



**ICOMOS-ICCROM**  
ANALYSIS OF CASE STUDIES IN  
RECOVERY AND RECONSTRUCTION  
**REPORT**

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## ICOMOS-ICCROM

# ANALYSIS OF CASE STUDIES IN RECOVERY AND RECONSTRUCTION

The Joint ICOMOS-ICCROM Project “Analysis of Case Studies in Recovery and Reconstruction” sought to harness the knowledge and capacities of both bodies to explore how best to learn from experience. Its objective was to clarify issues of recovery and reconstruction and to provide insights that could improve guidance. The project involved the commissioning of a range of case studies, chosen to represent a comprehensive set of factors, namely geographical, cultural and causational. The project was managed through a joint Working Group comprising members of both organizations and administered through both the ICOMOS Secretariat and the ICCROM-Sharjah Regional Office.

**ICOMOS**  
international council on monuments and sites

ICOMOS International Secretariat  
11 rue du Séminaire de Conflans  
94 220 Charenton-le-Pont  
France  
Tel : 33 (0) 1 41 94 17 59  
Email : [secretariat@icomos.org](mailto:secretariat@icomos.org)  
<https://icomos.org>

   
**ICCROM** SHARJAH  
الإمارات العربية المتحدة

P.O. BOX 48777, Sharjah  
United Arab Emirates  
Tel: +971 (0)6 555 2250  
Email: [athar-centre@iccrom.org](mailto:athar-centre@iccrom.org)  
[www.iccrom.org/athar](http://www.iccrom.org/athar)

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#### **ICCROM-Sharjah**

P.O. BOX 48777, Sharjah

United Arab Emirates

Tel: +971 (0)6 555 2250

Email: [athar-centre@iccrom.org](mailto:athar-centre@iccrom.org)

[www.iccrom.org/athar](http://www.iccrom.org/athar)

#### **ICCROM**

Via di San Michele

13 I-00153 Rome

Italy

Tel: +39 06 585-531

Email: [iccrom@iccrom.org](mailto:iccrom@iccrom.org)

[www.iccrom.org](http://www.iccrom.org)

#### **ICOMOS International Secretariat**

11 rue du Séminaire de Conflans

94 220 Charenton-le-Pont

France

Tel : 33 (0) 1 41 94 17 59

Email : [secretariat@icomos.org](mailto:secretariat@icomos.org)

<https://icomos.org>

Graphic design: Mohammed Irqosy

# EXECUTIVE SUMMARY



## Executive Summary

The Joint ICOMOS/ICCROM Project, **Analysis of Case Studies in Recovery and Reconstruction**, was launched in 2019 for completion in 2020. The objective of the project was to clarify issues of recovery and reconstruction and to provide insights that could improve guidance. The project was managed through a joint Working Group comprising members of both organisations and administered through the ICOMOS Secretariat and the office of ICCROM Sharjah.

The need to learn from the experiences captured through case studies had been apparent for some time. The project commissioned a range of case studies that represented a comprehensive set of factors, namely geographical, cultural and causational, utilising the *ICOMOS Matrix for the Compilation of Case Studies* to provide a common structuring framework for compilation and analysis. Eleven case studies were analysed, covering sixteen significant sites and buildings. The project was able to draw from the case studies lessons that have wider application:

1. The case studies consistently demonstrate the essential inter-relationship between reconstruction of the damaged physical environment or resource and the processes of generating a new, post-trauma social reality. The relationship persists even though it differs in each case;
2. Certain studies highlight questions about the sustainability of recovery processes, where these processes involve relationships created in the pursuit of remedial actions;
3. Where repeated destructive events are experienced, preparation for future events is a deep challenge for authorities. Even if it can be said that systems continue to learn, preparation for fresh events is sometimes not prioritised;
4. The case studies provide evidence of the critical importance of local population engagement for effective and socially responsible recovery actions and of the key role that governance structures and available policy instruments play in enabling such engagement. They also demonstrate that documenting such engagement is not always a priority in how remedial actions are described;
5. Certain studies demonstrate the influence of donors in the prioritisation of and the preferential resourcing for projects. Special projects attract resources beyond what is available in the wider context of recovery;
6. The case studies suggest that capacity building was rarely an explicit priority in the recovery of social life and local economies;
7. The word “reconstruction” carries multiple meanings in post-trauma remedial action. It is widely accepted that “reconstruction” can be understood as describing a process rather than be understood as a singular event. The processes of recovery may involve physical reconstruction that is also supporting the intention or desire to re-establish pre-existing social or cultural conditions. Alternatively, they may also embrace the desire for change. Both considerations may apply in particular cases. Future case studies need to be conscious of the need to avoid conflating “reconstruction” with “recovery”;
8. The studies show that the relationship between physical/environmental reconstruction and the retention of cultural value can be made a priority in the aftermath of catastrophe, but it is not a given;
9. Where the importance of retaining cultural value is recognised, restitution of physical/spatial/visual characteristics frequently takes priority over adherence to conservation principles as they relate to authenticity of materials and techniques. As well as creating challenges for resilience, uncertainties of supply and availability of material and skills result in changes to practice. Commensurate outcomes arise from how new regulatory requirements are implemented;
10. The studies raise questions about interpretations and understandings of authenticity at a popular level and within cultural organisations, official bodies or professional bodies even where the immaterial attributes of a resource are taken to be significant components of its pre-event significance.

The project identified six crosscutting issues:

- **Social justice:** In a number of studies, the accounts of recovery actions shed light on issues of social relationship. There was wide variation in, and focus on, the engagement of the local population in the recovery process and in the realisation of capacity-building.
- **Continuous response:** A number of studies dealt with inconclusive situations, even though the impacting event(s) had ceased. Exposition of certain cases demonstrated that responses were ongoing and continuous, becoming a feature of “normal” life.
- **Ownership of outcomes.** The covert nature of where the learning from post-trauma recovery and reconstruction resides became apparent. The dynamic nature of knowledge-generation and the uncertainties of knowledge-sharing were implicit in several studies and evident in others. The role of donors (especially international ones) was significant, in committing financial resources, knowledge and expertise and in influencing priorities.
- **Resources.** The economic perspective on recovery tended to be under-represented in reportage. The exploration of how the reconstruction efforts of local populations are supported by the infusion of resources needs to be mainstreamed in case studies of recovery and reconstruction.
- **Sustainability:** Measures introduced in recovery processes can generate new relationships between sectors in society. Studies raised questions about sustainability of measures and relationships and lasting impacts.
- **Authenticity versus resilience:** The question of where authenticity lies in the reconstructed resource, or how *authenticity* is defined in the given context was less comprehensively addressed than had been hoped. The issue of establishing resilience is inseparable from discussion of recovery actions. New, post-trauma regulations and standards introduced to improve resilience frequently challenge existing or traditional constructions.

Further examination of the issue is required in relation to factors such as continuous response, sustainability, resources and authenticity.

The project demonstrated that the *Matrix for the Compilation of Case Studies* was a valuable tool and made a significant positive contribution to the learning outcomes. In summary, the Matrix proved its value

- a. in helping to structure complex information
- b. in identifying aspects within studies that merited deeper exploration
- c. in identifying crosscutting issues common to many and diverse situations
- d. in providing a solid basis for comparison and contrast
- e. in providing ideas and information for further reflection and productive debate and in producing a valuable resource for shared learning and developing best practice
- f. the experience of the project suggests that the Matrix be developed further
- g. responses to the Matrix suggest some clarifications. Initial considerations are outlined in Appendix 3 of the Report



Oxford Terrace Baptist Church, with columns from the demolished church within the grounds, 2018

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# 1

## INTRODUCTION



## 1. Introduction

### 1.1 Background: the origins and intentions of the project

The Joint ICOMOS/ICCROM Project, **Analysis of Case Studies in Recovery and Reconstruction**, was launched in 2019 for completion in 2020. The need to learn from the experiences captured through case studies had been apparent for some time. It was invoked in international conferences and meetings such as the ICOMOS Colloquium on Post-Trauma Reconstruction of 2016, and expressed in the Conclusions and Recommendations of the *Thematic Discussion on Post-conflict Reconstructions: recovery and community involvement*, formulated at ICCROM's 30<sup>th</sup> General Assembly, 2017.

The decision of the World Heritage Committee of 24 June 2018 to direct the attention of advisory bodies towards the examination of case studies provided an important impetus. The ICOMOS-ICCROM joint project (henceforth the project) sought to harness the knowledge and capacities of both bodies to explore how best to learn from experience. Its objective was to clarify issues of recovery and reconstruction and to provide insights that could improve guidance.

The project involved the commissioning of a range of case studies, chosen to represent a comprehensive set of factors, namely geographical, cultural and causational. The project was managed through a joint Working Group comprising members of both organisations and administered through both the ICOMOS Secretariat and the office of ICCROM Sharjah.

### 1.2 Working methods

While many case studies of reconstruction have been carried out, it has proven difficult to draw robust conclusions for future action. In large measure this is due to variations in the scope and intentions of individual studies, divergent parameters as well as the specific expertise of authors, their capacities to access the situations described and the source material required. The approach of the project was to commission, for analytical purposes, case studies with an underlying parametric consistency. To facilitate this, the Working Group utilised the *ICOMOS Matrix for the*

*Compilation of Case Studies* (henceforth the Matrix), which was prepared within the ICOMOS Global Project on Post-trauma Recovery and Reconstruction 2018, and devised a range of criteria for selection of case studies for analysis. The criteria identified were:

- the case studies would be chosen to cover a comprehensive set of factors, namely geographical, cultural and causational. The causational factors would include both natural occurrences, including climate change, and human conflict;
- the events or series of events reported on should have reached a point where objective reportage was possible. The preference would be to avoid cases where developments and outcomes remained fluid;
- the contributing author(s) should have had direct experience of the situation being described, and be in a position to access records and resources in preparing the case study.

An open call for proposals was issued through the websites of ICOMOS and ICCROM. The text of this call is included in Appendix 1. In addition, a number of authors were invited to submit case studies. These authors were invited on the basis of their known and published work in the area of post-trauma recovery and reconstruction. In all, the Working Group reviewed twenty-two submissions. Following review guided by the criteria identified, eleven case studies were selected for further development. Ten of these were successfully completed. On further review, and taking into account the ambition to achieve coverage of a range of impacted resources, events and locations, the case studies first selected were supplemented with an additional case study. The selected authors were commissioned to undertake the studies.

While the project was in preparation, a study was received from ICOMOS China independently of the call for proposals. This concerned the reconstruction of a former seminary, damaged through earthquake and landslide. Because of its exceptional interest and its compliance with the Matrix, it was decided by the Working Group that it could be included for reference purposes where that might be appropriate. For the sake of completeness, it is included in Table 1 below. The full list of case studies and their authors is provided in Appendix 2

As a result of these decisions and the submission of commissioned studies, the Working Group had a reference resource comprising eleven sites of cultural significance, with wide geographical distribution. The reference resource provided documentation of recovery and reconstruction processes from catastrophic events of both human and natural causation and covered a broad range of cultural resources. The figure of eleven sites, however, does not reveal the richness and extent of the material provided to the Group. One of the case studies was a multiple study, comprising an overview and five studies of specific impacted resources, while others also encompassed a range of buildings, settlements and places covering over 30 elements of significant inheritance.

The project was launched early in 2019 with the intention that the final report would be issued in 2020. Notwithstanding unavoidable delays and difficult or changing circumstances affecting authors, that timescale has been met. All case studies were submitted in draft, which were read and commented on by the Working Group. The Group met physically and virtually to discuss the studies in detail, exchanged draft comments and engaged with authors at different stages in the preparation of the case studies.

The Group felt that the rich experience of authors in preparing their studies should be harnessed. A series of four virtual workshops was arranged to reflect principally on the lessons learned, to allow for the exchange of experience and to garner feedback that could be helpful in improving the Matrix. The outcomes of these workshops are reflected in the final report.

### **1.3 Overview: coverage provided by responses**

Allowing for overlapping categories the list of case studies includes two cultural landscapes and five historic urban complexes (four of which incorporate multiple sites), while fourteen historic structures were specifically considered. An indication of the range and geographic distribution of case studies is given in Table 1 below. The table also notes the principal causes of the traumas whose impacts were examined. Most impacting events covered in the project were natural in origin, while three were caused directly by human actions and one involved the combination of both natural and human factors.

**Table 1.** summary: the case studies (\*for reference)

Country/region/place	Resource	Type of trauma	Event/time
Austria/ Wachau WHS	Cultural landscape: terracing walls, buildings	flooding	Flood of 2002; noting also later flooding event
Bosnia-Herzegovina/ Mostar	Group of buildings: Sevri Hadzi Hasan Mosque with reference to Nezir-agina and Tabačka mosques	conflict	Successive events 1992 - 1995; references to deliberate destruction of mosque in 1950's
Chile/ O'Higgins Region	Historic city/ San Pedro de Alcántara	earthquake and tsunami	Events of 2010
China/ Taishun	Group of structures: three covered bridges	flooding	Flooding arising from typhoon 2016
Italy/ L'Aquila	Historic building: Palazzo Carli Benedetti	earthquake	L'Aquila earthquake 2009
Mexico/San Luis Potosí	Historic building: Temple of Nuestra Señora de la Asunción of Santa Maria Acapulco	lightning strike	2007 strike and fire
Nepal/ Kathmandu	Urban area: Patan Durbar Square/ monument zone, civic and religious elements	earthquakes	Principal seismic event 2015
New Zealand/ Christchurch (6)	Historic city and five specific sites (historic buildings)	earthquakes	Seismic events in 2010 and 2011
Rwanda/ Nyanza	Cultural landscape	conflict	1994 genocide
Syria/ Aleppo	Historic city: historic <i>suq</i>	conflict	Successive events, 2012-2016
Palestine/ Nablus	Historic city: multiple sites	conflict, also effects of earthquake	Primary event, incursion 2002-2004; references to events post 1967; 1927 earthquake
China/ Chengdu, Sichuan Province*	Architectural ensemble: former seminary	earthquake	Earthquakes 2008, 2011, mudslide 1928

# 2

## CASE STUDY ANALYSIS



## 2. Case Study Analysis

The Case Studies Analysis examines how the studies addressed the issues of recovery and reconstruction, using the components of the ICOMOS *Matrix for the Compilation of Case Studies* as a guiding template. In so doing, and acknowledging that compatibility rather than strict compliance with the Matrix was required, the analysis focuses on the intentions of each component as shaped by the prompts provided in the Matrix.

### 2.1 Case Studies and the Issues of Recovery and Reconstruction

This analysis uses the seven components of the ICOMOS Matrix as a template, listed as follows:

Description of the Resource  
Nature of the Impacting Event(s)  
Post-Event Appraisals  
Response Actions, Timeframes, Resources and Costs  
The Outcomes and Effects  
Additional Comments  
Details of the Expert(s) Completing the Study

The appraisals that follow derive from interrogating the range of case studies at progressive stages. They reflect perspectives that developed through cross-referring between the case study accounts for each component of the Matrix.

Recognising that the Matrix is not a prescriptive tool, the Working Group used it to examine how all case studies addressed the key factors in each component and

thereby facilitated learning. In this section, reference is made to individual studies only insofar as they illustrate a general point. It was the practice that questions related to individual case studies were pursued directly with the authors concerned.

#### 2.1.1 Description of the Resource (Component 1)

Under this heading, case studies are requested to describe the resource prior to the traumatic event that triggered the need for recovery and reconstruction. When reading case studies, the expectation is that one will develop an understanding of the resource that will allow for subsequent appraisals of the impact of the event(s) and of the subsequent interventions that followed to recover and/or reconstruct what was lost or damaged.

As a general comment the majority of case studies provided suitable descriptions of the affected resource in itself, in that the descriptions reflected the type of resource in question (for example, the emphasis on material/construction in Taishun, and the exposition of ritual siting in the historic royal settlement in Rwanda). The focus of the Working Group analysis was on the degree to which descriptions captured the significance that the resource was purported to possess prior to the impacting event(s). For this purpose, descriptions fall under two principal headings: the description of attributes (material and/or immaterial) and the establishment of context (geographical, social, cultural, its historical development, etc). The Matrix also prompts authors to provide supporting evidence for the attributed value of the resource. Most responses in this regard were satisfactory.

**Table 2.** Description of the resource/significance prior to the event(s): 11 studies

topic	comprehensive	adequate	weak	WG comments
Attributes: material and/or immaterial	7	3	1	Historic morphology relevance seldom explained. Rural resources well described.
Geographical, socio-economic, cultural, historical contexts	7	2	2	Geographical contexts generally well described. Many historical accounts remained general, thus not casting light on its significance

Several of the case studies highlighted urban areas or buildings in urban settings. The prompts provided in the Matrix suggested a range of conditions, including urban, suburban, peri-urban, rural and so on, that might contribute to the author's description. This categorisation of typologies was rarely referred to, and the relevance of historic morphologies to the significance of urban areas or in descriptions of context could have been more strongly emphasised. There was a particular challenge in describing complex urban environments. However, some descriptions featured comprehensive morphological treatment, including, for example, Aleppo, Nablus, San Pedro de Alcántara and Christchurch, with the latter providing detailed descriptions of designations and recognition. By contrast, settlement patterns were indicated in case studies of heritage resources in rural environments. The treatment of socioeconomic and cultural factors was strong in several studies (for example, Kathmandu, Nablus, Nyanza, San Pedro de Alcántara and San Luis Potosí). As a general comment, treatment of historical context varied considerably: some studies focussed mainly on the resource in itself, while in other cases the historical outline remained general, thus casting little light on this aspect of significance. The Working Group considered that this inconsistency might be remedied in future with amended prompts in the Matrix. One factor to be considered is whether, when a resource with multiple elements (such as an urban setting or a complex archaeological site) has been impacted, descriptions might be restricted in scope to allow for more comprehensive treatment of those elements that were most extensively damaged or particularly important in conveying the significance of the place. It was noted that in presenting complex situations, some authors chose to concentrate on a particular reconstruction project in their description that best captured the wider issues or for which there was better information. This matter will be revisited in 2.1.6.

The Group noted that in the sub-section *Frameworks, Agents and Communication*, while most studies addressed the matter (either under this heading or elsewhere in their texts) the material was not analysed or subjected to evaluation.

### **2.1.2 Description of the Impacting Event(s) (Component 2)**

The expectation here was that descriptions under this component would be couched in straightforward,

objective language that conveyed a sense of the nature and magnitude of the occurrence(s). All case studies provided descriptions of impacting events and were generally successful in conveying the scale of impacts on the affected resource and at the social level, on the inhabitants. Some provided technical data that underpinned the descriptions. A number of authors were concerned with more than a single event. This applied both to natural events and to human conflict. As an example of the former, the case study of Kathmandu addressed the impact of two seismic events that occurred in close succession. Other descriptions related to sites that were subjected to a series of events of varying type, duration and intensity (earthquake and landslide or flooding). The challenge for the reader was to understand the overlapping impacts and reassessments described (see below). In the case of Wachau for example, the description demanded interplay between components 2 and 3, as the case study called into play two major flooding events (response to the first being seen in juxtaposition with the second), while that of San Pedro de Alcántara described the inhabitants as 'living between earthquakes'. As regards human conflict, the study of Mostar presents destruction at different times in varying contexts, while those of Aleppo and Nablus record successive and indeed overlapping events, with differing dynamics and contexts, creating compelling narratives.

It was to be expected that the goal of "objectivity" would not be problematic with respect to events with natural causation. Where human action was the source of trauma, authors generally succeeded in maintaining an objective stance, but clearly in some cases with appreciable effort.

### **2.1.3 Post-event Appraisals (Component 3)**

As might be expected, analysis of descriptions under this component proved complex. The nature, timing and scope of appraisals reflect the impacting events, with the added elements of human understanding, degree of preparedness and available capacities. As a general comment, this component was addressed by most case studies in a descriptive rather than reflective way. Some case studies (for example that of Christchurch, where multiple studies were undertaken by several authors) succeeded in conveying the successive appraisals arising from repeated impacting events, while in others, the narratives of post-event appraisals were interlaced with descriptions of recovery actions.

This was most apparent in cases where responses to successive/continuing events were under consideration and where multiple actors were involved. In the case of Mostar, for example, the interplay of local bodies, national authorities and overseas agencies was made apparent. On occasion, the decision on where best to locate descriptions was a matter for judgement by the author. The importance of local agencies in maintaining the focus of inhabitants on re-establishing social and commercial life is clearly described in several studies (for example in the cases of Aleppo and the Temple of Nuestra Señora de la Asunción of Santa María Acapulco in San Luis Potosí). The prompts provided in the Matrix under this component also enabled the authors to identify where issues of post-event appraisal could be interrogated more deeply. New elements of significance emerged during the response actions, for example in L'Aquila. It was not always clear how or if this new information affected the established priorities of reconstruction programmes. Such matters pointed to the need for more explicit cross-referencing between components in order to further explain what had occurred and why, or to identify whether or not there were changes in appraisals over the course of response actions. This kind of information would provide additional insights into the complexities of the recovery and reconstruction processes, and thereby contribute to the shared learning that can be derived from the case study.

#### **2.1.4 Response Actions, Timeframes, Resources and Costs (Component 4)**

As a general comment, the information on response actions sought in this component was appropriately addressed, even though relevant information was sometimes provided under the headings of other components. Overall the results were variable. Studies that provided information on response actions entirely within this component (for example, Nablus), tended to do so more comprehensively than those that did not. Disappointingly, the text in this component was cursory in several studies. The studies that exploited the prompts within the Matrix for the component provided further insight into the complexities involved. This was because the full use of the component allowed authors to tease out the role of different actors, including that of the local populations. This was well achieved, for example, in the San Luis Potosí case study. In some studies, useful references to supporting documentation were provided. It was noted that, where successive

events were being dealt with, the issue of timeframes was unavoidably complex and the inclusion of timelines in case studies is recommended.

As a general observation, the treatment of the issue of resources proved more difficult, perhaps because of the limited availability of information or access to the necessary sources at the times of writing. By contrast, the effectiveness of state and regional supports in local regeneration and the communication networks that were essential for its implementation were well illustrated in several cases (for example in San Pedro de Alcántara). The infusion of resources by external donors to response actions is clearly established in a number of case studies (for example in Mostar and Aleppo) but further examination of how restoration priorities were established would be valuable. Costs in some cases were quantified (Wachau, for example), and a number of studies provided illustrative figures that conveyed a sense of the scale of financial commitment to the recovery and reconstruction efforts.

#### **2.1.5 Documenting the Outcomes and Effects (Component 5)**

This component provides the essential material for interrogating the core subjects of recovery and reconstruction covered by the case studies. Analysis focused on two main issues: the provision of factual, documented descriptions of the results of interventions and their effectiveness as interpreted by those affected. The case study in L'Aquila explored the issue of public recognition of the value of intervention, while the study in San Luis Potosí cited the processes of decision-making in recovery and maintenance of significance for the local population.

There were differences among authors in their understanding of the term "outcomes". Certainly "post hoc" situations are described in all cases, but there is considerable variation in addressing the reconstruction of the resource, particularly when this was undertaken in a milieu that prioritised rapid rebuilding. Detailed descriptions of interventions were provided in some studies (Taishun bridges, for example). In one study, important observations on reconstruction and authenticity are made in component 3. Several studies point to the resumption of interrupted activities, such as worship or tourism, as an outcome of the recovery/reconstruction interventions (for example, Patan Square, Kathmandu).

Further consideration of the ways that reconstruction was discussed in the case studies will be made later in this Report, as will consideration of changed understandings of the resource.

Post-trauma recovery is not a given or a condition easily defined. As one author put it, ‘it was not always easy to say what was “past” as opposed to what was “present”.’ It may be problematic to describe recovery as an effect of interventions in a particular context, and one can expect that recovery will have different meanings from one case to the next. It is important to be explicit on this matter, and it is therefore revisited in section 3, *Project Outcomes*, of this report.

#### 2.1.6 Additional Comments (Component 6)

The main purpose of this component is to allow authors to introduce matters that might have eluded description under previous component headings. This is especially probable where the Matrix structure is narrowly adhered to.

Because authors were chosen for their experience, and their abilities to access to information and ability to report on events, component 6 provided space for them to contribute their own perspective on the case study in an explicit way. The notes that accompanied the Matrix encouraged such input. The Working Group valued the contribution of critical reflections as a contribution to conducting its analysis and formulating its recommendations for future actions. It was also deemed important that authors note failures and describe shortcomings in the recovery and reconstruction efforts, as these observations make significant contributions to learning outcomes. However, some experiences within the project demonstrated that circumstances could also affect an author’s comfort in describing interventions that were less than successful.

On the whole, and somewhat disappointingly, the aims of the component were not fully realised. In the case of Christchurch, however, the studies did use this component to express views on how the recovery and reconstruction works related to concepts of authenticity and integrity. In another case, the intention of the component was misinterpreted. We conclude that, in general, the purpose of component 6 was not well enough communicated, and therefore its function or the wording of the prompts that accompany it should be more clearly articulated. Nevertheless, it should be noted that some authors included critical appraisals within their narratives in previous components.

#### 2.1.7 Details of the Expert(s) completing the study (Component 7)

There were different interpretations of this component among authors. Nearly all noted their role(s) in relation to the recovery and reconstruction project, but a few simply supplied a *curriculum vitae* rather than a narrative of their specific involvement. Although the Matrix Notes to the component drew attention to the potential to demonstrate the author’s engagement with the subject matter of the case study, the prompts should perhaps be reviewed in order to promote the desired outcome.

**Table 3.** Scope and value of Additional Comments (11 studies)

topic	significant	incidental	omitted	WG comments
Additional material	3	4	4	
Critical reflection by author	3	2	6*	* in some cases such comment was included in Component 5

## 2.2 Summary. General observations

The analysis of the case studies was carried out in an iterative manner: the Working Group prepared comments on each draft case study for direct communication to authors. The workshops held with groups of authors provided further insights. The outcomes of the project are described in the Section 3, but some general observations are summarised below:

1. The geographical spread achieved was satisfactory for creating a database of broadly comparable studies.
2. Coverage of types of resource was not evenly distributed: most of the studies focussed on urban contexts or on buildings located within urban areas. To a degree, the imbalance was present at the outset as submitted proposals leaned in that direction. Proposals that might have corrected the imbalance could not be pursued for various reasons.
3. To an extent, the imbalance also became more marked as the project unfolded, because of the number of cases supplied in one particular urban study. This coverage resulted, however, in particularly comprehensive documentation and exploration of the institutional and organisational complexities of recovery and reconstruction.
4. The headings of several component of the Matrix begin with the word “documenting” which was intended to encourage a narrative while ensuring that narratives were underpinned by evidence. The Working Group is acutely aware that in certain cases, documentation may be partial or even non-existent – a factor cited by some authors. Nonetheless, the issue of documentation remains a challenge for further research in this area.
5. There was considerable variation in the ways that case studies explored the interrelationship between tangible and intangible dimensions of heritage in their descriptions of the resource. Where descriptions of the ways in which the resource was understood or valued prior to the impacting events were included, they tended to be brief. This shortcoming was much less evident in descriptions of recovery processes. In a few cases the interrelationship was identified and explored and was of major significance in establishing what “recovery” and “reconstruction” meant in context.
6. Differences in the quality of response to various components of the Matrix suggest that the prompts

in several components need to be re-evaluated and re-written. The feedback from the authors was particularly useful in this regard. This matter is considered again in Section 3 below. Appendix 3 contains some proposed adjustments to several Matrix components.

7. With some notable exceptions, the matter of reconstruction *per se* was less comprehensively examined than expected, and the interventions described were rarely subjected to critical commentary. The most radical questions about the nature and significance of “reconstruction” were posed in a case study that examined the role of a conjectural physical reconstruction within an aspirational project of social reconstruction. It is also notable that authors addressed issues relating to reconstruction in different components. At the same time, taken together, the case studies provide finely tuned insights into the conceptual and practical dimensions of the topic.

In summary, the Working Group concludes that the Matrix proved to be a valuable tool in these respects:

- a. in helping to structure complex information
- b. in identifying aspects within studies that merited deeper exploration
- c. in identifying crosscutting issues common to many and diverse situations
- d. in providing a solid basis for comparison and contrast
- e. in providing ideas and information for further reflection and productive debate
- f. and, perhaps most importantly, in producing a valuable resource for shared learning and developing best practice.

# 3

## PROJECT OUTCOMES



### 3. Project Outcomes

The objective of the project was to clarify issues in post-trauma recovery and reconstruction and to provide insights that could improve guidance. This section addresses what has been learned from the project. It is in three parts:

- i. the first identifies a number of crosscutting issues that emerged from the case studies;
- ii. the second reflects on how the outcomes of the project address the meta question of the meaning and value of reconstructions of cultural inheritance, taken in the context of recovery from major disaster;
- iii. the third attends briefly to the implications of the project for the *Matrix for the Compilation of Case Studies in Recovery and Reconstruction*, which served as the principal tool for structuring the case studies.

#### 3.1 Identification of Crosscutting Issues

Through the selection of case studies and the interactions with authors, the project was concerned to harvest a broad range of post-trauma recovery and reconstruction experiences. In addition to clarifying issues relating to the specific case studies, the processes of review and analysis identified a range of crosscutting issues that cast additional light on the topic, and which merit deeper exploration. These were:

- a. Social justice: In a number of case studies, the accounts of recovery actions in particular evoked underlying issues of social relationships which manifested themselves in the priorities and methods adopted, and which persisted throughout the process. The extent to which engagement of the local population impacted on the recovery process was evident in some cases but not in others. A similar comment could be made with respect to the realisation of capacity building through such engagement. This highlights the centrality of the “ethos” driving recovery processes as expressed in the initiatives maintained by key agencies.
- b. Continuous response: A number of studies dealt with situations that were inconclusive in themselves, even though the impacting event(s) had ceased. A criterion under which case studies were accepted for the project was that the cases were “mature”- that is, their outcomes could be appraised. Nonetheless, exposition of certain cases demonstrated that situations persisted and that responses were necessarily ongoing and continuous, thereby becoming a feature of “normal” life.
- c. Ownership of outcomes: The covert nature of where the learning from post-trauma recovery and reconstruction resides became apparent. The dynamic nature of knowledge-generation and the uncertainties of knowledge-sharing were implicit in several studies and evident in others. The role of donors (especially international ones) featured in several studies. Their role is not always defined by financial resources committed, and may include knowledge and expertise. It would have been of value to identify beneficiaries.
- d. Resources: A related issue is that of the resource dimensions of response to catastrophe, including that of socially responsible distribution. As a general observation one can say that the economic perspective tended to be under-represented in reportage, even though it is a major component in re-establishing everyday life. The losses to small and medium-sized businesses in particular may be difficult to capture in themselves, as are their effects on the local economy and as a factor in population displacement. The exploration of how the infusion of resources from, for example, international or overseas agencies finds its way to supporting local populations needs to be mainstreamed in studies of recovery and reconstruction.
- e. Sustainability: Measures introduced in recovery processes can generate new relationships between sectors in society, and the studies identified instances where these relationships were significant in re-building what was lost. This raised a broader question about the sustainability of the measures and relationships and their lasting impacts. The perspective of time is important in understanding the impacts of responses, the ebb and flow of resources and the value of intervention.
- f. Authenticity versus resilience: The questions of where authenticity lies in the reconstructed resource, or how authenticity is defined in the given context, were not addressed explicitly in the studies, although careful reading provides valuable insights. Reconstruction was carried out for different purposes, including to facilitate resumption or continuity of function, to re-establish or to establish symbolic value, and so on. Circumstances create contexts to which judgements on authenticity defer. Comments made by authors about “reductions in authenticity” due to reconstruction might be applied to immaterial as well as material attributes and suggest that further continuing investigation of this matter would inform debate.

A number of studies, mainly dealing mainly with impacts arising from events triggered by natural hazards, addressed the need to mitigate future impacts through more physically resilient structures. Some studies documented the careful integration of new technologies, although in general, explorations of different approaches to achieving resilience were not prominent. Changes in building codes or other regulatory requirements may arise from experiences of catastrophe, and may be implemented in ways that impact deeply on previous practices. The issue of resilience is inseparable from discussion of recovery actions and deeper examination of the issue is required in relation to factors such as continuous response, sustainability, resources and authenticity.

### 3.2 Lessons from the Project

Learning from case studies is understood to be an essential part of policy development. Case studies in themselves do not provide templates for action. Instead, the capacity to learn from them goes beyond the specific information provided to whether it is possible to discern patterns and relationships that can inform future action. One of the goals of the project was to explore how this issue of pattern discernment could be addressed. The potential to learn from case studies is sometimes taken as a function of their direct comparability. The development of the Matrix arose from the consideration of the issue of comparability, and its use in the analysis project was intended to further that goal. The Matrix is a structuring device and the components are the armature for this purpose and do not prescribe the content of individual studies. This section of the Report tries to capture general propositions that arise from the case studies carried out in this project, and which may have wider application.

The following is an indicative list of the general lessons that can be drawn from the case studies in this project.

1. The essential interrelationship between reconstruction of the damaged physical environment or resource and the necessary processes of generating a new, post-trauma social reality, is a constant. The relationship persists even though it differs in each case;
2. The range of experiences highlights questions about the sustainability of recovery processes. This factor may be particularly significant where these processes involve new relationships created in the pursuit of remedial actions;
3. Where repeated destructive events are experienced, preparation for future events is a deep challenge for authorities. Even if it can be said that systems continue to learn, preparation for fresh events is sometimes not prioritised;
4. There is persuasive evidence of the critical importance of local population engagement for effective and socially responsible recovery actions and of the key role that governance structures and available policy instruments play in enabling such engagement. At the same time, the experiences recorded demonstrate that documenting such engagement is not always a priority in how remedial actions are described;
5. Certain studies demonstrate the influence of donors in the prioritisation of and the preferential resourcing for projects;
6. Although recovery and reconstruction strategies may be decided at national, international or regional levels, there is an inevitable translation through practice since implementation impacts at the local level;
7. The evidence suggests that, however desirable, capacity building is rarely an explicit priority in the recovery of social life and local economies;
8. The word “reconstruction” carries multiple meanings in post-trauma remedial action. It is widely accepted that “reconstruction” can be understood as describing a process rather than be understood as a singular event. The processes of recovery may involve physical reconstruction that is also supporting the intention or desire to re-establish pre-existing social or cultural conditions. Alternatively, they may also embrace the desire for change. Both considerations may apply in particular cases. Studies need to be conscious of the need to avoid conflating “reconstruction” with “recovery”.
9. The studies show that the relationship between physical/environmental reconstruction and the retention of cultural value can be made a priority in the aftermath of catastrophe, but is not a given;
10. The studies demonstrate that where the importance of retaining cultural value is recognised, mere restitution of physical/spatial/visual characteristics frequently takes priority over adherence to conservation principles as they relate to authenticity of materials and techniques. Post-disaster conditions often affect the supplies and availability of material and skills. Uncertainties in this respect exacerbate the challenges of enhancing the resilience of structures. In addition, they can result in changes to practice. Special projects may have access to materials and skills that is not characteristic of the wider recovery process;

11. The studies raise questions about interpretations and understandings of authenticity at a popular level or within cultural organisations, official bodies or professional bodies even where the immaterial attributes of a resource are taken to be significant components of its pre-event significance. Recovery actions need to accommodate both expert opinion and the needs, social practices and cultural traditions of local populations.

The workshops with the authors provided an important lens through which the Working Group could penetrate more deeply into the situations described in the studies. Any study can provide only a “snapshot”: situations continue to unfold and the perspective of time is a luxury afforded to few.

### 3.3 Reflections on the Matrix as a Tool for the Compilation of Case Studies

This section sets down reflections on the Matrix as an instrument, based on the experience of its use as the structuring tool for the case studies in this project. The reflections address the key question of whether or not the Matrix helped to achieve the aims of the project in a way that facilitated learning, and what conclusions could be drawn from the answer.

The intention of the Matrix is to support the compilation of objective and comprehensive information on processes of recovery and reconstruction, while also accommodating the voice and experience of the author. A key goal of the project was to promote comparability between different cases. The use of the Matrix was prescribed explicitly for this purpose. In the event, most case studies complied with the Matrix structure, but some did so more rigorously than others.

The following observations are made:

- a. The Matrix did not set out to determine the content of case studies, but to ensure that the information requirements identified in the seven components of the Matrix were addressed in each study. Comparability was seen as a function of content rather than deriving from uniformity of structure;
- b. The Matrix itself informs intending users that its role is not to impose a rigid structure to the narratives, but to assist users in addressing issues;
- c. When first drafts were received, the reviews by the Working Group noted where there were issues of

compliance or compatibility with the Matrix. Where drafts were significantly divergent or noticeably lacking key information, this was communicated to authors. In some cases, significant adjustments were made in response.

- d. The final drafts received from authors demonstrate substantial compatibility with both the information requirements and the Matrix components. However, not all studies addressed all sub-headings of each component. Some did so within other components. This made the task of comparing, contrasting and learning more difficult;
- e. The freedom to diverge from strict compliance was exploited positively in a small number of studies, in that they presented coherent, although complex, narratives. By contrast, divergence from the Matrix in one study may have been a factor in its weak coverage of some issues;
- f. Nevertheless, some studies that demonstrated rigid adherence to the structure were in fact less developed;
- g. Feedback during the project indicated some uncertainties related to overlapping requirements between different components. Clarifications were issued during the project and the workshops with authors provided additional insights and concrete proposals.

In summary, the Working Group concluded that the Matrix is a valuable, if demanding tool, as demonstrated by the experience within the project and the feedback from authors, which included one written submission. Additional workshops during the project would have facilitated discussion of issues and allowed authors to share experiences. Due to the global health crisis a planned face-to-face workshop was converted to a series of four virtual events, held late in the project timeframe. The flexibility of the Matrix emerged for some authors late in the process of writing, and they felt that it would be helpful if this aspect had been clarified. For others, the range of relevant information compelled them to be selective: for some the material encountered would find application in advocacy or other settings. Support for the tool included suggestions for improvement: the use of key words, some changes to the wording of components or prompts of the Matrix were among those received. Some initial thoughts are given in Appendix 3.

More importantly however, the experience of the project has shown that the Matrix has further potentials in application. That is a matter for another day.

# 4 IN CONCLUSION



## 4. In Conclusion

This ICOMOS-ICCROM Project had specific goals: to advance understanding of the complex processes of post-trauma recovery and reconstruction from a cultural heritage perspective; to commission a range of case studies of such processes and to subject these to analysis that would identify how they can advance learning from the experiences described. To facilitate analysis, the project utilised the *ICOMOS Matrix for the Compilation of Case Studies* to provide a common parametric base for the diverse range of studies commissioned. Thus, in a reciprocal way, the project provided a means of testing the utility of the Matrix in the formulation of studies in this field.

Case studies comprise an essential component of research strategy: they are a primary means of understanding complex areas, where parameters are not fixed and where evolving experience needs to inform policy formation and intervention. Thus they find their place in iterative processes of investigation, analysis, proposition and intervention, which lead to further investigation, and so forth. Since this kind of process applies to many situations, it is important to be clear that the issue is that of heritage protection and transmission in the context of societal recovery. In this, there can be no presumptions about endurance of pre-existing values or return to pre-existing conditions. And yet, such endurances or returns lie at the heart of cultural interventions.

In that context, there is an underlying expectation - perhaps an abiding hope - that examining case studies will somehow identify examples of “best practice” that can promote more careful deliberation, planning and implementation. It is important to emphasise that the learning to be derived from analysis does not translate directly into universal prescriptions for action.

So, while there is much to be learned from individual studies, insight will derive from the capacity to discern patterns and relationships, and to examine their implications for theoretical constructs. The Analysis project has helped with the first, and in so doing it may help with the second. It will do so if the intention to analyse, reflect and propose continues over time. In the meantime, the compilation of case studies will comprise a valuable learning resource and access to them is of vital importance for those engaged in response

actions, and especially for those offering guidance or advice to affected parties. The Analysis project has also demonstrated the benefits of a multi-disciplinary approach to understanding the complexities of both the impacts of catastrophes and of the responses to them.

The Matrix has been shown to be useful in garnering comprehensive information. It should be used repeatedly and adapted with invention as experiences suggest.

This report will be available online at:

<https://www.iccrom.org/resources/publications>

<https://www.icomos.org/en/resources/publicationall>

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ICOMOS-ICCROM: Analysis of Case Studies of  
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Joint Working Group:  
Loughlin Kealy Coordinator  
Zaki Aslan  
Luisa de Marco  
Amra Hadzimuhamedovic  
Toshiyuki Kono  
Marie-Laure Lavenir  
Trevor Marchand

With the support of Maureen Thibault, Alyssa Rose  
Gregory and Ahmed Suleiman.

The contributors to the case studies that were the  
subject of analysis by the Group: Zeynep Ahunbay, Nusir  
R. Arafat, Carla Bartolomucci, Winston Clark, Donatella  
Fiorani, Catherine Forbes, Martina Haselberger, Huang  
Zi, Maya Ishizawa, Jerome Karangwa, Ruba Kasmu,  
Gabriela Krist, Lina Kutiefan, Maria de los Angeles Munoz  
Martinez, Rohit Ranjitkar, Michael Schimek, Renata  
Schneider, Fiona Wykes.

The authors of the pilot case studies prepared in  
developing the *ICOMOS Matrix for the Compilation  
of Case studies*: Alejandro Martinez de Arbulo, Gruia  
Badescu, Paulina Kaplan Depolo, Franceso Doglioni,  
Tomoko Mori, Jonathan E. Nsubuga, Wendy Pullan.

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# APPENDICES



## Appendices

### APPENDIX 1

Text of the Open Call for Case Study Proposals

#### **Project: Analysis of Case Studies in Recovery and Reconstruction**

The scale, intensity and frequency of catastrophic events affecting cultural property has been a subject of international concern. Efforts at recovery and reconstruction of damaged communities and environments have increasingly attracted attention, from the perspective of supporting peoples impacted by such events while attempting to maintain the cultural significance of places. This project arises from the decision of the World Heritage Committee of 24 June 2018, directing the attention of advisory bodies towards the examination of case studies.

Separately, ICCROM and ICOMOS have addressed the issues involved in post-trauma recovery and reconstruction in the context of cultural heritage. The project, **Analysis of Case Studies in Recovery and Reconstruction**, is a joint endeavour that seeks to bring the knowledge and capacities of both bodies to bear, in order to enhance understanding of experience with the aim of clarifying issues and improving guidance.

This ICCROM/ ICOMOS collaboration is to be carried out in 2019/2020 through a joint Working Group comprising members of both organisations and administered through the ICOMOS Secretariat. It involves the commissioning of a range of case studies, chosen to represent a comprehensive set of factors, including geographical, cultural and causal. The causal factors will focus primarily on natural occurrences and human conflict.

This Notice is being issued to inform the memberships of both organisations about the project and to invite expressions of interest in preparing a case study within the project. Contributors will receive a modest honorarium in recognition of their work.

Among the criteria for selection are the following:

1. The events or series of events reported on should have reached a point where objective reportage is

possible. There would be preference to avoid cases where developments and outcomes remain fluid;

2. The experience of the intending contributor(s) is critical: ideally, the contributor(s) will have had direct experience of the specific situation being described, and be in a position to access records and resources in preparing the case study;

The case studies should be informed by the *ICOMOS Matrix for the Compilation of Case Studies*, prepared within its Global project on Post-trauma Recovery and Reconstruction 2018. (The ICOMOS Matrix can be viewed at: <https://www.icomos.org/en/what-we-do/621-english-categories/what-we-do/focus/reconstruction/41704-icomos-global-case-study-project-on-reconstruction>). They will take account of the Conclusions and Recommendations of the *Thematic Discussion on Post-conflict Reconstructions: recovery and community involvement*, formulated at ICCROM's 30<sup>th</sup> General Assembly 2017 (These can be viewed at: <https://www.iccrom.org/report/annual-report-2017>).

The range of case studies commissioned will reflect the factors outlined above.

#### **To respond to this call potential authors should submit:**

- a. up-to-date CV(s) that shows relevant experience in preparing analytical reports, and establishes the eligibility of the applicant or group under criterion 2 above;
- b. a brief description of the proposed case study. While the focus of much discussion has been on recovery and reconstruction in the context of World Heritage sites, case studies need not carry this level of recognition, but must address instances of significant damage. The proposed case study should follow the outline of the *ICOMOS Matrix for the Compilation of Case Studies* and address each of the sections of the Matrix.

## APPENDIX 2

Commissioned authors and case studies

### **Post-trauma Interventions to Mosques in Mostar**

#### **Case Study: Sevri Hadzi Hasan Mosque**

Zeynep Ahunbay

### **Recovery and Reconstruction: an analysis of the case study of the historic city of Nablus**

Nusir R. Arafat

### **The Conservation of Palazzo Carli-Benedetti after the 2009 earthquake in L'Aquila (Italy)**

Carla Bartolomucci and Donatella Fiorani

### **Case Study of the former Seminarium Annuntiationis Huishui Village, Bailu Town, Sichuan Province, People's Republic of China**

Han Yang and Wang Qian

### **Recovery and Reconstruction Case Study Christchurch: Heritage Recovery from the Canterbury Earthquakes**

Amanda Ohs and Catherine Forbes

### **Isaac Theatre Royal, Christchurch Recovery and Reconstruction Case Study**

Fiona Wykes and Catherine Forbes

### **Knox Presbyterian Church, Christchurch Recovery and Reconstruction Case Study**

Catherine Forbes

### **McKenzie and Willis Building (former A J Whites), Christchurch**

#### **Commercial Building Façade and Setting Recovery and Reconstruction Case Study**

Catherine Forbes

### **McLean's Mansion (Holly Lea), Christchurch Recovery and Reconstruction Case Study**

Catherine Forbes and Winston Clark

### **New Regent Street, Christchurch Recovery and Reconstruction Case Study**

Fiona Wykes and Catherine Forbes

### **Post-Earthquake Recovery and Conservation-Restoration in Patan, Nepal**

Martina Haselberger, Rohit Ranjitkar, Gabriela Krist

#### **Case Study: the reconstruction of three covered**

### **bridges in Taishun County, Wenzhou City, Zhejiang Province of China**

Huang Zi

### **The interpretative reconstruction of the Royal Capital in Nyanza, Rwanda**

#### **Re-assembling heritage fragments for post-genocide recovery**

Maya Ishizawa and Jérôme Karangwa

### **Post-War Recovery of the Ancient City of Aleppo: The Rehabilitation of *Suq* al-Saqatiyya as a pilot project**

Ruba Kasmó and Lina Kutiefan

### **New Approaches for Rebuilding and Preserving Rural Heritage: The case of San Pedro de Alcántara, O'Higgins Region, Chile**

María de los Angeles Muñoz Martínez

### **Flood Protection Provisions in the World Heritage Cultural Landscape Wachau, following the flood of 2002**

Michael Schimek

### **Reconstruction of the Symbolic and Physical Space of the Temple of Nuestra Señora de la Asunción of Santa María Acapulco, San Luis Potosí, Mexico**

Renata Schneider

## APPENDIX 3

### Initial reflections on the Matrix for the Compilation of Case Studies

The Working Group's review, supported by author feedback, concluded that the Matrix made a significant positive contribution to the joint project, *Analysis of Case Studies of Post-Trauma Recovery and Reconstruction*. The fact that the review was able to identify crosscutting issues and to draw general conclusions supports this evaluation.

The experience of the project also showed that the Matrix could be developed to more effectively encompass larger scale, complex situations, such as for example, recovery and reconstruction of extensive urban areas or landscapes. This will require renewed attention and is beyond the scope of the current project.

Nonetheless, general improvements are indicated and the review has identified a number of desirable adjustments to the current Matrix and to the prompts that are included under each component heading. These are set out below as Recommendations under the component headings.

Two general Recommendations are made: that the focus of each component should be made more explicit in the relevant text; that the prompts in the Matrix regarding supporting evidence be strengthened.

#### Component 1. Description of the Resource.

Recommendation: the prompts should be amended to emphasise that the purpose of description is two-fold: to convey the nature of the resource in itself and in context, and to establish its significance prior to the impacting event, ensuring that physical, social and cultural contexts are fully addressed. Historical accounts need to illuminate the significance and heritage value of the resource under study, including in public consciousness. References to source material (including direct observation) should be provided to enable the reader to appraise the account provided or to access additional information on the aspects included in the description.

#### Component 2. Description of the Impacting Event(s).

Recommendation: here again the descriptions need to have a dual focus: to convey the nature the event(s) and to convey its scale in an objective manner. Generally speaking this component was well covered and the

existing prompts are considered appropriate. However, the sub-heading *Documentation and Narratives* should be broken down into two separate sub-headings, one for *Documentation* and the other for *Narratives*. Under the *Narratives* sub-heading, a prompt for « perceptions » should be included.

#### Component 3. Post-Event Appraisals

Recommendation: The prompts should be amended to underline the importance of describing how recovery priorities were established and the place of heritage recovery within them. The component conjoins *Values and Sustainability* as a sub-heading: these should be treated as two separate sub-headings.

#### Component 4. Documenting Response Actions, Timeframes, Resources and Costs.

Recommendation: The prompts should be amended to ensure that any recovery plans are identified and fully referenced. The component should invite authors to elaborate on what options were considered in the development of response actions. Under the sub-heading *Actual Implementation and Timescales for the Recovery Programme*, the section on new and emergent values should be removed and transferred under component 5.

#### Component 5. Documenting the Outcomes and Effects.

Recommendations: The component needs to be more explicit in terms of the need to identify what has been learned through the processes of recovery and reconstruction and how this has been documented. The introductory sentence should be amended to include "... outcomes and the learning achieved...". The prompts should invite authors to provide measurable indicators here rather than relying solely on descriptive and personal reflection in component 6: for example, "What empirical evidence can you provide to demonstrate that the project was a success or not?"; "What evidence is there of learning?"; "In what ways has learning been integrated into future planning and preparedness?"

The sub-heading *Ownership of the Results* needs further explanation in the prompts provided.

The issue of values should be given a sub-heading to allow for descriptions of new and emergent values associated with the site during or after recovery and reconstruction.

**Component 6. Additional Comments.**

Recommendations: Reference has been made to the low take-up of the opportunity to supplement the coverage of the cases elicited under the other Components of the Matrix. The description should be expanded or an appropriate prompt inserted.

It should also be made clear that this component provides space for authors to elaborate definitions

of core and contested concepts (for example, « authenticity ») or their positions in key debates on recovery and reconstruction issues, supported by empirical evidence supplied by their case studies.

**Component 7. Details of the Expert(s) Completing this Case Study.**

Recommendations: Although the prompt provided guides authors to elaborate on their role in relation to the resource, some authors did not avail of the opportunity. It is recommended that this prompt should form part of the main text setting out the scope of the component.

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