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#### D1.1 Report on mapping policy relevant R&I findings

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Abstract: This deliverable is a report delineating the theoretical basis for the methodology used in the FUTURESILIENCE project (a) to search for, include, and classify relevant projects funded under the HORIZON 2020 and HORIZON Europe funding schemes and other research and policy oriented organisations working on resilience, and (b) to include and classify relevant evidence-based policy instruments produced by these projects. More specifically, we base our methodology and analysis on the policy design literature, combined with the resilience literature to add specificity to the results. Preliminary results of 548 policy instruments are included in this report, including reflections on the process and outputs of the mapping exercise.







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# **1** Introduction

This report presents the conceptual and methodological underpinnings of Task 1.1 (T1.1) and summarises the workflow and some of the initial results.

## 1.1 About the Project

Multiple, overlapping, and interconnected crises have become increasingly frequent over the last two decades. This has raised **the interest in resilience, testing the capacities of different stakeholders to cope, adapt and build back better.** The pandemic, disasters, energy or climate change highlighted inequalities in the public, private and civil society sectors and at all institutional levels in how we are prepared to face unexpected adverse events and deal with uncertainty. Research and Innovation (R&I) can play a key role by providing a basis for a more flexible and responsive capacity of stakeholders in crisis periods, informing policy development and decision-making, and thus, strengthening resilience and preparedness for future events.

The FUTURESILIENCE project aims to strengthen Europe's economic and social resilience and, thereby, its ability to quickly respond to future crises. This will be accomplished by facilitating the fast and effective use of policy-relevant R&I findings for national, regional and local actors. In particular, the project will:

- Map existing policy-relevant European R&I findings with high potential to inform policymaking for economic and social resilience and to help address societal challenges;
- define methodologies and guidelines for testing how far the identified R&I findings can inform policies addressing national, regional and local needs;
- implement ten pilot cases called 'Future Resilience Labs', where multiple stakeholders will discuss and test evidence-based strategies tailored to their specific context and matching their local needs. The experimentation will be done in a cocreation environment, applying Foresight and participative methodologies;
- develop a Knowledge Base of the successfully tested research findings with a high capacity to inform policy actors and a Toolbox of methods for testing policy-relevant research findings.

During the experimental phase, which constitutes the central aspect of the project, the FUTURESILIENCE labs will utilize the Knowledge Base to address contemporary challenges within their specific contexts. The knowledge base is derived from the data generated in the mapping exercise, which sought to identify, customise, and evaluate policy tools that





ultimately enhance preparedness and bolster societal resilience. The Knowledge Base comprises entries derived from the dataset of the mapping effort, which has been selected based on methodological choices and criteria that have been mutually agreed upon by the collaboration and advisory board.

## 1.2 Work package 1

In the project's work package 1, we develop the conceptual and methodological framework, which will be used for the experimentation phase and create the basis for future exploitation. It has two main objectives:

- 1. To build a solid Knowledge Base out of scientific research and lived experience on the relationship between resilience and policy, especially taking into account uncertainty and ambiguity.
- 2. To create a versatile Toolbox with validated methodologies and elements to support decision-making to create solutions for building resilience and future preparedness.

## 1.3 Task 1.1

This task lays the foundation for the Knowledge Base and the Toolbox with outcomes and innovations from different R&I projects and initiatives.

The mapping includes research outcomes and policy recommendations starting from 2014, a methodological choice reflecting two conceptual developments: 1) the launch of Horizon 2020 in the European context, which beyond working on relevant priority policy areas, shifted the focus towards societal challenges, key for our project approach and the pilots design; 2) the push at international level to strengthen the work on resilience, based on the achievements from the Hyogo Framework for Action and the implementation of the Sendai Framework for Disaster Risk Reduction, that concerns two main concepts: preparedness and resilience. The mapping will touch upon diverse areas (also seen as potential vulnerabilities, mostly impacted by crises) underlying multiple types of risks (financial, migration, climate change, disasters, etc.), also identified as relevant in all ten science areas<sup>1</sup> of the Joint Research Centre of the European Commission (JRC).

During the mapping, we adopted a two-pronged approach: (1) To identify tested and policyrelevant outcomes from projects under Horizon 2020 and Horizon Europe that contribute to

<sup>&</sup>lt;sup>1</sup> The ten science areas are: 1) Agriculture and food security; 2) Economic and Monetary Union; 3) Energy and transport; 4) Environment and climate change; 5) Health and consumer protection; 6) Information Society; 7) Innovation and growth; 8) Nuclear safety and security; 9) Safety and Security; 10) Standards



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the creation of capacity in different areas related to resilience building and future preparedness. These outcomes include, among other things, established dashboards, databases, and innovations in use, that will inform the project toolbox. (2) To map policy instruments and existing good practices of policy relevant resilience actions among cities and regions participating in resilience initiatives, campaigns, and networks, especially those connecting to the SDGs. Some examples are the Making Cities Resilient campaign, Resilient Cities Network, Eurocities, Covenant of Mayors, and the Global Network of Civil Society Organisations for Disaster Reduction.



# 2 Rationale and Architecture for the Selection and Evaluation of Scientific Results

This chapter outlines the theoretical basis for selecting and evaluating scientific results criteria. We base this architecture on the policy design theory, which we elaborate on below. After a note on the definitions and framework to analyse societal resilience, we outline the curation rationale of policy instruments and the concomitant processes of selection and classification.

## 2.1 Policy Design

Public policies constitute the decisions governments make in their jurisdictions (Mintrom, 2012). They range from "hard" outputs, such as legislation, to "softer" outputs, including rules-in-use and best practices. Public policies are decided in a complex process, including problem definition, agenda setting, policy formulation, implementation, and evaluation. These stages are not linear; rather, they run into each other as policies are constructed and negotiated by various actors, public and private, often at different levels of governance. Linder and Peters (1984), writing almost forty years ago, stated that governments often make public policy decisions they know little about; one may argue that this is still the case. Policy outputs are always the result of political processes and often the interface between evidence and policies, and indeed, what is considered evidence is contested. A focus on the intentionality of the design that goes into producing the policy output articulated in the policy design literature is a way to "provide scholars and practitioners with some guidance in understanding the policy problems to be dealt with, and devising the accurate solutions thereof" (Peters, 2018; Peters and Fontaine, 2022: 1)

Linder and Peters were writing as a response to the garbage can model (March and Olsen, 1972), which views policymaking as a primordial soup, where policy problems and policy solutions float and find each other more as a result of serendipity rather than a conscious, rational process. To counter the issue of serendipity, Linders and Peters (1984; 1990) focused on the concept of policy design as a means to sidestep (though not disregard) the biases and preferences of policymakers in ex-post evaluations of policies. The difference between policymaking and policy design rests on the degree of consciousness involved in the policy formulation, implementation, and evaluation. It is an attempt to "integrate different understandings of a policy problem with different conceptions of the policy instruments to be utilized and the different values according to which a government assesses the outcomes pursued by this policy as expected, satisfactory, acceptable, and so forth" (Peters and Fontaine, 2022: 1). It also articulates the effort to systematically develop sound policies by





applying knowledge and previous experience (Howlett, 2014). It involves the process and the outcome, but it is also contextual. It is "the art of the possible" (Anderson, 1971, quoted in Howlett, 2014).

In its essence, policy design is a political activity. There are four dominant approaches in theorizing policy design in the policymaking process. The first understands policymaking as a purely technocratic activity, divorced from politics (Hood, 1983; Hood and Margett, 2007); the second approach, which we adopt in this task, views policy design as a (boundedly) rational planning process but informed by political feasibility and credibility (Linder and Peters, 1984). A third approach views policy design as a democratic politics exercised in qualitative participatory democracy, while a fourth understands policy design as a relational, political construct exercising political power (Peters and Fontaine, 2022). The approach introduced by Linders and Peters (1984) is still theoretically relevant (Howlett, 2014). A fruitful development in the literature is the addition of policy mixes— instances in which the policy output consists of more than one instrument, in which case they have to be evaluated in relation to each other (Capano and Howlett, 2020).

Generally, policy design implies that making "good" policy, though it is a political process, is based on some kind of evidence. Indeed, "evidence-based policymaking" (EBPM) is a term that is often evoked in the media but is not always straightforward. Evidence, an "argument or assertion backed by information" (Cairney, 2016: 3), may or may not be scientific and may be designed to assess the size of a problem or the effectiveness of the solution. Adequately translated for practitioners, evidence may go a long way to reduce uncertainty but does not do much to reduce ambiguity (Cairney, 2016). In this selection process, we seek to curate evidence-based policy tools, that is, policy proposals based on scientific knowledge and tested in the context of a funded project.

Policy tools can be private, mixed, or public. Private tools involve little or no direct government activity based on the idea that a solution will be more effective if provided by, for example, a civil society organization. Mixed tools involve governmental activity and include public-private partnerships or initiatives. Public tools are provided by the government, such as, for example, levying taxes or imposing jail sentences (Wu et al., 2018). This document uses the terms policy solutions, policy instruments, and policy tools interchangeably.

## 2.2 Societal Resilience

The concept of resilience has evolved from various disciplines and adopted different approaches in policymaking and academia. The international community will understand resilience as the degree to which a social system can organize itself to increase its ability to



learn from past adverse events to better protect itself in the future. It describes the extent to which systems absorb threats or shocks, being able to maintain their inherent structure, performance, and behaviour (Linkov et al., 2019).

While the public debate will look at the governance process and how to develop effective policy mixes that will increase preparedness for future crises, the academic debate will focus on the learning process and a deep understanding and work with the underlying causes of risks. In this sense, resilience will propose a twist to the traditional approach of disaster risk management, from the moment in which the concept implies greater proactivity and anticipation in decision-making, while at the same time, it means working in a context of greater uncertainty. Likewise, it involves facing multiple risks in a range of situations and diverse socio-economic scales (Coaffee and Lee, 2016).

Resilience could be understood as a comprehensive system composed of two key components: on the one side, the human communities, embedded in values, beliefs and structures; on the other side, the physical system where communities live, mainly linked to urban planning and composed of infrastructure, communications, energy facilities, geology and natural systems (Godschalk, 2003).

In the academic debate on resilience and its interaction with other overarching concepts such as sustainability or transformation policies, scientists have analysed the capacity of resilient systems to promote transformation, contribute to addressing societal challenges and increase future preparedness (Walker et al., 2004; Manca et al. 2017). For instance, Carl Folke (2010) moves beyond the definitions based on the absorptive capacity and understands resilience as the ability to face change by continuing on a development path through resistance to shock and disturbances, the use of certain events to catalyze innovation, and through learning in social diversity.

There is a tendency to look at resilience as part of specific policy domains, often working 'in silos' and failing to address the overall policy process (Bastagli, 2009; Adger et al., 2011). The interconnected nature of underlying factors that increase the risk of higher impacts to extreme weather events is indeed challenging policymakers to design appropriate decisions in dialogue with the scientific community and society as a whole, fostering system transformations towards sustainable goals.

In this direction, societal resilience refers to the intrinsic ability of a community to manage and adaptively respond to shocks and adverse events, and it is highly shaped by societal preexisting conditions (Cutter et al. 2008; Burton 2015). Similarly, the concept of community resilience is seen as the participation of citizens in creating resilience as well as managing the threats and the conditions of uncertainty: "This is reflected not just in greater local empowerment and agency, but also in changing patterns of leadership, social interaction,





governance and institutional arrangements in place-making agendas" (Coaffee and Lee, 2016: 65).

Even though we live in an increasingly interconnected world, policies to build and strengthen resilience should be developed at more local levels, as a place's social, economic and cultural characteristics may differ from others. Resilience is a process that emerges from sense-making and actions that are embedded in society, its structures, values and bonds.

For the mapping exercise, we will base our classification of relevant policy recommendations and research findings on the areas that could strengthen societal preparedness facing potential new events. Similarly, our classification of resilience dimensions will look at understanding the societal dimension of the policy document, including target groups, phases, geographical scope, scale of the solution, etc.



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# **3 Methodology**

We conducted considerable preparatory work prior to the mapping exercise, mainly in terms of translating the abstract theoretical policy design rationale to empirically usable inclusion and classification requirements and instructions guiding the choices of a diverse team of coders spread across a large number of project participants.

The objective of the database search was to identify and retrieve the relevant documents produced in the projects that we have already selected from CORDIS<sup>2</sup> and OVERTON<sup>3</sup>. Since we did not have an *a priori* list of the relevant outputs from each project, this task involved some investigation and assessment among the team. The steps described below serve as an explanation of the rationale for the selection and assessment.

## 3.1 Research in CORDIS

The mapping process started with the preparation of a list of keywords that would be used to search in the CORDIS database. We compiled the relevant set of projects funded only under the Horizon 2020 and the Horizon Europe funding schemes. The searches were conducted in different points in time between 13 March, 2023, and 19 April, 2023. In the table below, we show the topics which we aimed at populating with results, divided in core, secondary, and topical. This classification ensured that all the topics were addressed and that we paid equal attention to resilience, innovation, and crises (core), resilience, policy and society (secondary because it included a modifier [societal and similar concepts]), and topical, which were based on Figure 1.

<sup>&</sup>lt;sup>3</sup> Overton.io is recognized as the most extensive and comprehensive repository of policy doc-uments, recommendations, think tank publications, and working papers globally, offering a highly accessible and searchable index.



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<sup>&</sup>lt;sup>2</sup> The Community Research and Development Information Service (CORDIS) is the European Commission's primary source of results from the projects funded by the EU's framework programmes for research and innovation, from FP1 to Horizon Europe.

#### Table 1 Search Terms and Results

Topics	Search words	Results
Core search:	Core search:	
Resilience/Resilient + Crisis	Resilien* crisis	335
Innovation + Resilience/Resilient	Innovation resilien*	1870
Innovation + Crisis	Innovation Crisis	1372
'Research and Innovation' / 'R&I' + Resilience	We got a search error when searching "resilience and innovation" and "R&I", probably due to "and" in search inside quotation marks. Searched <i>research innovation resilien</i> * instead.	1867
Resilience + Foresight (Collection: Projects + Project Deliverables + Project Publication)	Resilien* Foresight (Collection: Projects + Project Deliverables + Project Publication)	673
Secondary search:	Secondary search:	
Resilience + Policy	Resilience policy	1004
"Societal Resilience"	"Societal Resilience"	27
Resilience + "Societal challenges"	"Societal challenges" resilien*	817
Resilience + governance/	Resilien* (governance or community)	1578
community		
Topic search:	Topic search:	
Resilience + Financial crisis	Resilien* "financial crisis" (Collection: Projects + Project Deliverables + Project Publication)	20
Resilience + Climate change	Resilien* "climate change"	827
Resilience + Disaster/s	Resilien* disaster*	246
Resilience + Energy/Blackout	Resilien* (energy or blackout)	744
Resilience + (Migration/Refugee/Displac ement	Resilien* AND '(Migration' OR 'Refugee' OR 'Displacement)'	253
Resilience + Digital	Resilien* digital	892
Resilience + Cyberattacks	Resilien* ("cyber attack*" or cyberattack*)	71
Resilience + Political crisis/ democracy	Resilien* ("Political crisis" or democracy)	73
Resilience + Pandemics	Resilien* pandemic*	148
Resilience + Biodiversity loss	Resilien* "Biodiversity loss"	32
Resilience + Health system crisis	Resilien* "Health system" crisis (Collection: Projects + Project Deliverables + Project Publication)	7



Topics	Search words	Results
Resilience + Education system crisis	Resilien* education system crisis	275
Resilience + Employment crisis	Resilien* employment crisis	36
Resilience + Supply chain disruption	Resilien* Supply chain disruption (Collection: Projects + Project Deliverables + Project Publication)	68
Resilience + Food crisis	Resilien* food crisis	59
Resilience + Mobility	Resilien* mobility	947

The data were cleaned iteratively to remove duplicate items (10,087 in the first instance and 171 in the second resulting in **4011 unique items**.

## 3.2 Research in Overton

In addition to research findings, the FUTURESILIENCE Knowledge Base compiles policy recommendations and papers that offer evidence-based suggestions for enhancing resilience in Europe. In addition to the mapping of CORDIS results, we used Overton.io to expand the range of policy tools. The Overtion.io database aggregates data from 182 nations and over a thousand sources on a global scale, with ongoing additions to its repository.

The initial search conducted on Overton.io, using the primary project keywords "crisis" and "resilience," produced a total of 173,285 results. In terms of spatial distribution, North America and Europe are the primary centres for the production of documents pertaining to the main project subjects. This observation is evident in Figure 1.







#### Figure 1 Countries of publications yielded by the research.

#### 3.2.1 Mapping Overton.io database

We conducted the policy document mapping in Overton.io using a comparable methodology as the one employed in CORDIS in order to maintain consistency during the screening of both databases. Furthermore, it is also a fit with the primary themes that have emerged from the first investigation, as indicated in Appendix III. The following is a compilation of subjects derived from the preliminary research conducted on Overton.io.

In addition to the initial research conducted using a combination of two keywords, we also conducted searches using various groupings of terms, as illustrated in Box 1.





#### Table 2 Keywords used in Overton.io search

Main S	earch
1.	Resilience/Resilient + Crisis
2.	Innovation + Resilience/Resilient
3.	Innovation + Crisis
4.	Resilience + Policy
5.	Societal resilience
6.	Resilience + governance
Thema	tic search
1.	Resilience + Economy/Finance
2.	Resilience + Climate Change
3.	Resilience + Disasters
	Resilience + Energy
	Resilience + Migration/Refugee
	Resilience + Digital
	Resilience + Cyberattacks
	Resilience + Democracy
-	Resilience + Pandemics
	Resilience + Biodiversity/Environment
11.	Resilience + Health/Wellbeing
12.	Resilience + Education
	Resilience + Employment
	Resilience + Supply chain
15.	Resilience + Agriculture/Food

We then downloaded the results of each search in Excel format. After that, all Excel files were combined into a single document.

#### 3.2.2 Filtering Overton.io results

After consolidating the databases into a unified file, we applied filtering techniques to align the findings with the objectives of the project. Upon removing duplicate items, the resulting database consisted of 9836 rows, with each row representing a distinct policy document. Subsequently, we proceeded to eliminate the subsequent outcomes:

- The data from the USA, Canada, and Australia were split and grouped in a separate sheet, while the main file retained the results from all other nations. The original sheet containing the results from all countries was preserved for the purpose of referencing individual case-by-case good practices.
- We conducted a search with keywords as filters to eliminate papers that were not relevant to the spatial focus of Futuresilience. Specifically, we excluded materials





pertaining to Africa, ASEAN, Asia, the Caribbean, and Latin America, as well as countries such as India, Colombia, Kenya, Mali, and Pakistan.

- Subsequently, we eliminated any lines containing documents that were not explicitly written in English.
- We then proceeded to eliminate all instances of "blog posts" and other miscellaneous document formats, retaining solely working papers and publications.

The final database ultimately consisted of 1,220 entries that required manual assessment. During the course of the mapping procedure, we observed that certain documents remained beyond the intended spatial scope. As a result, these documents were appropriately marked to reflect this discrepancy. Additionally, we determined that certain items corresponded to deliverables of EU-funded projects. These entries were removed from the study since they are already accounted for in the CORDIS dataset.

During the document processing phase, we encountered two primary categories of documents. The first category comprises documents containing policy recommendations supported by tangible evidence already implemented in society. The second category consists of documents that provide valuable tools in various interconnected areas relevant to societal resilience, such as food production, agriculture, and urban planning. The team has identified several tools and intends to incorporate them into the Toolbox.

## 3.3 Selection and Assessment

The selection and classification processes include two steps each. The first step, the selection assessment, ensures that policy tools are relevant vis-à-vis the policy problem they claim to address and how ready they are to be implemented. The second step, the classification, is a sorting tool to prepare the exporting of outputs to the knowledge database.

In the first step, researchers were expected to assess the policy tools against the criteria in Table 1 and the societal readiness level described below. To include a policy tool, it must include at least one of each of the four criteria in this table, for example, 1a, 2b, 3b, 4. It also must be at a minimum of 4 in the societal readiness level (SRL). If these conditions are not met, the policy tool is excluded.

Additionally, researchers were first expected to ensure that they populate the potential areas of impact of adverse events table (Table 2). In other words, ensuring that we include a variety of policy tools in the knowledge database that address several policy problems. The three dimensions that have the potential to be disrupted during a crisis are sorted under *people*, *prosperity*, *planet*, and their constituent areas. Secondly, researchers were expected to categorize each policy tool according to the dimensions of resilience in Table 3.





#### SELECTION STEP ONE: Policy relevance

In the first step, we analysed the policy relevance of the proposed solutions by using an adapted checklist of policy model appraisal criteria by Owen Hall (1975), further developed by Linder and Peters (1984) and adapted for FUTURESILIENCE using elements from the OECD program evaluation criteria (2021). The criteria are assessed on a three-point scale: Yes/To some extent/No.

The table below is progressive and addresses the following clusters of indicators regarding the proposed instrument: (1) basic characteristics; (2) usability; (3) impact and sustainability, and (4) pragmatic issues.

Criteria (Basic)	Assessment questions
1a. Relevance	Does the instrument relate directly to the policy problem? I.e., whether the
	expected benefits are delineated, well-defined, and plausible.
1b. Distortion	Will the instrument distort other social or economic processes? This also
	encompasses negative impacts and externalities.
2a. Tractability	Does the instrument appear easy to use?
2b. Accessibility	Is information available to make the instrument work and to monitor its
	effects?
2c. Flexibility	Can the instrument work in changing environments? This assesses whether the
	instrument is easily adaptable to a changing understanding of the social reality.
3a. Impact	Is the policy instrument expected to generate considerable positive effects?
3b. Sustainability	Are the benefits of the instrument expected to continue over time?
3c. Stakeholder	Were policy takers/stakeholders consulted in the policy formulation process?
involvement	
4. Common sense	Does intuition tell one the instrument should be effective?

#### Table 3 Instrument Selection Criteria

#### SELECTION STEP TWO: Societal Readiness

Societal Readiness Level (SRL) assesses how well thought out a policy tool is ahead of its adoption and implementation: has it been tested? Has it been revised? Have stakeholders been included in this process? The concept was developed as a conceptual development further to the already existing scale of Technology Readiness Leve, used to measure the progress or maturity level of a technology towards market uptake. SRL aims to assess the level of societal acceptance of a certain technology, product, process, or intervention. It looks to analyse the steps needed for full adoption and deployment within specific contexts. It





provides ground to develop concrete measures to promote "a realistic transition towards societal adaptation".

The proposed scale includes 9 different levels, as described below:

- SRL 1 identifying problems and identifying societal readiness.
- SRL 2 formulation of a problem, the proposed solution(s) and potential impact, expected societal readiness; identifying relevant stakeholders for the project.
- SRL 3 initial testing of proposed solution(s) together with relevant stakeholders.
- SRL 4 problem validated through pilot testing in a relevant environment to substantiate proposed impact and societal readiness.
- SRL 5 proposed solution(s) validated, now by relevant stakeholders in the area.
- SRL 6 solution(s) demonstrated in a relevant environment and in cooperation with relevant stakeholders to gain initial feedback on potential impact.
- SRL 7 refinement of project and/or solution and, if needed, retesting in relevant environments with relevant stakeholders.
- SRL 8 proposed solution(s) as well as a plan for societal adaptation complete and qualified.
- SRL 9 actual project solution(s) proven in a relevant environment.

We assessed whether research findings and policy recommendations have reached a minimum Societal Readiness Level (SRL) 4 to ensure research findings and policy recommendations are tested. SRL 4 corresponds to solutions validated through pilot testing in controlled environments. This substantiates any proposed impacts and societal readiness (Bruno et al., 2020). In the case of some policy documents, even though they were not tested in specific contexts, they collect scientific evidence (e.g. through databases) to provide well-grounded policy options with informed background on possible positive impacts. This small number of documents will be included in the mapping and considered to be incorporated in the Knowledge Base, indicating the appropriate SRL level.

#### CLASSIFICATION STEP ONE: Potential areas of impact of crises

Each finding is classified according to the main area/s of impact of crises. This first classification criterion follows three streams of academic literature on analysing risks, resilience and sustainability (Wisner et al., 2004; Coaffee and Lee, 2015; Jame, 2015). These three perspectives will analyse the underlying factors of i) risks; ii) indicators to measure





community resilience (also anchored on the Rockefeller Foundation City Resilience Index); and, iii) areas of action to build sustainability by analysing planetary boundaries and connecting to existing policy developments on sustainability indicators (e.g. Sustainable Development Goals).

The first one is the Pressure and Release Model (Wisner, B. et al., 2004), which analyses the progression of vulnerabilities, taking into consideration different factors: root causes (political and economic systems, power structures), dynamic pressures (local investments, markets, press freedom, urbanization, public debts.) and unsafety conditions (unprotected areas or infrastructure, groups at risks, lack of institutions, etc.). The authors proposed a dynamic lecture of the factors and introduced the "Access model" that tries to explain how people put themselves at risk: it underlines the "access" that people have to capacities, assets and opportunities to reduce their vulnerability in a specific context, thus emphasise the social causes of disasters.

The second one concerns attempts to measure resilience. While there is no agreement on indicators to build societal resilience, Coaffee and Lee (2015) compiled different approaches to measure resilience, proposing a series of dimensions. For instance, the City Resilience Index proposes four categories: **people**, health and well-being (diverse livelihoods and employment, minimal human vulnerability, etc.), **place**, infrastructure and environment (reduced physical exposure, continuity of critical services, etc.), organisation, economy and society (collective identity, social stability, availability of financial resources, etc.), and **knowledge**, leadership and strategy (effective leadership and management, empowered stakeholders, etc.). The authors analysed other sources and collected indicators such as economic diversity, housing type, social capacity, equity, cultural, and natural resources.

Finally, following multiple analytical frameworks on sustainability, Paul James (2015) proposes the so-called "circles of sustainability" compiling multiple areas and domains – also aligned with the SDGs – such as production and resourcing, consumption, labour and welfare, organisation and governance, material and energy, habitat and settlements, creativity, wellbeing, and health, among others. These dimensions are typically used to highlight the strengths and weaknesses of urban areas and unlock areas of intervention to build long-term sustainability, keeping the planetary boundaries under the analytical umbrella.

In an effort to keep the mapping process pragmatic, the classification adopted by Futuresilience builds on the idea of breaking down 'silos' of understanding crises as standalone events and widen **the analytical perspective** to the set of capacities and vulnerabilities at the societal level that makes crises have a smaller or larger impact. Therefore, we have proposed a classification of research findings and policy

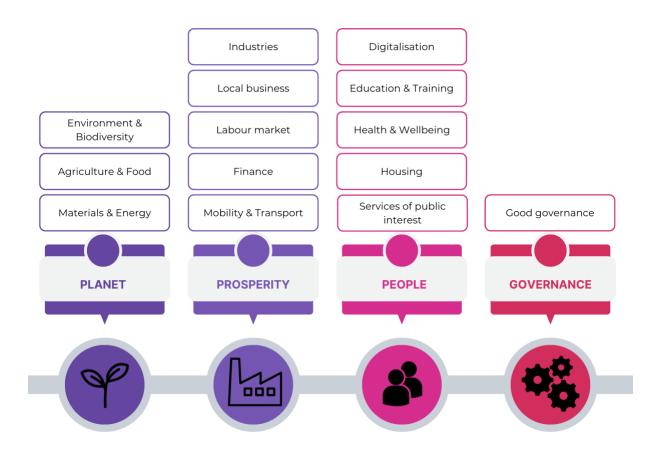




recommendations existing in multiple domains such as labour market, energy, housing, mobility, local business, etc. – all areas typically hit by crises.

As shown in the Figure 2 below, we have synthesized the analytical frameworks above, grouping them in four clusters: Planet, Prosperity, People, and Governance. Indeed, we understand that policy mixes in one or multiple areas could reinforce the societal fabric and provide a greater capacity to absorb, adapt and transform in face of different crises, independently of its nature and with no time constraints. This is especially the case if policy design follows some policy characteristics such as flexibility, coherence and synergies among policies and robustness.









#### Table 4 Dimensions and areas potentially impacted by adverse events.

Dimension	Area	Definition
Planet Environment and Biodiversity		Solutions in this area will help mitigate the environmental impact, including measures to reduce pollution, protect water basins and forests, reduce land degradation, etc. They will also include options for protecting biodiversity and ecosystems, including economic and legal incentives to protect biodiversity, awareness-raising campaigns, etc.
	Agriculture and Food	This category includes agricultural, farming and fisheries solutions, including planning rural areas, land use, and technology for efficient and low carbon emission production. It includes measures from the supply side of food production (including industrial processes associated) and the demand for food.
	Materials and Energy	Solutions in this area will support the extraction or import of raw materials as a basic part of developing key industrial sectors and technological innovation. Relevant solutions also include proposals that reinforce the production, distribution and appropriate regulation of energy consumption, considering both supply and demand for energy.
Prosperity	Industries	This area includes solutions that allow industries to keep running during critical periods through market-oriented measures that allow the maintenance of a threshold of productivity and increasing competitiveness.
Local business		This area includes solutions that support and protect small and medium enterprises to navigate challenging periods and recover from adverse events. Solutions include adopting sustainable business models, practices and technologies, market access, and value chain integration.
	Labour Market	In this area, solutions aim to support stability and growth in jobs by, for instance, supporting access to the labour market, unemployment insurance, and developing skills for market inclusion.
	Finance	This category refers to solutions that will facilitate access to finance for different key stakeholders of the financial system; it includes solutions in the banking sector. It also includes management of public accounts, public debt and monetary management.
	Mobility and Transport	Solutions in this area include managing transport networks and options that guarantee people's mobility through affordable and sustainable means. Relevant solutions also include measures to guarantee continuity in the supply chain.





Dimension	Area	Definition
People	Digitalisation	Solutions in this area aim at ensuring access, continuity and integration of digital technologies. Relevant solutions address the digital infrastructure setup, market dynamics and investments in digitalisation and skills for digital integration.
	Education and Training	Solutions in this area aim at ensuring the continuity and improvement of the education system, including solutions related to access to education and training opportunities and education infrastructure.
	Health and Well- Being	This area includes solutions geared towards ensuring access to healthcare and health services, promoting well- being, managing health data and ensuring access to critical material for the functioning of the health system.
	Housing	This category refers to solutions that guarantee access to affordable and sustainable housing. It includes solutions in urban planning and economics, such as housing market, housing conditions and affordability.
	Services of Public Interest	Solutions in this area are related to the effective provision of basic services during crises, including water, waste management, basic sanitation provision, and access to electricity (see Energy). It includes appropriate urban and territorial planning and market solutions.
	Good Governance	This is a cross cutting area for societal resilience and includes solutions concerning effective governance models as well as solutions that facilitate administrative and policy capacity and access to civil rights. Relevant themes include open government, access to political participation, inclusive voting, an open policymaking system, transparency, government accountability, and the ability to redress government.





#### CLASSIFICATION STEP TWO: resilience dimensions

This step is designed to highlight, but not measure, different aspects of resilience in the proposed policy solutions. It also works as precursor of the navigation tool of the Knowledge Base, which will include the most relevant filters according to results. For in this step we can determine if a policy solution is geared towards absorbing capacity, adaptation, or transformation against diverse risks.

#### Table 5 Resilience Dimensions

Resilience Dimensions	Cla	ssification Questions
The overall ambition of a policy instrument (question 1) is assessed by using the 3D resilience framework developed by Bené et al. (2012). The idea is to understand the scope of the policy intervention.	1)	<ul> <li>What is the policy instrument's main ambition in terms of change intensity?</li> <li>a) Stability: building absorptive capacity</li> <li>b) Flexibility: building adaptive capacity</li> <li>c) Change: building transformative capacity</li> <li>d) Not specified</li> </ul>
Target policy areas	2)	<ul> <li>In what concrete ways does the instrument contribute to building resilience?</li> <li>a) Regulatory/standards/targets measures</li> <li>b) Market-based mechanisms</li> <li>c) Resource allocation</li> <li>d) Awareness raising</li> <li>e) Knowledge creation</li> <li>f) Knowledge transfer</li> <li>g) Building relationships</li> </ul>
Policy implementation timeline	3)	Does the instrument define a time horizon to reach its goal(s)? If yes, how many years? a) Number of years: X
The policy instrument's relation to the shock phases (before/during/after) from crisis and disaster management literature.	4)	<ul> <li>Does the instrument target a specific shock phase?</li> <li>If yes, which one(s)?:</li> <li>a) Mitigation</li> <li>b) Preparedness</li> <li>c) Response</li> <li>d) Recovery</li> <li>e) Rebuilding</li> </ul>
Disturbance onset speed	5)	<ul> <li>What disturbance onset speed does the policy instrument focus?</li> <li>a) Rapid-onset disturbances</li> <li>b) Slow-onset changes</li> <li>c) None</li> </ul>
Target audience(s)	6)	Resilience for whom (whose resilience isprioritised)?a) General publicb) Elderly peoplec) Children or young people





Resilience Dimensions	Classification Questions
	d) People with disabilities
	e) Women
	f) LGBTQIA+
	g) Migrants
	h) Other
Target administrative level(s)	7) What administrative level does the policy
	instrument target?
	a) National level
	b) Sub-national level
Target spatial area	8) Does the instrument target any of the following
	spatial contexts?
	a) Urban areas
	b) Rural areas
	c) No



# **4 Preliminary Results**

At the point of writing this report, a total of 548 policy tools have been included in the database. Preliminary results indicate that:

- Policymakers and other decisionmakers potential end-users must pay attention when choosing policy solutions to ensure that their new choices are compatible with existing policies and do not cause distortion or externalities.
- Interestingly, the majority of policy instruments mapped do not stipulate a time horizon for reaching intended goals, which in many cases is transformative change.
- A large number of policy tools are not accompanied with information that would facilitate their monitoring and evaluation, which would potentially hinder implementation efforts.
- All policy tools are expected to yield substantial positive effects and the majority of them are designed to work in a changing environment.

The analysis of the tools is ongoing, but some descriptive statistics and graphs are included in Appendix IV.

#### 4.1.1 Process reflections

The mapping process included a multitude of researchers from different disciplines coding relevant projects and classifying policy solutions. In order to bolster the internal- and construct validity of the database, we initiated an evaluation process which ran parallel to the mapping process. In addition to a continuous dialogue with the researchers working with the material, we sent out a survey with questions aimed at capturing reflections on the process and ways to improve it. The questions were as follows:

- 1. What are the main reasons you excluded projects?
- 2. What has been helpful/easy/good in completing the task?
- 3. What has been problematic/cumbersome/time-consuming in completing the task?
- 4. Are there any other comments we should include in the report?

Projects were **excluded** from the database for lack of relevance because they were too technical and thus not aiming to increase **societal** resilience; they were not addressing the areas of impact mentioned elsewhere in this paper or they were projects whose results had not been tested. Moreover, some organisations detailed project types, such as Marie Curie or European Research Council (ERC) funded projects that produced scientific papers or dissertations but did not draw conclusions of practical relevance for public policy and thus were noted but were not included in the database.

Participants reported **collaboration** with project colleagues as an **advantage**, while the process of scanning projects, reading all the deliverables, and checking them across the



criteria was quite time-consuming and challenging. While CORDIS includes a classification of results by topic, we deemed essential to include in our knowledge base results that are directly connected to underlying areas of societal resilience and following our selection criteria, which were policy-relevant and tested. We also discussed the use of Artificial Intelligence (AI) to accelerate the process, but we decided against it due to lack of reliability of these tools at this stage. This decision was informed by input offered by the Advisory Board, which includes experts on AI.

Even though every effort was made to include a set of criteria that would systematize the selection of policy instruments, in reality, the mapping process included a fair amount of **interpretation** and extrapolation. Having said this, each partner had a team of researchers working on the mapping with a level of intercoder reliability built in the process. In order to avoid misinterpretation of results, we applied a cross-check mechanism for results. This included collaboration within the mapping organisation, and whenever needed, involving other partners such as the task leader or the scientific coordinator.

#### 4.1.2 Next steps

The mapping task including the CORDIS and Overton.io search will be complete by mid-November, 2023. The mapping will be complemented by other input channels:

- Each FUTURESILIENCE lab will conduct desk research to find additional solutions to their specific challenges. These new solutions and good practices may be added to the Knowledge Base, after undergoing the selection and classification criteria set up in our methodological approach.
- During the implementation phase, we may come up with solutions that are recently developed by ongoing H2020 and Horizon Europe projects. These solutions will be added to our dataset, contingent on their feasibility in terms of the systematic selection and classification criteria. These inputs may come from networking or dissemination activities, where FUTURESILIENCE project members participate and exchange with ongoing projects. Up to date, indeed, we have collected positive feedback from projects that see their outputs could be reused in application to specific domains such as societal resilience.

The full results of the mapping will become available as methodological note to the Knowledge Base, once publicly available towards the end of the project.



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# Appendix I. Online Assessment Form



# **Appendix I: Online Assessment Form**

# FUTURESILIENCE, Task 1.1: Selecting and classifying policy instruments

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This form is for assessing the policy instruments (project deliverables) identified and retrieved from CORDIS and OVERTON. All questions in this form should be answered for each instrument. The instructions can be found in the WP1 folder on Teams. In case you have any questions about the form or workflow, please contact Jörgen Sparf at jorgen.sparf@samforsk.no.

\* Required

**Record Information** 

1. Record number (extract from column A in the Excel file) \*

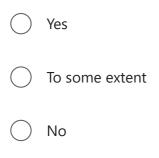
## 2. Deliverable title \*

3. Deliverable hyperlink (i.e., the direct link to the document/tool, not the project)

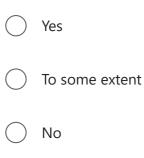
4. Comments to section 1 (questions 1-3).

## Selection criterion 1: Policy Relevance

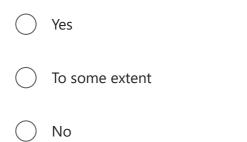
Does the instrument relate directly to a policy problem?
 I.e., whether the expected benefits are delineated, well-defined, and plausible. \*



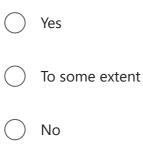
 Will the instrument cause distortion of other social or economic processes? This also encompasses negative impacts and externalities. \*



7. Does the instrument appear easy to use? \*



8. Is information available to make the instrument work and to monitor its effects? \*



9. Can the instrument work in changing environments? \*



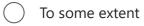
To some extent

No

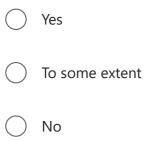
- 10. Is the policy instrument expected to generate considerable positive effects?
  - Yes
    To some extent
    No
- 11. Are the benefits of the instrument expected to continue over time?
  - Yes
    To some extent
    No

- 12. Were policy takers/stakeholders consulted in the policy formulation process?
  - ) Yes

\*



- ) No
- 13. Does intuition tell one the instrument should be effective? \*



14. Comments to section 2 (questions 5-13).

# Selection criterion 2: Societal Readiness Level

15. What Societal Readiness Level (SRL) has the policy instrument reached? \*

$\bigcirc$	SRL 1 – identifying problems and identifying societal readiness.
$\bigcirc$	SRL 2 – formulation of a problem, proposed solution(s) and potential impact, expected societal readiness; identifying relevant stakeholders for the project.
$\bigcirc$	SRL 3 – initial testing of proposed solution(s) together with relevant stakeholders.
$\bigcirc$	RL 4 – problem validated through pilot testing in a relevant environment to substantiate proposed impact and societal readiness.
$\bigcirc$	SRL 5 – proposed solution(s) validated, now by relevant stakeholders in the area.
$\bigcirc$	SRL 6 – solution(s) demonstrated in a relevant environment and in cooperation with relevant stakeholders to gain initial feedback on potential impact.
$\bigcirc$	SRL 7 – refinement of project and/or solution and, if needed, retesting in relevant environments with relevant stakeholders.
$\bigcirc$	SRL 8 – proposed solution(s) as well as a plan for societal adaptation complete and qualified.

) SRL 9 – actual project solution(s) proven in a relevant environment.

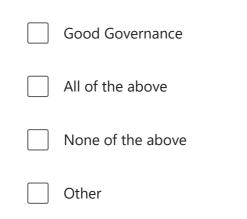
# 16. Comments to section 3 (question 15).

# Classification of included policy instruments 1

Potential areas of impacts of adverse events

17. Which of the following societal areas is the policy instrument intended for? \*

	Environment and Biodiversity
	Agriculture and Food
	Materials and Energy
	Industries
	Local business
	Labor Market
	Finance
	Mobility and Transport
	Digitalization
	Education and Training
	Not applicable
	Health and Well-Being
	Housing
$\square$	Services of Public Interest



#### 18. Comments to section 4 (question 17).

https://forms.office.com/Pages/DesignPageV2.aspx?origin=Neo...RNsAqd9KBKkjtqojo7y0dUMDU1SjdRSzY0RUJaTzI3N0YyNkRBSURYWC4u Sidan 10 av 17

# Classification of included policy instruments 2

**Resilience** Dimensions

# 19. What is the policy instrument's main ambition in terms of change intensity? \*



Stability: building absorptive capacity



Flexibility: building adaptive capacity



Change: building transformative capacity

Not specified

# 20. In what concrete ways does the instrument contribute to building resilience?

Regulatory/standards/targets measures
Market-based mechanisms
Resource allocation
Awareness raising
Knowledge creation
Knowledge transfer
Building relationships
Other
None of the above

## 21. Does the instrument define a time horizon to reach its goal(s)?

$\bigcirc$	Yes	
$\bigcirc$	No	

\*

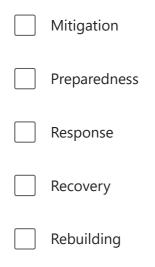
## 22. How many years is the time horizon? \*



# 23. Does the instrument target one or several specific shock phases? \*



#### 24. Which phase(s) does the policy instrument target?



# 25. What disturbance onset-speed does the policy instrument focus?



Rapid-onset disturbances



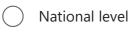
Slow-onset changes

) N/A

## 26. Whose resilience does the policy instrument prioritise?

General public
Elderly people
Children or young people
People with disabilities
Women
LGBTQIA+
Migrants
Other

#### 27. What administrative level does the policy instrument target?





) N/A

## 28. What spatial contexts does the instrument target?



29. Comments to section (questions 19–28).

# **General Comments**

30. Please provide any general comments that you might have about this policy instrument that can be helpful for the development of the knowledge database.







# **Appendix II. Task 1.1 Assessment Instructions**

#### Task 1.1—Retrieving and assessing policy tools

This document constitutes a set of brief instructions for task 1.1, which aims to identify, select, and classify the policy outputs from Horizon 2020 and Horizon Europe projects. You may find a description of the theoretical and methodological underpinnings of the task in the document titled Selection and Assessment Rationale in the Teams folder. Please familiarise yourself with that document before retrieving project results.

The policy tools are retrieved from projects in the CORDIS database. All these projects are listed in the Excel spreadsheet named "Dataset" on Teams under WP1 - Conceptual and Methodological Framework (NTNU)/Task 1.1. Each partner will work on their own set of projects<sup>4</sup>.

For each project in the Excel spreadsheet, the steps are as follows:

- 1. Please follow the link in column N to the CORDIS website for each project found on the spreadsheet.
- 2. On the CORDIS website, click on the tab called "Results".
- 3. The tab will bring you to a list of deliverables. For each deliverable, please answer the questions in the MS Forms at the provided link.
- 4. Some projects might have several relevant deliverables, and some may have none. In the MS Forms, please identify them by record number (column A in the Excel file) and deliverable title.
- 5. Please note that some projects may not include a "results" tab. Make sure you navigate the CORDIS website of the project in case the results are listed further down the page (i.e., not in a results tab). Finally, there may also be projects without any relevant results.

<sup>&</sup>lt;sup>44</sup> The allocation of work corresponded to the pre-allocated PMs for the task. Partners involved in the mapping: EFIS Centre, NTNU Social Research, Fraunhofer ISI, UNIFE, UNIURB, UPCT and RDI.



This project has received funding from the European Union's Horizon Europe research and innovation programme under grant agreement No 101094455.

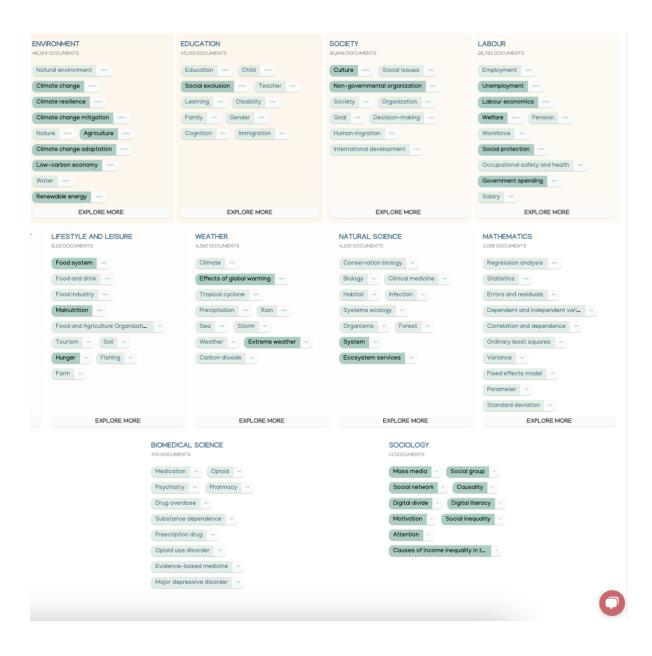
# Appendix III. List of subjects from Overton.io preliminary research





This project has received funding from the European Union's Horizon Europe research and innovation programme under grant agreement No 101094455.







This project has received funding from the European Union's Horizon Europe research and innovation programme under grant agreement No 101094455.



# **Appendix IV. Results Overview**



This project has received funding from the European Union's Horizon Europe research and innovation programme under grant agreement No 101094455.

**Appendix IV: Results Overview** 

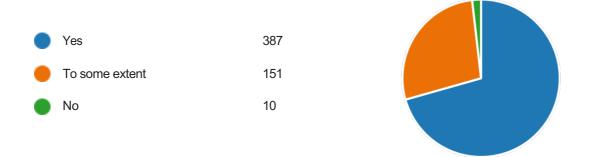
FUTURESILIENCE, Task 1.1: Selecting and classifying policy instruments.

548 Responses 23:20

Active Status

Average time to complete

Does the instrument relate directly to a policy problem?(0I.e., whether the expected benefits are delineated, well-defined, andpoint)plausible.

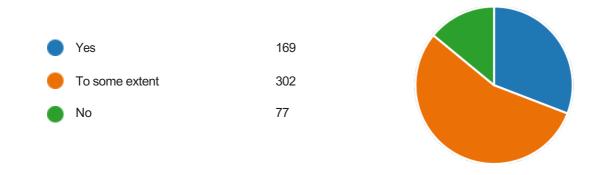


Will the instrument cause distortion of other social or economic processes? This also encompasses negative impacts and externalities.

(0 point)

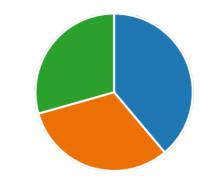


Does the instrument appear easy to use? (0 point)

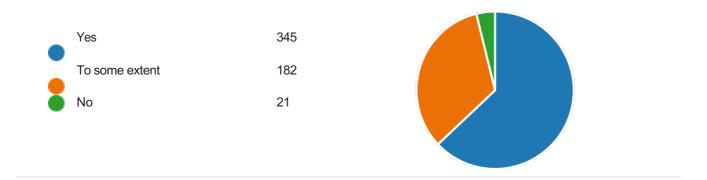


Is information available to make the instrument work and to monitor its (0 effects? point)

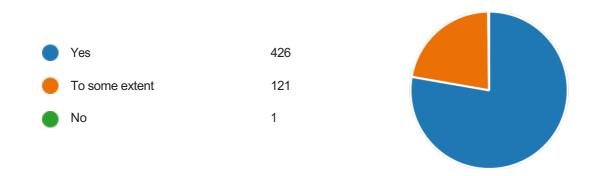




Can the instrument work in changing environments? (0 point)

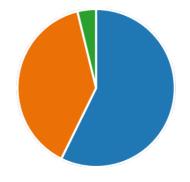


Is the policy instrument expected to generate considerable positive (0 effects? point)



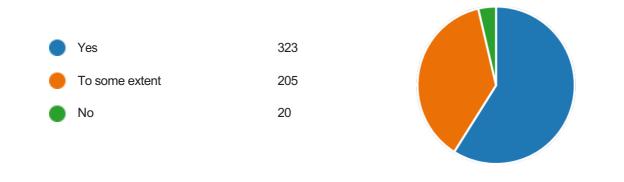
Are the benefits of the instrument expected to continue over time? (0 point)





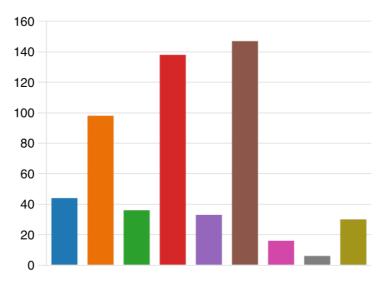
Were policy takers/stakeholders consulted in the policy formulation process? • Yes 254 • To some extent 197 • No 97

Does intuition tell one the instrument should be effective? (0 point)



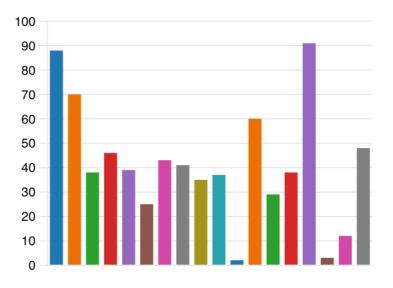
What Societal Readiness Level (SRL) has the policy instrument reached? (0 point)



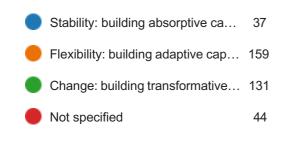


Which of the following societal areas is the policy instrument intended(0for?point)

Environment and Biodiversity	88
Agriculture and Food	70
Materials and Energy	38
Industries	46
Local business	39
Labor Market	25
Finance	43
Mobility and Transport	41
Digitalization	35
Education and Training	37
Not applicable	2
Health and Well-Being	60
Housing	29
Services of Public Interest	38
Good Governance	91
All of the above	3
None of the above	12
Other	48



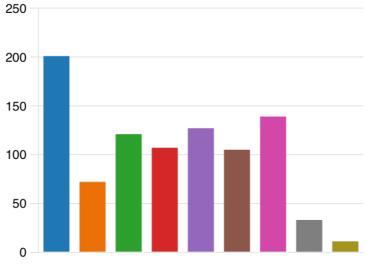
What is the policy instrument's main ambition in terms of change(intensity?p



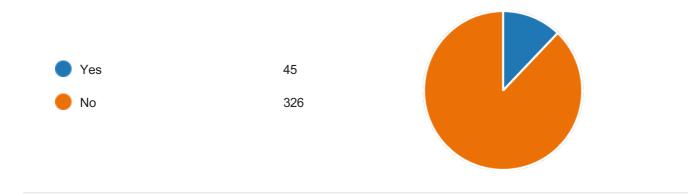


(0 point)

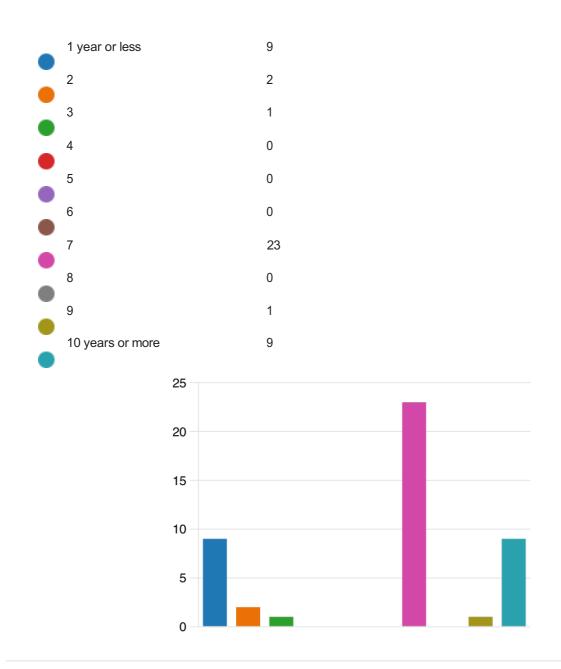




#### Does the instrument define a time horizon to reach its goal(s)? (0 point)



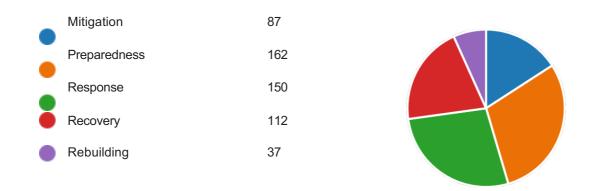
(0 point) How many years is the time horizon? (0 point)



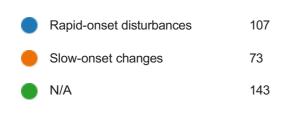
#### Does the instrument target one or several specific shock phases? (0 point)

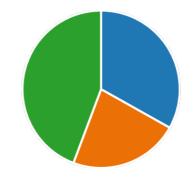


#### Which phase(s) does the policy instrument target? (0 point)

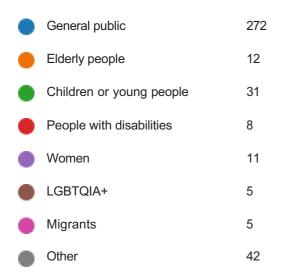


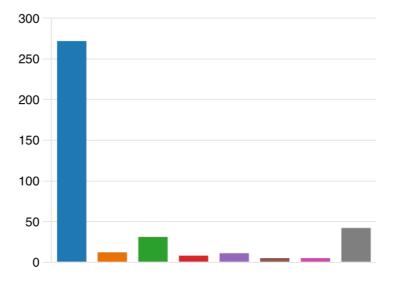
What disturbance onset-speed does the policy instrument focus? (0 point)





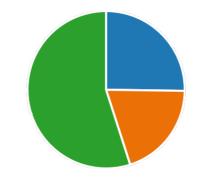
Whose resilience does the policy instrument prioritise? (0 point)





What administrative level does the policy instrument target? (0 point)





## What spatial contexts does the instrument target? (0 point)

