectives. The causal relationships that underpin the role of financial resources for community resources are not linear. Increases in available

financial resources are not necessarily beneficial for community resilience, for example if income inequality is high and financial resources are concentrated in a very small and particular segment of society.

Physical capacities and resources for community resilience include adequate housing, roads, water and sanitation systems, effective transport, communications and other infrastructure systems. This can also refer to the availability of and the access to premises and equipment for employment and for structural hazard mitigation (i.e. both at household and community scales). Finally, human capacities and resources focus at the individual level, integrating considerations such as gender, health and wellbeing, education and skills and other factors affecting subjectivities. Psychological factors are also accounted for here, with factors such as self-efficacy, belonging, previous hazard experience, coping capacities and awareness included. These factors together can be understood to impact on both individuals' perceptions of risk and resilience but also as enablers of the community-based leadership that drives collective action.

From the case study in Turkey, socio-political (e.g., having good governance, specific disaster legislation, supervision of the implementation of legislation, coordination and cooperation, being a civic society, having mutual trust, having moral and cultural traditional values, etc.) and human (e.g., gender, income, education, personality characteristics, etc.) resources and capacities were the most pronounced ones which obtained (Karanci et al., 2017,2018).

One of the participatory workshops where an earlier version of the framework was discussed with local stakeholders, in the case study on flooding in Northern England, revealed that for the participants' social-political as well as human capacities and resources were most important for characterizing their community resilience. Indicators measuring for example out-migration and in-migration as well as willingness to stay in the region and engage in associational activities were proposed to describe the degree of community spirit and solidarity that was considered to be crucial for their community resilience in a region that is threatened by population loss and demographic change.

4.1.2 Actions

Within the emBRACE framework, community resilience comprises two types of actions: civil protection and social protection. The civil protection actions refer broadly to the phases of the disaster management cycle, i.e. preparedness, response, recovery and mitigation (Alexander, 2005-) which, despite longstanding academic critique (McEntire et al 2002; Neal 1997), are persistent in practice. Resilience actions undertaken by the community can be related to these phases (e.g. weather forecasting and warning as preparedness action). Accordingly, civil protection is focusing on hazard specific actions. We add to this social protection considerations, which include hazard independent resilience actions, e.g. measures of vulnerability reduction and building social safety nets (cf. figure 1). Social protection action includes diverse types of actions intended to provide community members with the resources necessary to improve their living standards to a point at which they are no longer dependent upon external sources of assistance (Davies et al., 2008). Social protection has been included as a main component because many resilience building actions cannot be directly attributed to civil protection action but are, rather, concerned with the more general pursuit of wellbeing and sustainability (Davies et al., 2013; Heltberg et al., 2009). For example, the presence

of an active community-based voluntary and/or charity sector capable of providing social support (e.g. foodbanks) and funding for participatory community endeavours (e.g. a community fund), and which could be extended or expanded in times of acute, disaster-induced, community need were found to be factors that provide a certain level of security for all those affected by hazards, either directly or indirectly (Dynes, 2005).

5 Such social protection measures are not, however delivered solely by the community and voluntary sector alone, so it is important to understand that these elements also relate to the much broader provision of welfare services (health, education, housing, etc.), which are ultimately the responsibility of national and local government. The inclusion of social protection as a main component of this domain, therefore, represents an important progression over some other frameworks, because it explicitly includes the consideration of how communities manifest resilience through both, their capacity to deal with and
10 adapt to natural hazards, but also their capacity to contribute equitably to reducing the wider livelihood-based risks faced by some, if not all, of their membership.

In a case study in Northern England, social support mechanisms were particularly important across multiple communities (from hill farmers to town dwellers) in the aftermath of a flood event (Deeming et al., [20172018](#)). Key considerations were that despite evidence of learning and adaptation that had occurred between two floods in 2005 and 2009, the sheer magnitude of
15 the latter event effectively discounted the effects of any physical mitigation and civil protection measures that had been introduced. Where non-structural measures, such as community emergency planning, had been adopted there were significant improvements in the levels and success of response activity. However, whilst these actions reduced some consequences (e.g. fewer vehicles flooded), where properties were inundated, significant damage still resulted. Accordingly, the importance of emergent community champions who were capable of advocating community outcomes, and the need for community spaces
20 (e.g. groups or buildings), where those affected could learn by sharing experiences and deliberating plans, proved key factors in driving the recovery, as well as the concurrently occurring future mitigation efforts. The fact that much of the support in the aftermath of the flood events was coordinated by particular officers from the statutory authorities, whose 'normal' roles and skills were social rather than civil protection orientated, itself emphasised the importance of understanding resilience in framework terms, as a practice-encompassing process rather than as a simple measure of hazard response capability.

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4.1.3 Learning

Learning is the third integral domain that shapes intra-community resilience in the emBRACE framework. We attempt to provide a detailed conceptualization of learning in the context of community resilience. We follow the notion of social learning that may lead to a number of social outcomes, acquired skills and knowledge building, via collective and communicative
30 learning (Muro and Jeffrey, 2008). It occurs formally and informally, often in natural and unforced settings via conversation and mutual interest. Further, social learning is said to be most successful when the practice is spread from person to person (Reed et al., 2010) and embedded in social networks (McCarthy et al., 2011). In this understanding, social learning is an on-going, adaptive process of knowledge creation that is scaled-up from individuals through social interactions fostered by critical

reflection and the synthesis of a variety of knowledge types that result in changes to social structures (e.g. organizational mandates, policies, social norms) (Matyas and Pelling, 2015). Based on this understanding we conceptualise social learning as consistent of different elements from the perception of risks or losses, its problematisation, to the critical reflection and testing/experimentation in order to evolve new knowledge which can be disseminated throughout and beyond the community.

5 enabling resilience to embed at a range of societal levels (see figure 1). The first element, risk and loss perception grasps the ability of any actor, organisation or institution to have awareness of future disaster risk or to feel the impact of a current or past hazard event. Awareness can be derived from scientific or other forms of knowledge.

Second, the ability to problematise risk and loss arises once a threshold of risk tolerance is passed. A problematisation of risk manifests itself as a perception of an actor that potential or actual disaster losses, or the current achieved benefit to cost ratio

10 of risk management are inappropriate. This includes procedural and distributional justice concerns, and has the potential to generate momentum for change. Third, critical reflection on the appropriateness of technology, values and governance frames can lead to a questioning of the risk-related social contract of the community. Critical reflection is proposed as a mechanism through which to make sense of what is being learned before applying it to thinking or actions.

Fourth, experimentation and innovation refers to the testing of multiple approaches to solving a risk management problem in

15 the knowledge that these will have variable individual levels of success. This can shift risk management to a new efficiency mode where experimentation is part of the short-term cost of resilience and of long-term risk reduction. In this context, innovation can be conceptualised as processes that derive an original proposition for a risk management intervention. This can include the importing of knowledge from other places or policy areas as well as advances based on new information and knowledge generation.

20 Fifth, dissemination is integral for spreading ideas, practices, tools, techniques and values that have proven to meet risk management objectives across social and policy communities. Sixth and finally, monitoring and review refers to the existence of processes and capacity that can monitor the appropriateness of existing risk management regimes in anticipation of changing social and technological, environmental, policy, and hazard and risk perception contexts. The Turkish Case Study on earthquakes revealed that an earthquake experience in one region of the country led to learning mostly by the state and change

25 and the adoption of new legislation and new organization for disaster management. Such an experience seems seemed to have very robust effects on attitudes towards disasters, changing the focus from disaster management to disaster risk management (Balamir, 2002). The same change process seemed to apply applied to individuals as well, although to a smaller extent, in that an earthquake experience led to an increase in hazard awareness and preparedness- (as would be predicted to occur based on classical hazards theory (Kates, 1971)).

30 The Italian Case Study in the Alpine village of Badia focuses on the perception of risks and losses as one element of resilience learning. The findings reveal that even though people living in Badia have high risk awareness, many did not expect and prepare for a manifesting event. The interpretation of the different risk behaviour profiles shows that people who perceive themselves under risk of future landslide events had either personally experienced a landslide event in the past or participated in the clean-up work after the landslide event in 2012. Results of comparing the two groups of inhabitants affected by the

landslide event 2012 and not affected in 2012 point in the same direction, showing that personal experience, not only recently but also if in the past, together with active involvement in the response phase lead to a higher risk perception especially when thinking about the future (Pedoth et al., ~~2017~~2018).

4.2 Extra-community framing of community resilience

5 4.2.1 Disaster Risk Governance

In the proposed characterization of community resilience with respect to natural hazards, the three core domains – resources & capacities, actions and learning – are embedded in two extra-community frames. The first frame is that of formal and informal disaster risk governance, which comprises laws, policies and responsibilities of disaster risk management at the local, regional, national and supra-national level. From the case study research it became clear that community resilience and its constituent resources and capacities, action and learning processes are strongly interacting with existing formal and informal laws, policies and responsibilities of civil protection and risk management more generally (e.g. flood mapping as per the German National Water Act and the EU Flood Directive). Responsibilities relates to the actors and stakeholders involved in disaster risk management.

Relating the wider ideas of risk governance to the specific context of a community involves focus on the interaction between communities' resources and capacities, and actions as well as their learning processes to the specific framework by which responsibilities, modes of interaction and ways to participate in decision-making processes in disaster risk management are spelt out. The responsabilisation agendas in the two case studies in Cumbria, England and Saxony, Germany may serve as an example. In both case studies community actions are being influenced by the downward-pressing responsabilisation agenda, which is encompassed for example within Defra's 'Making Space for Water' Strategy for Great Britain and Saxony's Water Law in Germany, the latter of which obliges citizens to implement mitigation measures. This explicitly parallels Walker and Westley's call to "push power down to the local community level where sense-making, self-organization, and leadership in the face of disaster were more likely to occur if local governments felt accountable for their own responses" (2011: 4). The case study work showed that this not only relates to local governments (Begg et al., 2015; Kuhlicke et al., 2016) but also to the individual citizens potentially affected by natural hazards (Begg et al., 2016). More specifically, Begg et al. (2016) found that if the physical and psychological consequences are perceived as being low with regard to their most recent flood experiences, then respondents tend to accept the attribution of responsibility towards individual citizens and also report higher response efficacy (i.e. the respondents have the feeling they can reduce flood risk through their own actions) if they have taken personal mitigation measures prior to the flood event. In addition, respondents who have taken personal mitigation measures are more likely than those who have not taken such actions to report higher response efficacy and also agree with the responsibility attributed to them. In other words, if respondents took personal mitigation measures before the flood and did not experience severe consequences as a result of the flood, they are likely to agree with statements which support citizen

responsibility and report high response efficacy. This shows that resilience action and learning processes are always embedded in the broader formal and informal risk governance settings.

4.2.2 Non-directly-hazard related context, social-ecological change and disturbances

5 As a second extra-community framing we consider three dimensions as influential boundary conditions for community resilience: first the social, economic, political and environmental context; second, social, economic, political and environmental change over time; and third diverse types of disturbances.

10 The first dimension of non-hazard related boundary conditions for community resilience is the social, economic, political and environmental/bio-physical context. This includes contextual factors and conditions around the community itself, requiring the expansion of the analysis of community resilience outward to take into account the wider political and economic factors that directly or indirectly influence the resilience of the community. In different concepts and theories these contextual factors have been addressed, e.g. in institutional analysis (Whaley and Weatherhead, 2014; Ostrom, 2005), common pool resource research (Edwards and Steins, 1999) or socio-ecological systems research (Orach and Schlüter, 2016).

15 The analysis of contextual factors can also expand backward in time and include an analysis of change over time. Therefore, apart from the more or less stable context factors we include as another element social, economic, political and environmental change over time as an influencing force of extra-community framing of community resilience. Disaster risk and hazard research scholars (Birkmann et al., 2010) as well as policy change scholars (Orach and Schlüter, 2016) have identified different dynamics and types of change from gradual, slow onset change to rapid and abrupt transformation, from iterative to fundamental changes. This can include social change, economic change and policy change as well as changes in the natural environment, e.g. connected to climate change and land degradation.

20 Considering the third boundary condition, a broad variety of disturbances can influence the community and its resilience partly closely interlinked with the perceived or experienced changes and the specific context factors. As already noted by Wilson (2013), disturbances can have both endogenous (i.e. from within communities, e.g. local pollution event) and exogenous causes (i.e. outside communities, e.g. hurricanes, wars) and include both sudden catastrophic disturbances (e.g. earthquakes) as well as slow-onset disturbances such as droughts or shifts in global trade (for a typology of anthropogenic and natural disturbances affecting community resilience cf. Wilson, 2013). In line with Wilson we conclude that communities are never 'stable' but continuously and simultaneously are affected and react to disturbances, change processes and various context factors. Therefore, disturbances can not only have severe negative impacts on a community but also trigger change and transformation that might not have activated otherwise. As a result, in empirical applications a clear-cut differentiation between contextual change over time and slow-onset disturbances or disturbances that trigger change is not always possible.

5 Discussion and conclusion

5.1 Interlinkages between the domains and extra-community framing

Considering the intertwined components of the proposed framework, research can be guided by acknowledging the complexity of the possible interactions between the resources & capacities, learning and actions domains in shaping community resilience.

5 Therefore, efforts to evaluate these multiple levels; their interactions; and how they operate in different contexts for different hazards can provide an enriching evaluation of community resilience.

An example of how the emBRACE framework of community resilience helped to reveal the interrelatedness of socio-political and human resources in the civil protection actions, and the importance of social solidarity and trust as important contextual factor, is delivered in the case study work in the city of Van, Turkey. Here the exploration of individual resilience after a severe
10 earthquake proved how influential are the contextual factors-~~are~~. The results indicated that the political context played an important role in shaping survivors' perceptions of their own resilience. Doğulu et al. (2016) shows that community resilience is facilitated when provision of post-quake aid and services is based on equality and trust (and not nepotism and corruption) and not hindered by discrepancy of political views among both government bodies, community members and NGOs.

Further, the analysis revealed that the earthquake experience in the Marmara region of Turkey in 1999, twelve years earlier,
15 influenced the resilience of the community following the Van earthquake, based on learning processes that resulted, for example, in a change in the public disaster management by state organisations as well as the adoption of new legislation. Thus, especially for the state institutions, the impact of a past disturbance, may lead to significant changes in disaster risk management, which in turn is likely to contribute to fostering of community resilience in Van and beyond (Karanci et al.,
20 2017-2018). This example shows how the framework provides an understanding of the interrelatedness of the three domains and the importance of their interactions in shaping community resilience. Yet, the specific types of relations and interlinkages are case specific, i.e. influenced by various external variables. To specify these and develop typologies of linkages and relations needs to be investigated in further research.

5.2 Application and operationalization of the framework in indicator-based assessments

The emBRACE framework for community resilience was iteratively developed and refined based on the empirical research of
25 the specific local-level systems within the five case studies of emBRACE, thus is strongly supported by local research findings on community resilience. It was mainly developed to characterize community resilience in a coherent and integrative way. Nonetheless, it was also developed to be applied for measuring resilience and thus a heuristic to be operationalized in the form of an indicator based assessment. Thus, the framework provides one possible – but empirically legitimized – structure and route to select and conceptually locate indicators of community resilience.

30 Within the emBRACE project we derived case study specific community resilience indicators as well as a set of more concise, substantial indicators that are generalizable across the case studies (Becker et al., 2017-2018). The generalizable key-indicators include a wider range of indicators from more quantitative indicators like the presence of an active third sector emergency

coordination body, or the percentage of households in the community subscribed to an early-warning system, operationalizing the domain of civil protection action up to more qualitative indicators such as social/mutual trust and the sense of belonging to a community applying the domain of human and social resources and capacities.

Besides identifying and selecting suitable indicators, it is crucial to understand how to develop, integrate, interpret and apply indicators (Jülich, ~~2017a~~2018; Bahadur and Tanner, 2014). Concrete instructions are needed to provide a useful source of information for proper indicator application in practice and we recommend using some form of guideline for community resilience indicator development (cf. for example Becker et al., 2015). In particular, the possible methods of data collection for the constituent parts of this framework require attention, since they affect not only the methods adopted to parameterise the indicators, but also the scale of application.

10 5.3 Reflections on the results and emBRACE methodology and limits of the findings

~~The proposed three-layered framework for characterizing community resilience is~~ 'Resilience' is both ubiquitous and indeterminate. Similarly, 'community' is equally pervasive and prone to common sense understandings which appear to obviate critical discursive engagement. Together, the two concepts represent both a challenge and an opportunity to influence the shape of effective and inclusive disaster risk reduction. The frequently simplistic and bounded uses of 'community resilience', across a range of sectors but most particularly in the civil protection and emergency management fields, limit the reach of risk reduction endeavours through a narrow focus on technical interventions at the expense of recognizing and enabling social transformations. The proposed three-layered framework for characterizing community resilience was developed deductively by considering theoretical approaches of resilience from various disciplinary backgrounds and state of the art research; and it ~~is~~was also developed inductively based on empirical insights from our case study work. The result is a theory-informed heuristic that ~~guides~~has the potential to guide empirical research as well as disaster management and community development ~~in a more inclusive and expansive way~~.

Research ~~does not necessarily include~~and practice rarely includes all ~~domains and~~ elements ~~we have identified~~ but often focuses on some specific domains and their interaction in more detail. When guiding disaster management and community development the framework helps to highlight the importance of the multiple factors that are related to community resilience.

Whether the framework ~~informs~~is to inform scientific or more practical applications, in most cases it ~~is~~will be necessary to adapt the framework to the specific context ~~to~~in which it is applied, e.g. cultural background, hazard types or the socio-political context. ~~This framework was developed in a European context, and while the research team has drawn upon their wider research knowledge and experience it was not tested outside that geographic boundary.~~

~~Nevertheless, it is~~The emBRACE framework was developed as a heuristic device, i.e. a strategy based on experience, and as an aid to communication and understanding, but ~~it is~~not guaranteed to be optimal or perfect. ~~Further, the~~The framework should be subject to further research both for further conceptualizing community resilience and applying and specifying the framework in various contexts of community resilience.

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Context – Change – Disturbance

Disaster Risk Governance

Laws, Policies, Responsibilities



Figure 1: The emBRACE framework for community resilience to natural hazards (source: own illustration).