

## Answers to reviewers

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### Reviewer 2:

| Remarks   | Answers  |
|---|--|
| <p>It would be appropriate that the author illustrate with greater clarity the resilience indicators shown in Table 1. In particular, it should be clarified, especially with reference to urban resilience, if these indicators constitute a reference applicable in different locations and, if so, why</p> | <p>We have illustrated Table 1 with Figure 6. Furthermore, we added precisions:</p> <p>“Regarding the urban resilience indicator, INSEE data are available from 2009 to 2013, thus making it possible to perform a multi-date analysis over several years (Fig.12) and gain understanding of urban evolutions and resilience trends. For instance, certain elements have evolved, such as the proportion of tourist accommodation, and surgical and hospital activities, thereby increasing resilience capacities. Moreover, the advantage of using open data allows temporal as well as spatial scales to evolve, and the indicators can therefore be tested on other municipalities on the national territory. »</p> |
| <p>Figure 9 uses colors whose meaning is illegible and makes interpretation of the results difficult.</p>   | <p>We made changes on figure 9</p>   |

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# A spatial decision support system for enhancing resilience to floods. Bridging resilience modeling and geovisualization techniques

Charlotte Heinzlef<sup>1</sup>, Vincent Becue<sup>2</sup>, Damien Serre<sup>1</sup>

<sup>1</sup>UMR 241 EIO – French Polynesia University - B.P. 6570 - 98702 Faa'a - Tahiti – French Polynesia,  
[charlotte.heinzlef@upf.pf](mailto:charlotte.heinzlef@upf.pf) , [damien.serre@upf.pf](mailto:damien.serre@upf.pf)

<sup>2</sup>University of Mons, Faculty of Architecture and Urban Planning Rue d'Havr  88, 7000, Mons, Belgium,  
[Vincent.becue@umons.ac.be](mailto:Vincent.becue@umons.ac.be)

## Abstract

In the context of climate change and increasing urbanization, floods are considerably affecting urban areas. The concept of urban resilience may be an interesting means of responding to urban flood issues. The objective of this research is to propose a spatial decision support tool based on geovisualization techniques and a resilience assessment method. The goal is to localize the level of resilience modeled in different territories. The methodology proposed consists in integrating three resilience indicators applied to a case study in Avignon (Provence Alpes C te d'Azur Region, France) and the use of geovisualization techniques: using GIS for data processing and analysis, visualization, mapping and model processing. The methodology integrates decision-making by identifying characteristics capable of improving urban resilience and facilitating its understanding using a visual tool. The results demonstrate the usefulness of modeling resilience using geovisualization techniques to identify the potential for local resilience, integrate local stakeholders into a process of clarifying the concept through the contribution of visualization, and consider easier access to this concept based on data analysis, processing and visualization through the design of maps.

**Key words:** Geovisualization, Urban resilience modeling and mapping, flood risks

## 1- Introduction

### 1.1 Issues and background

The context of climate change has led to an increase in disasters, among which urban floods are considered the most damaging, accounting for 43.4% of climate-related disasters over the period 1998-2017 (Wallemacq and House, 2018). At present, the European Environment Agency ranks France third among European countries affected by natural hazards over the period 1980-2017 (European Environment Agency, 2019), as 33% of its municipalities were affected with "*an estimated annual cost of around 250 million euros*" (Lhomme, 2012). The Mediterranean region is among the most vulnerable in France, with an average of 10 deaths per year caused by floods. 42% of the population of the Vaucluse Department live in areas at risk from floods and it ranks first among departments exposed to flood risk, in comparison to the national average of 11% of the population living in flood risk areas in 2009. With 147/151 municipalities in the department affected by floods, Vaucluse is extremely vulnerable to this growing risk.

To address this growing risk, the concept of resilience has been included step by step into risk management strategies, worldwide, as it offers a systemic approach to and analysis of risks, their issues, territories,

60 populations and management services (Bakkensen et al., 20). The concept of resilience can be defined as “*the*  
61 *ability of a system, community or society exposed to hazards to resist, absorb, accommodate to and recover from*  
62 *the effects of a hazard*” (UNISDR-United Nations International Strategy for Disaster Reduction, 2009). Although  
63 and despite a significant increase in the use of the concept and its positive opportunities for risk strategies, concrete  
64 progress towards operationalization is still needed (Klein et al., 2003). The objective of this research is therefore  
65 to propose an approach to address this lack of operability. While some studies have been carried out in Europe  
66 to operationalize the concept of vulnerability through indicators (Opach and Rød, 2013), few of them mention  
67 resilience. When such is the case (Lhomme et al., 2013; Suárez et al., 2016), it is essentially from a technical and  
68 organizational angle, but without considering the social and therefore systemic dimensions of the territory  
69 concerned.

70 This research therefore aims at using the concept of resilience in a practical and understandable manner  
71 at the city level, with the design of a spatial decision support system. The originality of the methodology is justified  
72 by the collaborative approach taken, characterized by a socio-economic partnership with the City of Avignon and  
73 its urban services. By combining the experiences of managers and politicians with scientific advances, the  
74 approach aims at addressing the challenges and limitations of the concept of urban resilience in the face of flood  
75 risk. The result of joint design, the spatial decision support system is being tested in the Avignon area in response  
76 to more risky situations. Spatial decision makes it possible to establish a link between scientific advances and local  
77 knowledge and practices. This spatial decision support system involves redefining the criteria for resilience and  
78 measuring the potential for resilience (Frazier et al., 2013). It aims at overcoming:

- 79 - theoretical obstacles, by designing indicators to assess resilience;
- 80 - methodological issues by representing the potential for resilience through mapping tools used to  
81 provide stakeholders with a medium capable of making them aware of the concept, integrate it into  
82 their risk management strategies and transform it into concrete and applicable actions.

83 Meeting the challenges of operationalizing resilience therefore involves rethinking modeling and mapping  
84 practices as well as focusing on understanding the concept, adopting it and integrating stakeholders into the  
85 resilience process.

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## 87 *1.2 Research Focus*

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89 We adopt the viewpoint that promoting techniques to make resilience operational can be achieved by  
90 collaboration and visualization methods. Getting people from different backgrounds to interact (Callon et al.,  
91 2001), enriches discussions, encourages the expression of opposing viewpoints on the same subject, and makes it  
92 possible to be both more measured and more incisive in a specific field. Resilience is therefore a subject that  
93 requires the confrontation of views, and scientific and local knowledge (Radhakrishnan et al., 2017). We therefore  
94 propose to develop strategies to operationalize resilience so that they are constructed jointly with the city's actors,  
95 allowing their direct investment. Rather than taking a top-down approach, our goal is to create a common  
96 discussion around resilience issues to initiate constructive dialogues to overcome the biases of each group of  
97 stakeholders (Jacobs et al., 2005; Moser, 2005; Næss et al., 2006; Patt and Dessai, 2005). In addition, we consider  
98 that techniques translating a fuzzy concept into a practical spatial decision support system - such as  
99 geovisualization and modelling - would promote stakeholder involvement and understanding of the related issues

100 and thus lead to adapted decision-making. The motivation of the article is to demonstrate that combining certain  
101 geovisualization techniques with resilience modeling will contribute to better understanding of the concept, and  
102 lead to its operationalization and translation into tangible strategies at the local level.

103 We defend the hypothesis that defining resilience criteria and translating them visually for implementation in  
104 an easy-to-use tool will promote and better integrate resilience techniques in view to managing urban floods. By  
105 carrying out a municipality scale study and combining a collaborative methodology and GIS resilience modeling  
106 to develop a geovisualization tool, we hope to clarify the concept, and ensure its understanding and adoption by  
107 urban planners in their approaches to urban dynamics. In the first section we present a state of the art of resilience  
108 modeling and geovisualization techniques in the field of climate risk management, and then the methodologies  
109 chosen for this research. Finally, we present the first application of this research and its results in Avignon (France).  
110 Finally, we discuss these initial results.

111

## 112 2. Resilience modelling and geovisualization techniques for risk management: a state of the art

### 113 *2.1 The resilience concept and modeling approaches*

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115 As the concept of resilience is multidisciplinary, its definition and application as a risk management  
116 strategy is extremely complex. In order to move towards its operationalization, it is necessary to build an analysis  
117 model to address the concept. Several studies have attempted to build analysis models to define indicators or a  
118 specific baseline (Bakkensen et al., 2017; Fox-Lent et al., 2015).

119 The 100 Resilient Cities (100RC) consortium was launched by the Rockefeller Foundation in 2013. The  
120 purpose of the 100 Resilient Cities consortium is to help cities around the world become more resilient to the  
121 physical, social and economic challenges of the 21st century. 100RC supports the adoption and integration of a  
122 vision of resilience that includes not only disasters - earthquakes, fires, floods, etc. - but also the tensions that  
123 weaken the urban area on a daily or cyclical basis. Resilience is defined as the ability of individuals, communities,  
124 institutions, businesses and urban systems to survive, adapt and evolve, regardless of the types of chronic stresses  
125 or shocks they may encounter. A holistic approach is advocated. 100RC has built a framework defining the  
126 characteristics of urban resilience (Fig.1).

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Figure 1: 100 Resilient Cities Framework, (100 Resilient Cities, s. d.)

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131 The definition of resilience via these indicators allows identifying criteria for resilience in a territory or within a  
 132 population. It allows launching discussion around an initially fuzzy concept. However, it does not allow visualizing  
 133 criteria or resilience potentials at the local level (100 Resilient Cities, n.d.). Mapping is non-existent and the  
 134 absence of tangible data makes it difficult for local populations and actors to appropriate the concept, understand  
 135 it, and reproduce it.

136 Another study focused on identifying resilience capacities applied to urban networks. It led to the creation  
 137 of the DS3 (Spatial Decision Support System) model (Serre, 2018). Three resilience capacities were defined to  
 138 study resilience (Serre, 2018)), namely resistance, absorption, and recovery (Fig.2).

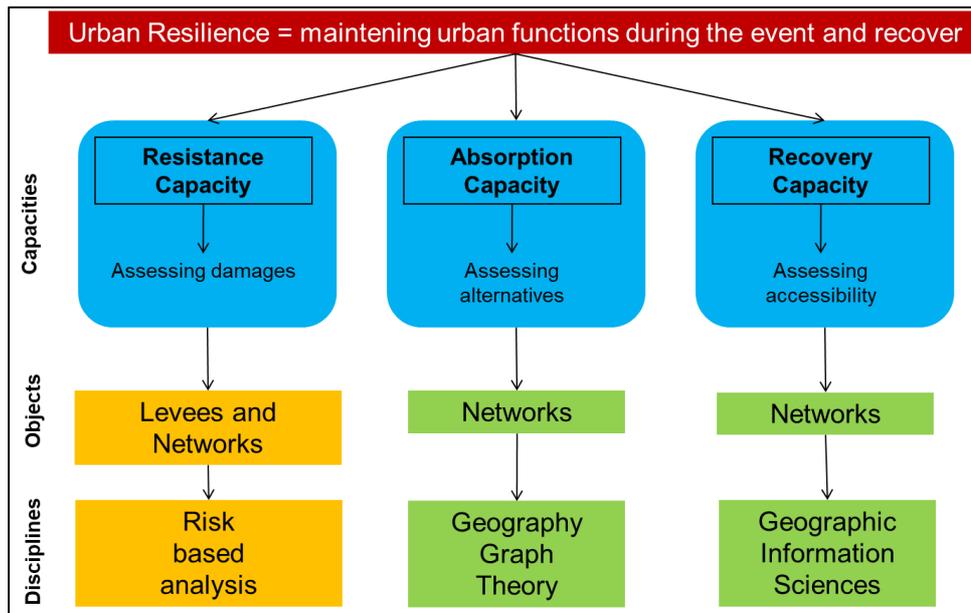


Figure 2: DS3 Model (Serre, 2016)

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141 The resistance capacity is necessary to determine the material damage of the networks. It is a given that  
 142 the more damaged a network is, the slower and more difficult it will be to return it to effective service. The results  
 143 of the damage analysis make it possible to measure this damage, and determine the interdependencies between the  
 144 various components of the networks.

145 Absorption capacity represents the alternatives available to the network following a failure. The idea is  
 146 to highlight solutions to maintain service continuity despite floods, operating in degraded mode.

147 Finally, the recovery capacity represents the time required to retrofit the networks until reaching a full  
 148 level of service.

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150 The DS3 model can be used to identify factors that would lead to increased urban resilience, highlighting  
 151 the importance of urban networks and critical infrastructures. This technical approach focuses mainly on urban  
 152 networks. However, cities comprise many factors, such as social dynamics, urban interactions and technical  
 153 components, leading to additional indicators that must be monitored (Serre and Heinzlef, 2018).

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155 A third study conducted by Cutter (Cutter et al., 2010) identified six indicators to measure resilience -  
 156 social, economic, community, institutional, infrastructural and environmental. Each indicator is divided into sub-  
 157 variables such as education, age, language proficiency, employment rate, immigration rate, access to food, disaster  
 158 training, social stability, access to health, access to energy, and so on. Each variable has a positive or negative  
 159 effect on community resilience. Calculated using quantitative data, this method makes it possible to quantify and  
 160 map resilience at the national level and more specifically at the county level in the United States. While this method  
 161 greatly facilitates comparison across a large number of variables, the disadvantage is that the final score is not an  
 162 absolute measure of community resilience for a single location, but rather a relative value against which multiple  
 163 locations can be compared. For this reason, the proposed work is done at the US scale (Fig.3) and not at a finer  
 164 scale or for a single year, not being a comparative work over several years.

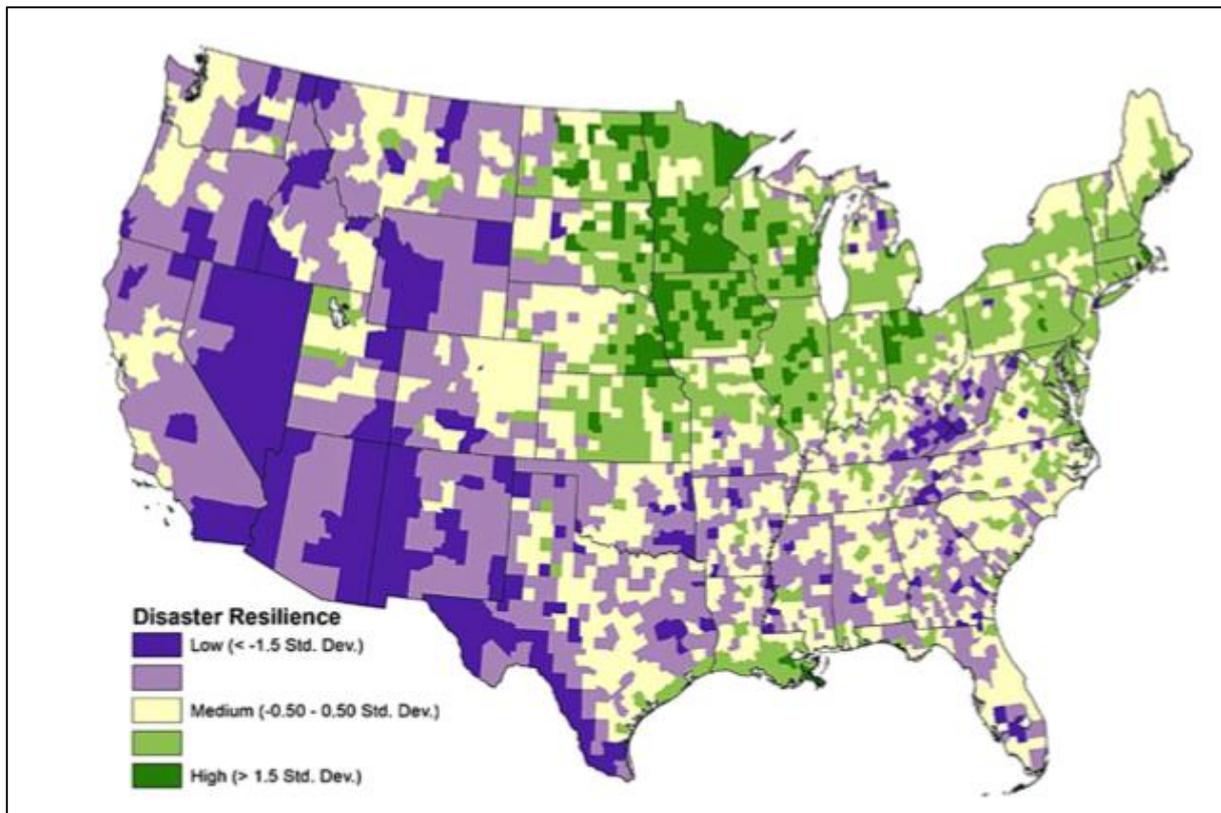


Figure 3: Disaster resilience value in USA (Cutter et al., 2014)

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168 These three approaches attempt to address the biases of conceptualization and modeling resilience. But,  
169 in the first approach of the concept and data visualization, there is nothing evident about how the results should be  
170 processed and explored. In the second approach, the exploration of the results is visible through the application of  
171 the methodology, notably in a case study on Hamburg (Serre et al., 2016). Nonetheless, the exploration and  
172 analysis of the data is not accessible to the public concerned, limiting their understanding and appropriation of the  
173 method. Moreover, this approach analyzes the territory only through urban networks and not with the other  
174 components that shape it. The third approach proposes a measurement and mapping of resilience, but the scale of  
175 analysis selected does not allow for decision-making by local stakeholders.

176 The objective of this work is therefore to model and operationalize resilience as comprehensively and  
177 exhaustively as possible. The aim is to analyze it at the local level in order to advise stakeholders and lead to  
178 decision-making that integrates resilience strategies in risk management.

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### 2.2 Geovisualization techniques: added values in risk management processes

181 For many years, risk mapping was one of the main methods used to analyze, represent, and examine the  
182 multiple characteristics of risks and risk management strategies (Barroca and Serre, 2018). However, new methods  
183 have been introduced such as Geographic Information Systems (GIS), and scientific information visualization  
184 (Kraak, 2003). GIS gives access to voluminous and heterogeneous tools like databases and graphic applications to  
185 establish interactions between data and maps. These interactions can be visualized through an interface used to  
186 explore the characteristics of data. The adaptation of scientific visualization to mapping was initially called  
187 "geographic visualization" and then "geovisualization" (Maceachren and Kraak, 1997). Geovisualization is  
188 defined as "the set of visualization tools that allow interactive exploration of geolocated data in order to build

189 *knowledge without assumptions a priori*" (Maceachren and Kraak, 1997). Geovisualization includes fields such as  
190 scientific visualization, mapping, image processing, knowledge extraction, and GIS.

191 Therefore, geovisualization is a synthesis approach applied to GIS techniques that integrates practices  
192 such as mapping, visualization, data and image analysis, by analyzing geospatial data (MacEachren and Kraak,  
193 2001). This methodology offers the possibility of representing multidimensional, voluminous and heterogeneous  
194 data. More specifically, geovisualization is mainly adapted to the representation and analysis of georeferenced  
195 data. The mapping exercise is divided into several objectives: explore, analyze, synthesize and present. Geovisual  
196 tools must be adapted to these different uses. The different tools currently available can be differentiated by three  
197 criteria. The first is the audience, which can range from the "general public" with little knowledge of  
198 geovisualization issues to experts with good knowledge of the subject. The second is the degree of interactivity  
199 offered by the geovisualization tool. The last criterion is knowledge of the data, which varies from the domain of  
200 the known to the domain of the unknown (MacEachren and Kraak, 1997). The 4 uses of geovisualization can  
201 therefore be placed inside a cube. Each axis of this cube (x,y,z) represents one of the 3 criteria previously  
202 mentioned (audience, interactivity, data relations).

203 This data representation (Donolo, 2014) – also called “virtual science” - allows constructing,  
204 reconstructing, representing and interpreting scientific issues (Yasobant et al., 2015). The fact of representing  
205 spatiotemporal data in different forms provides better understanding of the different phenomena involved,  
206 resulting in either better dissemination of the information or better decision-making. This methodology allows  
207 exploring hypotheses, sharing arguments, developing solutions and, most importantly, building common  
208 knowledge around the same issue (MacEachren, 1997).

209 Consequently, these characteristics and advantages make geovisualization an interesting methodology for  
210 studying risk management. Crisis management is, indeed, a concrete example where it is useful to use visual, map-  
211 based tools to integrate, assess and apply multisource geospatial information and data (MacEachren et al., 2004).  
212 Indeed, in a context of climate change and related uncertainties, modeling or simulating disasters such as floods is  
213 becoming increasingly complex. Current techniques are limited in the face of the complexity of floods, particularly  
214 because of the multiple reasons, sources and causes of disasters (Leskens et al., 2014; Löwe et al., 2018), as they  
215 are essentially used to model urban planning projects or response strategies to cope with the increase in the  
216 occurrence of such events. Many studies have used geovisualization to analyze the complexity of flood risks,  
217 whether to analyze flooding from the perspective of risk, for instance expected damage (Meyer et al., 2009; Ward  
218 et al., 2011), hazard, such as duration, velocity, water depth, etc. (Schumann et al., 2009), management strategy  
219 (de Moel et al., 2015), at the national (Burby, 2001), regional (Elmer et al., 2012; Gaslikova et al., 2011;  
220 Vorogushyn et al., 2012), and local (Aerts et al., 2013; Apel et al., 2009; Gerl et al., 2014) levels, and even on the  
221 built scale (Fig.4), with, for example, FReT (Flood Resilience Technologies) (Schinke et al., 2016; Golz et al.,  
222 2015). Geovisualisation techniques make it possible to aggregate different types of raw data (e.g. underground  
223 dynamics, urban structure, building vulnerability), transform them by joining these data (Fig.4), calculating the  
224 damage rate based on these raw data, and then producing a final result, translated into a dynamic, understandable  
225 and accessible map.

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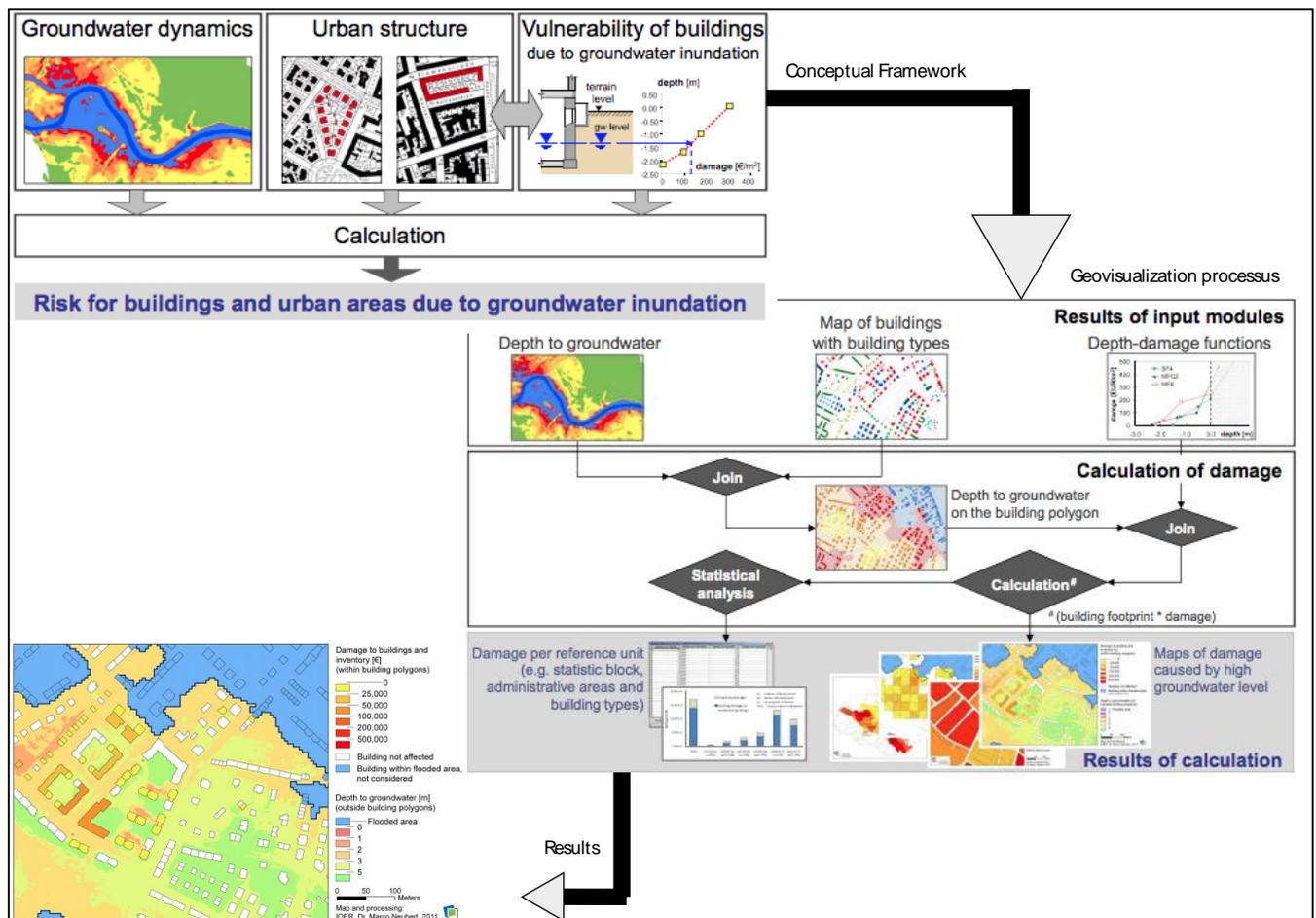


Figure 3: Links between resilience modeling and geovisualization techniques – at the building scale (Schinke et al., 2012)

To summarize, geovisualization helps to explore data using visual geospatial representations to imagine hypotheses, solve problems and co-construct scientific knowledge (Kraak, 2003). Therefore, geovisualization methodology improves territorial knowledge and leads to tools such as decision support systems, by making possible dialogues between users and stakeholders and promoting collaborative approaches. In the field of risk management, it is essential to defuse subjects of tension, in order to present a risky situation objectively.

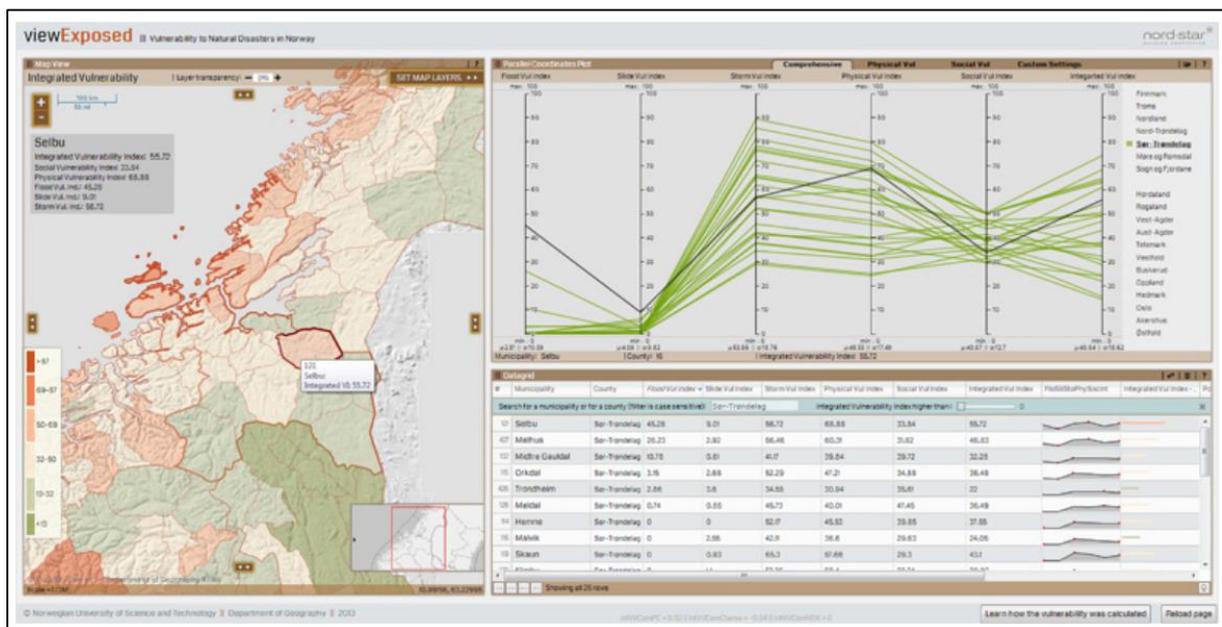
### 2.3 Making urban resilience operational through geovisualization techniques

Although several methods can be used to model risk characteristics, such as hydraulic modeling (Ernst et al., 2010) and geomorphological parameters (Bathrellos et al., 2012), it is quite difficult to model such fuzzy concepts like resilience and vulnerability, despite the common use of the latter in risk management. While the implementation of resilience policies and the design of resilient cities is desirable, assessing resilience and implementing it is complex. Several researchers have examined the difficulty of defining, implementing and evaluating urban resilience, usually through a geovisualization approach.

Cutter and Finch (2008) presented SoVI, a tool providing a county-level (USA scale) comparative metric of social vulnerability to natural hazards, based on socioeconomic and demographic profiles. The aim of SoVI is to illustrate the geographic patterns of the USA, by defining social vulnerability as the sensitivity of a population to natural hazards and its ability to respond to and recover from them. Using several maps and in view to improving

248 emergency management, SoVI identifies which areas of the American territory are more or less vulnerable and  
249 why. Geovisualization techniques improve understanding of the concept of vulnerability and help urban managers  
250 to localize vulnerable areas and variables.

251 Based on SoVI, a Norwegian study examined the vulnerability of territories to climate change  
252 (Opach and Rød, 2013). To avoid an increase in local and national vulnerability, the researchers built a  
253 ViewExposed tool (Fig.5) whose objective was to inform local authorities about the most vulnerable areas of  
254 Norwegian territory and the causes of this vulnerability.



255  
256 *Figure 4: The ViewExposed Interface (Opach and Rød, 2013)*

257 The ViewExposed tool focuses on Norwegian municipalities' exposure to natural hazards and the  
258 capacity of local populations to resist them. This interface tool was designed for professionals, local elected  
259 officials and local residents. It is the result of collaboration between scientists and local experts via workshops.  
260 Although focused on the concept of vulnerability, this tool also integrates the response of local managers and  
261 actors to natural disasters, corresponding to the first step in resilience integration.

262 Another team of researchers and insurers developed a tool to help people in the Nordic countries to protect  
263 themselves and prepare for climate risks. The main target users are private landowners, but this tool can also be  
264 used by land-use planners and property managers. The tool, VisAdapt (Johansson et al., 2016) is intended as a  
265 guide on how to prepare for climate events liable to affect individual homes. It is very simple to use, so every  
266 citizen can employ it. The obvious interest of this tool is that it allows addressing local inhabitants directly by  
267 proposing solutions to adapt to natural risks linked to climate change.

268  
269 These tools have the merit of proposing operational instruments to obtain a clearer idea of the vulnerability  
270 concept involved. The main scale is above all the national scale which, despite major advances in the visualization  
271 and knowledge of vulnerable zones, does not always lead to decision-making by local actors and managers, since  
272 the scale is sometimes too broad for actions. Beyond the spatial scale, the choice of data and tools for processing,  
273 analysis and visualization have not been designed for non-expert audiences. Data is not always freely accessible,

274 nor are the processing and representation tools. Some tools are intended only for professionals while others point  
275 to the need to open the results to a wider audience. In addition, the data are not accessible and downloadable,  
276 which makes the methodology difficult to adopt and reapply in other territories outside the scope of expertise of  
277 the research team. The limits are therefore divided between the choice of spatial scale, the free and accessible  
278 nature of data and tools, and the non-integration of local actors, and thus the assurance of their understanding of  
279 the tools and concepts used. In addition, this research focuses on the "vulnerability" prism of risk management.  
280 While we defend the fact that these two concepts are linked and inseparable (Provitolo, 2012) in the apprehension  
281 of climate disruption (Heinzlef, 2019), the difficult definition of resilience and its operationalisation is noteworthy.  
282 When vulnerability is defined as the propensity of a territory and a population to suffer damage, resilience focuses  
283 on the strategies and means to prepare territories and populations for the increase in risks and their damage, in  
284 order to limit the negative impacts. Resilience is therefore more complex to quantify, operationalize and visualize.  
285 Here, we intend to overcome these limitations by proposing the approach we have developed.

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### 287 3. Methods: linking resilience modeling and geovisualization techniques

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289 The objective of this research consists in:

- 290 - making the concept of resilience more understandable through the construction of 3 indicators to  
291 define and measure resilience;
- 292 - producing mapping results to quantify and visualize the results obtained;
- 293 - designing a comprehensive method including choice of data, processing and analyses for local actors,  
294 by mobilizing geovisualization techniques;
- 295 - mapping the results to support decisions in favor of resilience to floods.

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#### 297 *3.1 A framework for defining resilience data?*

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299 To analyze urban territories including their complexity through the prism of resilience, it was necessary  
300 to define their issues and challenges, their dynamics, material and immaterial interactions, and their structures that  
301 impact on the functioning of urban space. It is essential to understand the city as a system (Gardner, 2016). These  
302 urban systems, like any living organism, are complex and hierarchical. Some studies have explored the impact of  
303 rapid urbanization, leading to complex territorial responses and the lack of suitable reactions. In parallel,  
304 challenges can increase when the country's gross domestic product (GDP) decreases. Nevertheless, in some case  
305 studies, urbanization has been shown to have other results and is one of main elements to be taken into account  
306 when building response capacity to risks (Garschagen and Romero-Lankao, 2015). This response capacity can be  
307 determined by flood preparedness (Chinh et al., 2016), government implication and risk governance (Garschagen,  
308 2015). Studying the city in the face of risks and its resilience capacity requires considering different spatial scales  
309 of interactions and challenges. Therefore, several questions must be asked to support the understanding of the  
310 concept of resilience and decision making: Who is vulnerable/resilient? What? When? What elements could limit  
311 the impacts of a crisis like a flood event? Are they efficient before, during and after a flood?

312 These questions allowed us to establish three resilience indicators to study technical, urban and social  
313 resilience (Heinzlef et al., 2019). The methodological choice of using indicators was based on several arguments.

314 The first one is that by defining and characterizing an abstract concept, indicators allow sensitizing both the  
315 scientific community and the public to complex subjects (Prior and Hagmann, 2014). In addition, resilience  
316 indicators can make an important contribution to assess a community's needs and goals while helping it to develop  
317 resilience strategies (Cutter, 2016). These indicators, useful when creating a strategy, are also important for  
318 monitoring the decision-making process. Finally, an essential benefit of using such indicators is that they can act  
319 as driving factors for risk management, by including the concept of resilience clearly and more holistically (Linkov  
320 et al., 2014). The objective is to analyze the different social, urban and technical components (Serre and Heinzlef,  
321 2018) of the area concerned (Tab.1). The indicators were designed after adapting the Baseline Resilience Indicators  
322 for Communities (BRIC) methodology (Cutter et al., 2008; Patil et al., 2008; Singh-Peterson et al., 2014).

| <i>Resilience indicators</i>                      | <i>Variables</i>  | <i>Sources</i> | <i>Impact on resilience</i>                          | <i>References</i>                                    |
|---|---|----------------|--|--|
| <b>Social resilience indicator</b>                | <i>Population Structure</i>                             |                |  |  |
|   | 00-02 years old   | INSEE          | Negative   | (Morrow, 2008); (Cutter, 2010); (Opach et Rod, 2016) |
|   | 25-39 years old   | INSEE          | Positive   | (Morrow, 2008); (Cutter, 2010); (Opach et Rod, 2016) |
|   | more than 80 years old                                  | INSEE          | Negative   | (Morrow, 2008); (Cutter, 2010); (Opach et Rod, 2016) |
|   | <i>Professional situation</i>                           |                |  |  |
|   | Active 15-64 years old                                  | INSEE          | Positive   | (Tierney et al., 2001)                               |
|   | Unemployed 15-64 years old                              | INSEE          | Negative   | (Tierney et al., 2001; Tierney, 2014)                |
|   | <i>Habits</i>   |                |  |  |
|   | Active people 15 years or older not using transport     | INSEE          | Positive   |  |
|   | Active people 15 years or older, using public transport | INSEE          | Positive   |  |
|   | <i>Insurances</i>                                       |                |  |  |
|   | Health insurance beneficiaries                          | INSEE          | Positive   | (Heinz Center 2002)                                  |
|   | Beneficiaries of CAF allocations                        | INSEE          | Positive   | (Heinz Center 2002)                                  |
|   | <i>Education</i>  |                |  |  |
| Exit before the 3 <sup>rd</sup> grade             | INSEE   | Negative       | (Norris et al. 2008), (Morrow 2008)                  |  |
| Bac +2 and better                                 | INSEE   | Positive       | (Norris et al. 2008), (Morrow 2008)                  |  |
| <b>Urban resilience indicator</b>                 | <i>Buildings</i>  |                |  |  |
|   | Number of main residences built before 1919             | INSEE          | Positive   | (Mileti, 1999); (Cutter, 2010), (Opach et Rod, 2016) |
|   | Number of main residences built from 1919 to 1945       | INSEE          | Negative   | (Mileti, 1999); (Cutter, 2010), (Opach et Rod, 2016) |
|   | Number of main residences built from 1946 to 1970       | INSEE          | Negative   | (Mileti, 1999); (Cutter, 2010), (Opach et Rod, 2016) |
|   | Number of main residences built from 1971 to 1990       | INSEE          | Negative   | (Mileti, 1999); (Cutter, 2010), (Opach et Rod, 2016) |
|   | Number of main residences built from 1991 to 2005       | INSEE          | Negative   | (Mileti, 1999); (Cutter, 2010), (Opach et Rod, 2016) |
| Number of main residences built from 2006 to 2010 | INSEE   | Positive       | (Mileti, 1999); (Cutter, 2010), (Opach et Rod, 2016) |  |

|                                       |   |                   |          |   |
|---------------------------------------|---|-------------------|----------|---|
|                                       | <i>Critical Infrastructures</i>                               |                   |          |   |
|                                       | Defense   | SIRENE            | Positive | (Sylves, 2007);<br>(Cutter, 2010)                               |
|                                       | Fire and rescue services                                      | SIRENE            | Positive | (Sylves, 2007);<br>(Cutter, 2010)                               |
|                                       | Hospital activities   | SIRENE            | Positive | (Opach et Rod, 2016)  |
|                                       | <i>Economic dynamics</i>                                      |                   |          |   |
|                                       | Tourist and other short-term accommodation                    | SIRENE            | Positive | (Tierney, 2009)   |
|                                       | Creation of new companies                                     | SIRENE            | Positive |   |
| Removal of companies                  | SIRENE  | Negative          |          |   |
| <b>Technical resilience indicator</b> | <i>Diversity of networks</i>                                  | Municipality data | Positive | (Bambara, 2014);<br>(Balsells et al, 2015)                      |
|                                       | <i>Network accessibility</i>                                  |                   |          |   |
|                                       | Accessibility of networks by public road within a 100m radius | Municipality data | Positive | (Cutter, 2010); (Opach et Rod, 2016) ;<br>(Lhomme et al., 2013) |

*Table 1: Example of data selection, sources and references*

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324

### 325 3.2 Resilience processing

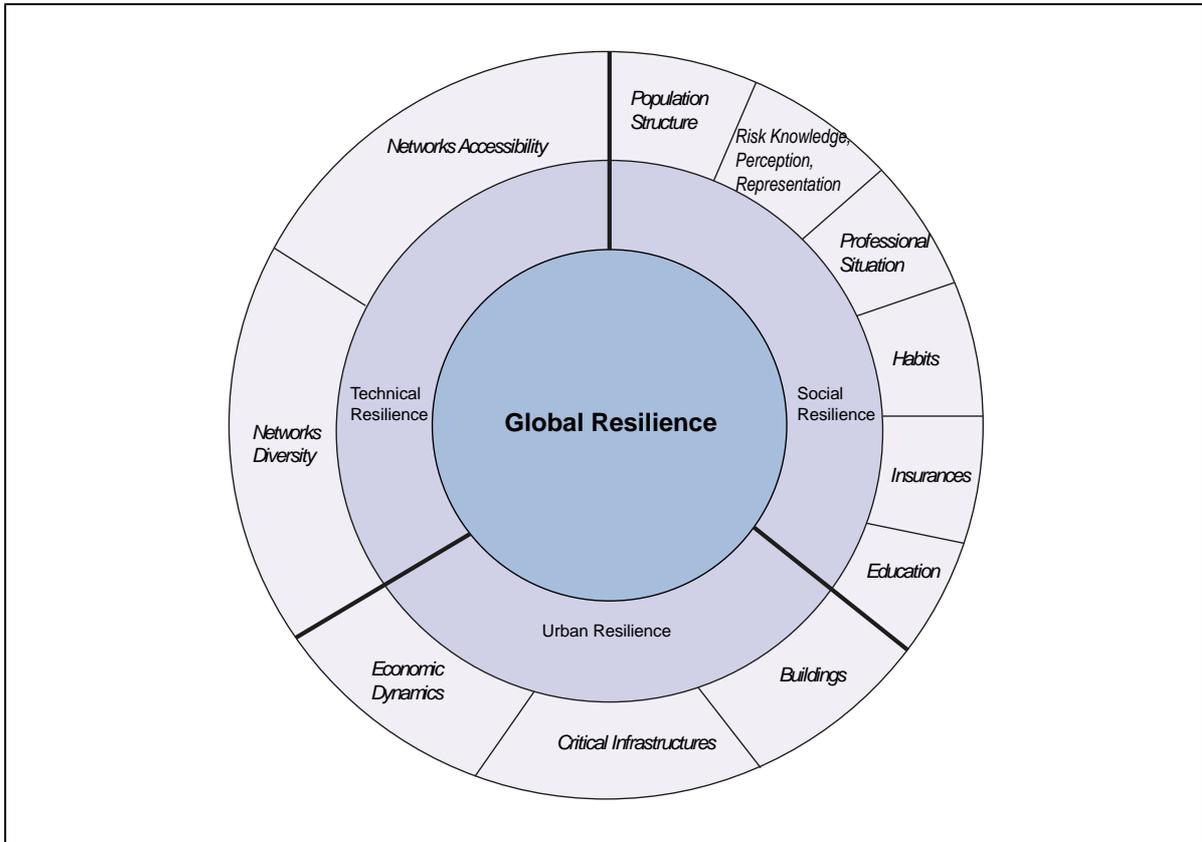
326 The advantages of using geovisualization techniques to remove barriers to resilience are:

327 - analyzing heterogeneous and geolocated data;

328 - supplying a visualization based on the most recent scientific advances;

329 - extracting, producing and sharing data with innovative layouts.

330 To address these three pillars, we propose to clarify some of the resilience criteria defined above (Fig.6)  
331 around three resilience indicators, social, technical and urban.



332 *Figure 5: Resilience characteristics (Serre & Heinzlief, 2018)*

333 We argue that analysis of resilience at the local level is facilitated by using open access data. On the other  
334 hand, data processing and analysis become more understandable for local actors when tools are chosen that  
335 highlight the visualization.

### 336 3.2.1 Data used for resilience assessment

337 We chose to use mainly open data which we acquired via the INSEE service of the French Ministry of  
338 the Economy and Finance (National Institute of Statistics and Economic Studies), whose function is to collect,  
339 analyze and disseminate data. Since we wanted to analyze urban resilience at the community scale as finely as  
340 possible, we chose to analyze the IRIS (Islets Grouped for Statistical Information) scale which constitutes the basic  
341 building block for the dissemination of infra-communal data.

342 The concept of "open" and accessible science has been developed to strengthen dialogue and commitment  
343 among scientists and the local population around common issues and problems, by creating a language and  
344 vocabulary understandable to everyone. While there are obvious limitations to Open Data - security, privacy and  
345 property protection - it is nonetheless accepted that using ideas and knowledge freely is a universal right. This is  
346 why we chose to use a data source whose access, use and downloading are free, to ensure not only the  
347 reproducibility (Jovanovic et al., 2018) of the methodology, but also to participate in the education and  
348 communication of the concept of resilience.

349 In addition to the INSEE INSPIRE database, we used the data from the SIRENE database (INSEE) in  
350 Open Source. The SIRENE database is an INSEE service used to identify all the characteristics of companies and  
351 establishments. The information provided gives a precise idea of the company's activity, its date of creation, etc.  
352 These data were used for the urban and technical resilience indicators to demonstrate economic, urban and  
353 technical dynamism.

354 Data from the city cadaster (MAJIC) were also used to complete the Open Data database. These data are  
355 considered sensitive and owned exclusively by municipalities. It is therefore essential to create a partnership with  
356 a city and its GIS services.

### 357 3.2.2 Method and tools for resilience assessment

358 After selecting the raw data, data were transformed and normalized with a theoretical orientation. In order  
359 to understand the frequency of each variable, each item of raw data has been transformed into percentages  
360 (Equation (1), Equation (2) and Equation (3)).

$$361 \quad \text{Social Resilience} = \frac{\text{Variable}}{\text{IRIS Population}} \quad (1)$$

$$362 \quad \text{Urban resilience} = \frac{\text{Variable}}{\text{IRIS AREA}} \quad (2)$$

$$363 \quad \text{Technical resilience} = \frac{\text{Variable}}{\text{IRIS AREA}} \quad (3)$$

364  
365  
366 Nevertheless the weighting is 1 for all the variables (Holand et al., 2011). This single weighting is explained by  
367 the willingness to avoid disparities between the variables (Fekete, 2009), since some of them are sensitive and  
368 subjective. Indeed, we have no theoretical references (Esty et al., 2005) and there is no practical experience  
369 (Fekete, 2009) on which to determine weights that are mostly subjective. Besides, to apply such weights does not  
370 necessarily reflect decision makers' and urban planners' priorities and realities (Cutter et al., 2010). Nonetheless,  
371 since this approach puts forward a participatory and collaborative methodology, readjusting the weight of these  
372 variables with regard to managers' perceptions is entirely justified and in line with the current approach.

373 Following this process, it was necessary to determine a normalization. Normalization allows adjusting a  
374 series of values (typically representing a set of measurements) according to a transformation function to make  
375 them comparable with certain specific reference points. We proceeded with a Min-Max standardization (Casadio  
376 Tarabusi and Guarini, 2013) to obtain a positive resilience impact variable, Equation (4), and a negative resilience  
377 impact variable, Equation (5), where each variable is decomposed into an identical range between zero (worst  
378 rank) and one (best rank), to create indicators with similar measurement scales, and to compare them.

$$379 \quad \frac{x - \min(x)}{\max(x) - \min(x)} \quad (4)$$

380  
381  
382

383

$$1 - \frac{x - \min(x)}{\max(x) - \min(x)} \quad (5)$$

384

385           The choice of processing tools was influenced by the availability of Open Source tools in order to uphold  
386 transparency and collaborative approaches as well as the availability of such tools to all stakeholders. To create  
387 the computer script, we used a tool, the Feature Manipulation Engine (FME) to extract, transform and load raw  
388 data (Extraction Transformation Loading). Its interface allows visualizing each step of the processing, from  
389 loading raw data (INSEE files) to choosing variables, while integrating the resilience formula to finally obtain the  
390 results. Although this tool has a cost, it is nevertheless used by GIS practitioners on a large scale, nationally and  
391 internationally.

392           Several steps (Fig.7) were necessary to set up the computer script, integrate the input data, create a  
393 geometry, generate the processing and forecast an overall resilience value. The output data is in SpatiaLite format  
394 (sl3 format), which is a spatial extension of SQLite and provides vector geodatabase capacity. This format can be  
395 understood by many processing, visualization and mapping software applications including QGIS.  
396

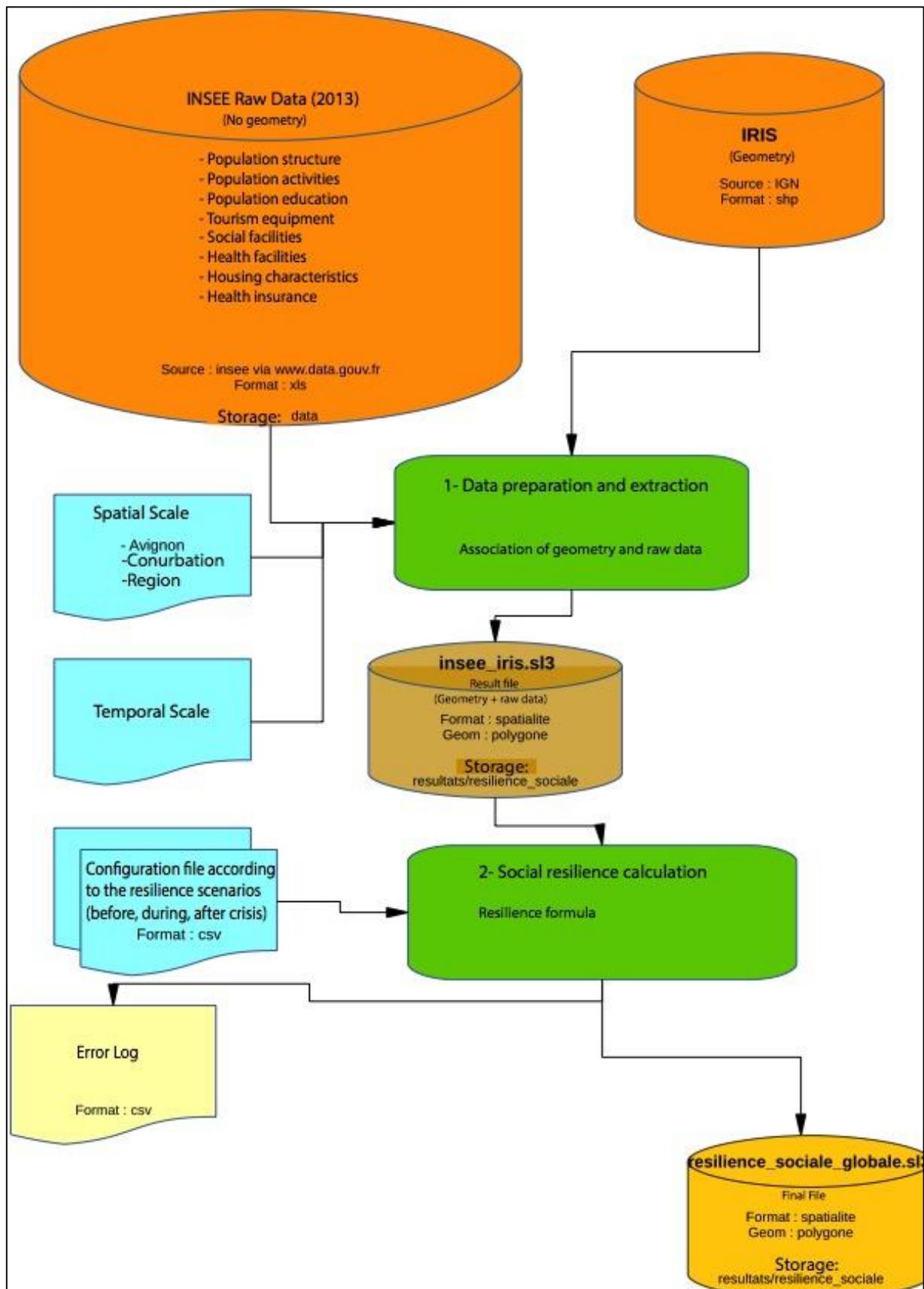
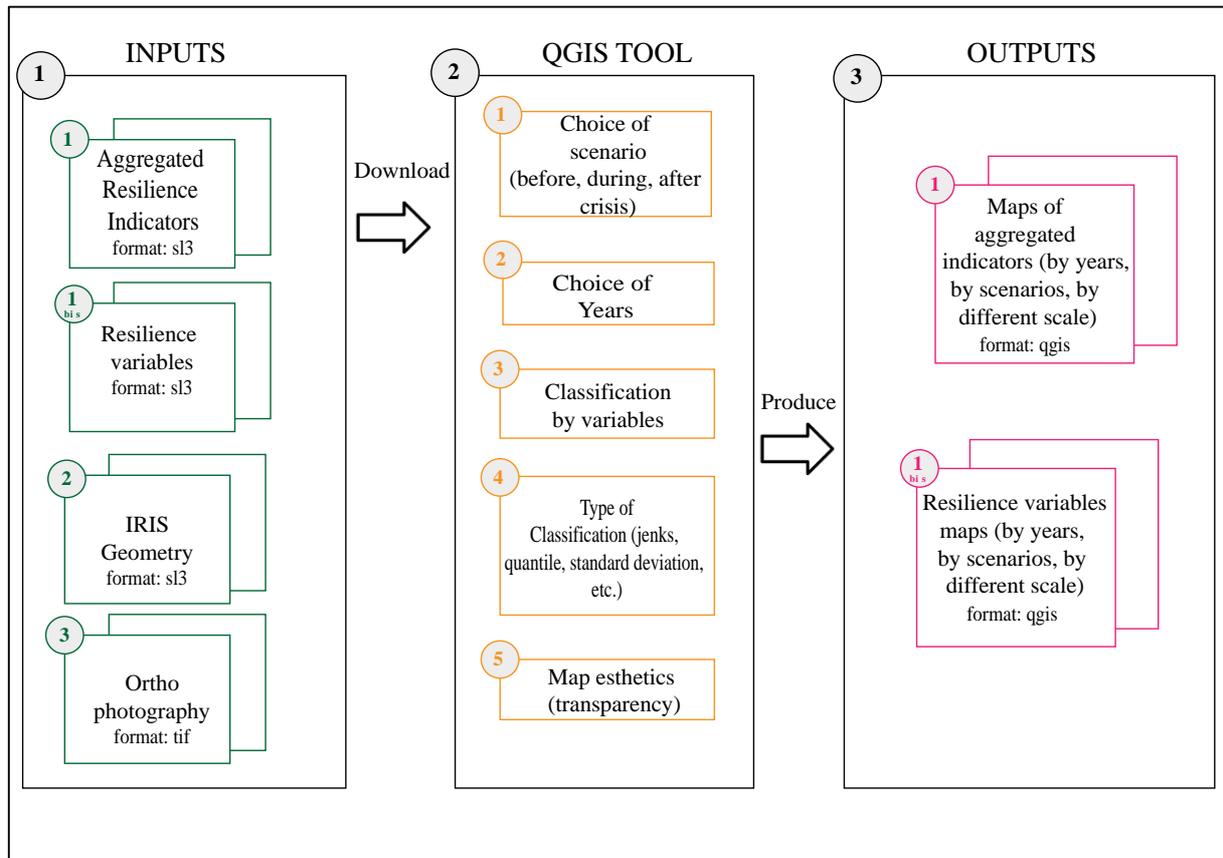


Figure 7: Details of the social resilience assessment process

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399 Once the computer processing was completed, the visualization and analysis work was done via a GIS, namely  
400 the QGIS software (Fig.8). It allows the automatic spatialization of data according to data variables or variables

401 resulting from relationships between objects, and finally the use of graphical tools to visualize and differentiate  
 402 data (sizes, colors, distances).



403  
 404 *Figure 8: QGIS interaction architecture for resilience assessment.*  
 405

406 The map is therefore a decision-making tool in the sense that it represents and filters a mass of data and makes  
 407 them accessible and comprehensible. But the production of a map cannot in itself be considered a spatial decision  
 408 support system: its value first depends on the consistency and reliability of the information collected upstream,  
 409 then on its structuring and effective readability.

410  
 411  
 412 **4- Testing the resilience model and geovisualization process in Avignon**

413  
 414 *4.1 Avignon flood issues*

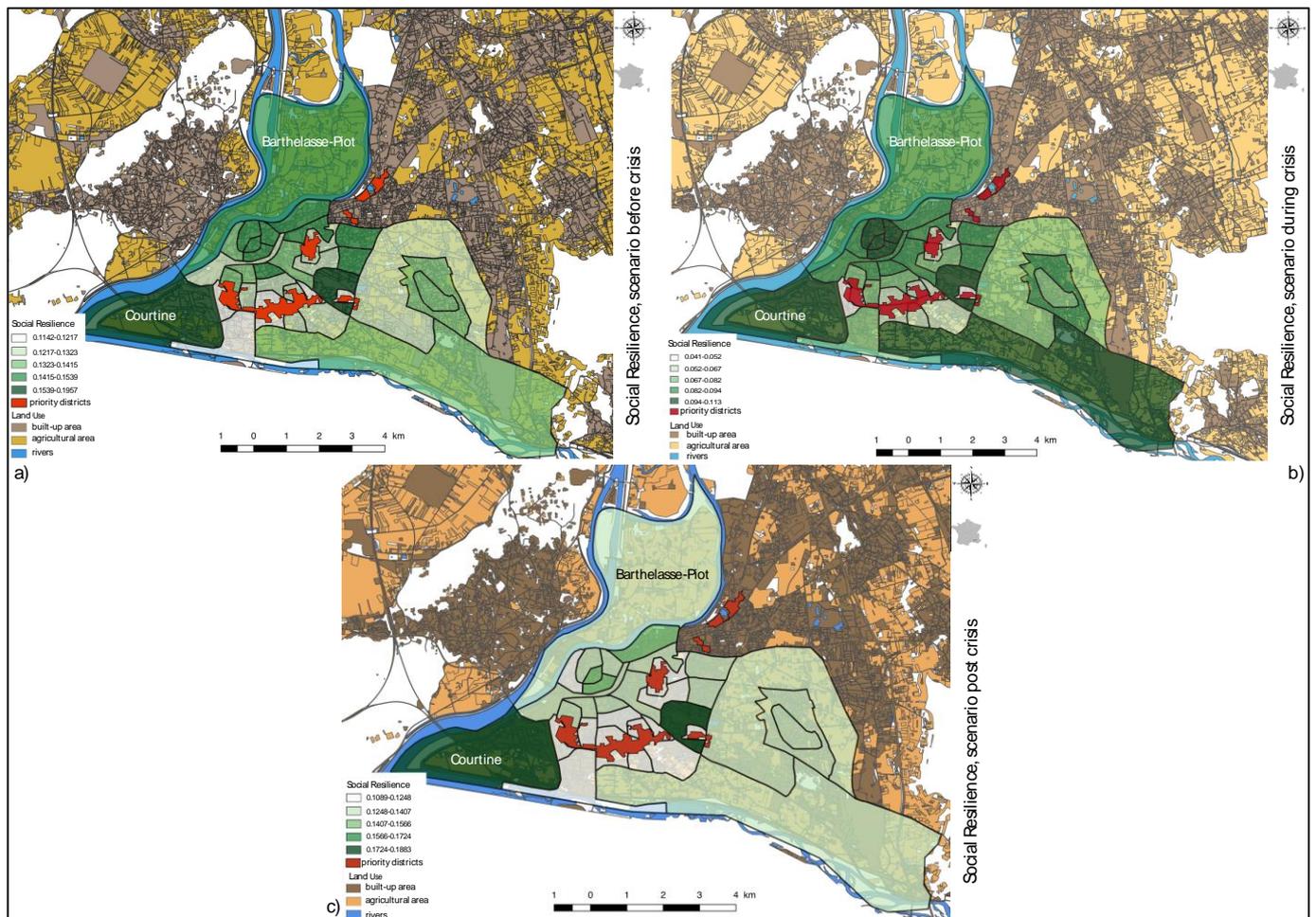
415  
 416 Avignon, the chief administrative center of Vaucluse, is faced with flood risks due to its proximity to the  
 417 confluence of the Rhône and Durance rivers (Fig.9). The island of Barthelasse, the largest river island in Europe,  
 418 is the area of Avignon most affected by the Rhône's floods. It serves as a buffer between the city and the Rhône,  
 419 and serves to absorb floods. The few existing dikes protect the island from low floods, but it is still floodable, as  
 420 shown by the 2-meter floods in 1993, 1994, 2002 and 2003.



425 collaboration took place at several levels, both in the involvement of local actors in the study, in the data exchange  
 426 process, and in the choice of processing tools, to ensure and improve the re-usability of the methodology once the  
 427 study has been completed. The final choice of resilience variables, data processing, and their final visualization  
 428 was made in constant collaboration with the city's technical services, to ensure that data and their analyses were  
 429 shared and understood.

430 *4.2 Resilience to flood assessment in Avignon: a few results*

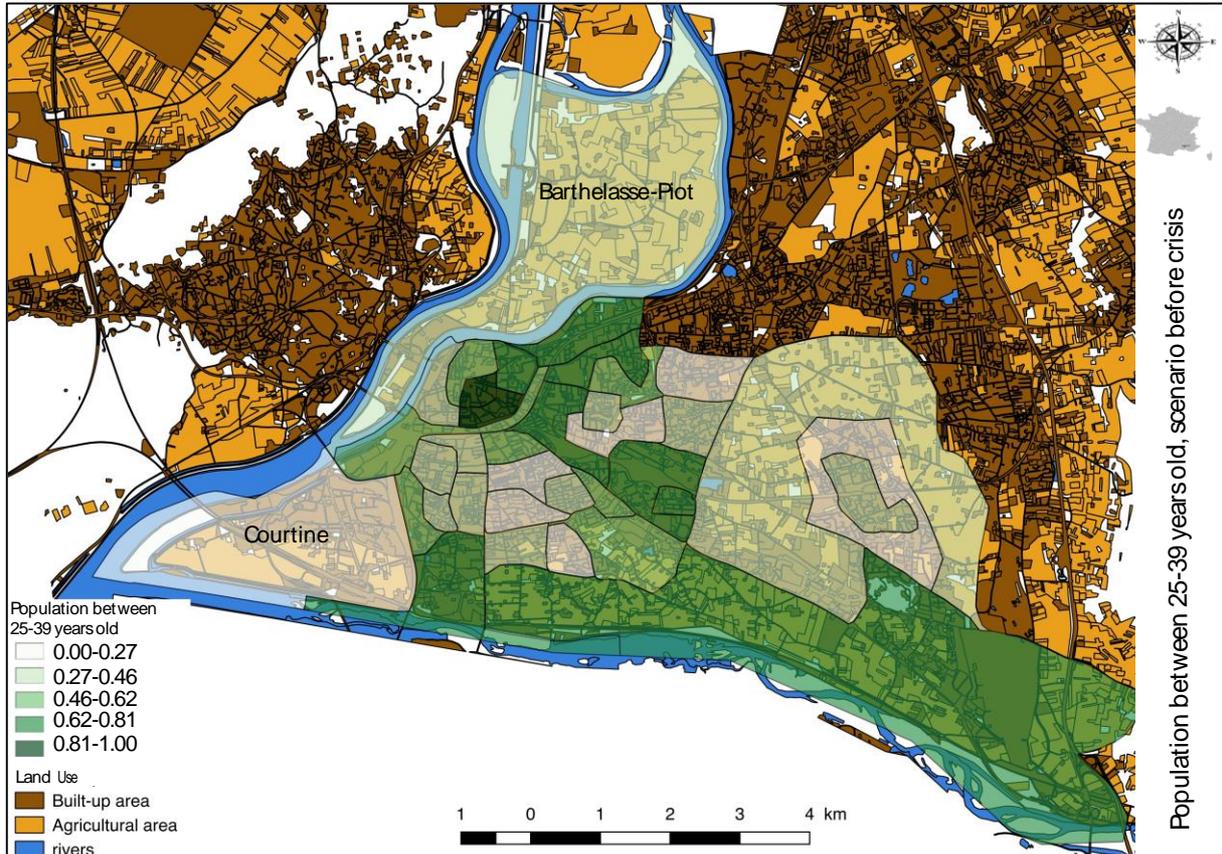
431 The city was divided into a local scale – IRIS scale – to visualize which areas are resilient or not. The indicators  
 432 - social (Fig.10), urban and technical- and each variable (Fig.11) included in the model can be visualized.  
 433 Therefore, it is easier to perceive which variables improve resilient capacities, and which areas have developed  
 434 these variables or not. As each indicator is independent from each other, it is easier for politicians and managers  
 435 to work on variables with low levels of resilience and identify areas to be redeveloped and / or reintegrated in  
 436 urban dynamics.



437  
 438 *Figure 10: Social Resilience Indicator-Multi scenario, Avignon scale (IRIS scale analysis). The left-hand map identifies the*  
 439 *most resilient areas (greener) according to the social resilience characteristics before a crisis; the right-hand map identifies*  
 440 *the most resilient areas according to the social characteristics during a crisis; the map below identifies the most resilient*  
 441 *areas according to the social characteristics after a crisis - Open Database License, "ODbL" 1.0.*

442

443 The difference between the three maps in Figure 10 is explained by the different scenarios considered before,  
 444 during and after a crisis. Not every variable is included in every scenario. For example, age variables are important  
 445 both before (preparation, knowledge of risk, etc.), during (understanding of the situation, ability to move, etc.),  
 446 and after the reconstruction process. On the contrary, whether or not individuals have a job does not play a role  
 447 during the crisis but is decisive afterwards, in order to rebuild and relaunch an activity.



448  
 449 *Figure 11: Population between 25 and 39 years old-scenario before crisis, Avignon scale (IRIS scale analysis). The map*  
 450 *above identifies the value of the population variable 25-39 years old according to the total IRIS population before a crisis -*  
 451 *Open Database License, "ODbL" 1.0.*

452

453 *Figure 11 shows the location of individuals aged 25 to 39 years, with a segment of the population*  
 454 *potentially more resilient, before, during and after. Indeed, they can have a risk culture beforehand, act and*  
 455 *survive during, and restart an activity after the disruptive event. They are more prevalent in the city center and in*  
 456 *the South and South East. This is mainly due to the location of the two universities, in the city center and outside*  
 457 *the city walls, which favors student accommodation and low-cost housing.*

458

| Resilience indicators/<br>IRIS     | Variables   | Impact on resilience | Barthelasse | Courtine |
|------------------------------------|---|----------------------|-------------|----------|
| <b>Social resilience indicator</b> | <i>Population Structure</i>                             |                      |             |          |
|                                    | 00-02 years old   | Negative             | 0.08        | 0.28     |
|                                    | 25-39 years old   | Positive             | 0.35        | 0.23     |
|                                    | more than 80 years old                                  | Negative             | 0.67        | 1        |
|                                    | <i>Professional situation</i>                           |                      |             |          |
|                                    | Active 15-64 years old                                  | Positive             | 0.69        | 1        |
|                                    | Unemployed 15-64 years old                              | Negative             | 0.40        | 0.38     |
|                                    | <i>Habits</i>   |                      |             |          |
|                                    | Active people 15 years or older not using transport     | Positive             | 0.59        | 1        |
|                                    | Active people 15 years or older, using public transport | Positive             | 0.24        | 0.08     |
|                                    | <i>Insurances</i>                                       |                      |             |          |
|                                    | Health insurance beneficiaries                          | Positive             | 0.50        | 0.92     |
|                                    | Beneficiaries of CAF allocations                        | Positive             | 0.19        | 0.93     |
|                                    | <i>Education</i>  |                      |             |          |
|                                    | Exit before the 3 <sup>rd</sup> grade                   | Negative             | 0.89        | 0.02     |
|                                    | Bac +2 and better                                       | Positive             | 0.55        | NULL     |
| <b>Urban resilience indicator</b>  | <i>Buildings</i>  |                      |             |          |
|                                    | Number of main residences built before 1919             | Positive             | 0.05        | 0        |
|                                    | Number of main residences built from 1919 to 1945       | Negative             | 0.89        | 0.99     |
|                                    | Number of main residences built from 1946 to 1970       | Negative             | 0.95        | 1        |
|                                    | Number of main residences                               | Negative             | 0.92        | 0.97     |

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|---------------------------------------|---|----------|------|------|
|                                       | built from 1971 to 1990                                       |          |      |      |
|                                       | Number of main residences built from 1991 to 2005             | Negative | 0.02 | 0.02 |
|                                       | Number of main residences built from 2006 to 2010             | Positive | 0.01 | 0.26 |
| <i>Critical Infrastructures</i>       |   |          |      |      |
|                                       | Defense   | Positive | NULL | NULL |
|                                       | Fire and rescue services                                      | Positive | 0.12 | 0.34 |
|                                       | Hospital activities   | Positive | 0    | 0.75 |
| <i>Economic dynamics</i>              |   |          |      |      |
|                                       | Tourist and other short-term accommodation                    | Positive | 0.43 | 0.51 |
|                                       | Creation of new companies                                     | Positive | 0.05 | 0.29 |
|                                       | Removal of companies  | Negative | 0.93 | 0.64 |
| <b>Technical resilience indicator</b> | <i>Diversity of networks</i>                                  | Positive | 0    | 0.85 |
|                                       | <i>Network accessibility</i>                                  | Positive |      |      |
|                                       | Accessibility of networks by public road within a 100m radius |          | 0    | 0.17 |

488

Table 2: Variable values - scenario before crisis

489 Table 2 presents the value of each variable according to the pre-crisis scenario for the IRIS of Barthelasse and  
490 Courtine (Tab.2) after Min-Max standardization. These values illustrate the representativeness of each variable in  
491 the territory, and make it possible to understand the social and spatial dynamics at the IRIS scale for Barthelasse  
492 and Courtine. This detailed analysis, carried out on a variable-by-variable basis, allows engaging in a discussion  
493 with local actors in an attempt to reintegrate neighborhoods at the margins of territorial functioning, in order to  
494 work on the integration of urban resilience in the face of daily territorial stresses and when confronted by a more  
495 exceptional event such as a flood.

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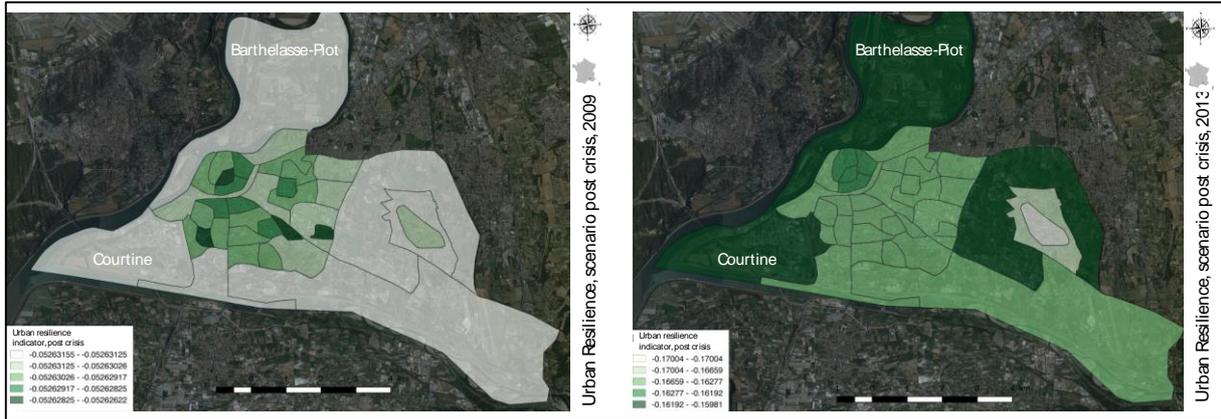
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Regarding the urban resilience indicator, INSEE data are available from 2009 to 2013, thus making it possible to perform a multi-date analysis over several years (Fig.12) and gain understanding of urban evolutions and resilience trends. For instance, certain elements have evolved, such as the proportion of tourist accommodation, and surgical and hospital activities, thereby increasing resilience capacities. Moreover, the advantage of using open data allows temporal as well as spatial scales to evolve, and the indicators can therefore be tested on other municipalities on the national territory.

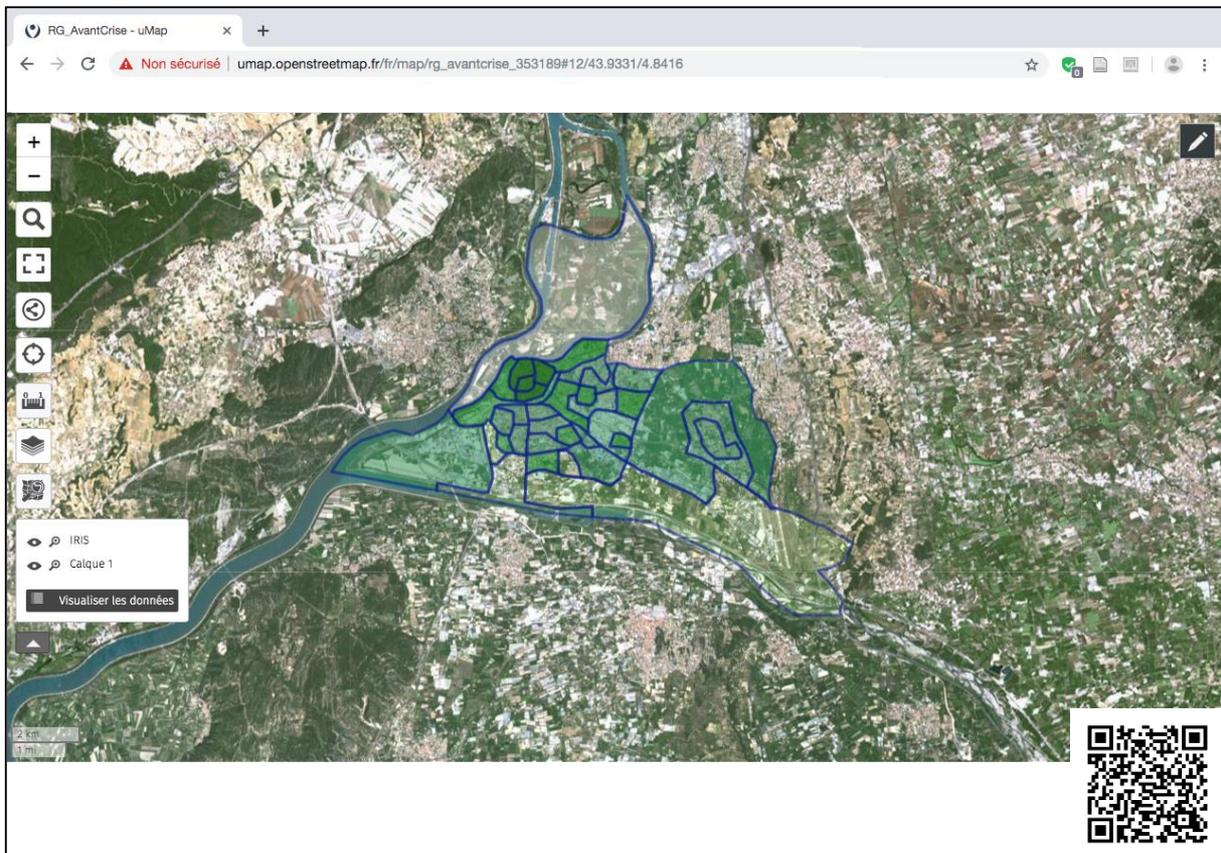


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Figure 12: Comparative analysis between 2009 and 2013 for the Urban indicator, post crisis scenario, Avignon scale (IRIS scale analysis). The map on the left identifies the most resilient areas according to the urban characteristics after a crisis in 2009; the map on the right identifies the most resilient areas according to the urban characteristics after a crisis in 2013 - Open Database License, "ODbL" 1.0.

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After reflection on the visibility of the results, information sharing, and a neutral and collaborative approach, we are considering making our work accessible to inhabitants by developing a website to continue the risk communication process on flood risks and strengthen the geovisualization process. This website, which is currently subject to reflection, developed with the creation of interactive maps accessible via a web link (<http://u.osmfr.org/m/353189/>) and a QR code (Fig.13).



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Figure 13: Web link Global Resilience - Before Crisis Scenario Map - QR code - Open Database License, "ODbL" 1.0.

518           Concerning the contribution of geovisualization used to promoter dialogue on the issue of territorial  
519 resilience, workshops were organized to develop interaction around the maps produced and the database provided  
520 and accessible to stakeholders. These workshops provided an opportunity for scientific experts and critical  
521 infrastructure managers as well as decision-makers in risk management strategies to exchange views in order to  
522 support the reflection process and foster long-term collaboration. These maps and this new database allowed the  
523 actors to extract new knowledge from the decision support tool, especially theoretical knowledge provided by the  
524 maps and consistent with the database. This knowledge is both current but also part of a long-term construction,  
525 since the data evolve as a function of INSEE production.

## 526 527           5- Discussion

528           This research is at the crossroads of resilience modeling and geovisualization practices based on visualization,  
529 data processing, mapping and also the decision support process. Rather than focusing on technological  
530 developments, this work attempted to reflect on the accessibility of the methodology and its appropriation by local  
531 stakeholders. The results are expressed through maps illustrating the potential for social, urban and technical  
532 resilience at the community level. It therefore takes into account a large number of dimensions in making the  
533 concept of resilience operational.  
534

535           Several improvements are already being considered to overcome the limitations of this work. Concerning the  
536 question of tools, willingness to switch entirely to free tools led to reflection on abandoning the FME tool. The  
537 project to build a QGIS plugin is under study in view to increasing accessibility. The advantage of the plugin  
538 would be to make the computer script behind the methodology completely free, accessible and downloadable.

539           Another improvement to consider would be to test the approach in other territories, either by developing a  
540 partnership of the same scope or by switching the entire process to open data. At present, this analysis can be  
541 performed at the scale of the Sud Provence-Alpes Côte d'Azur region (Fig. 14) and at the scale of France, but only  
542 for the social resilience indicator.

543

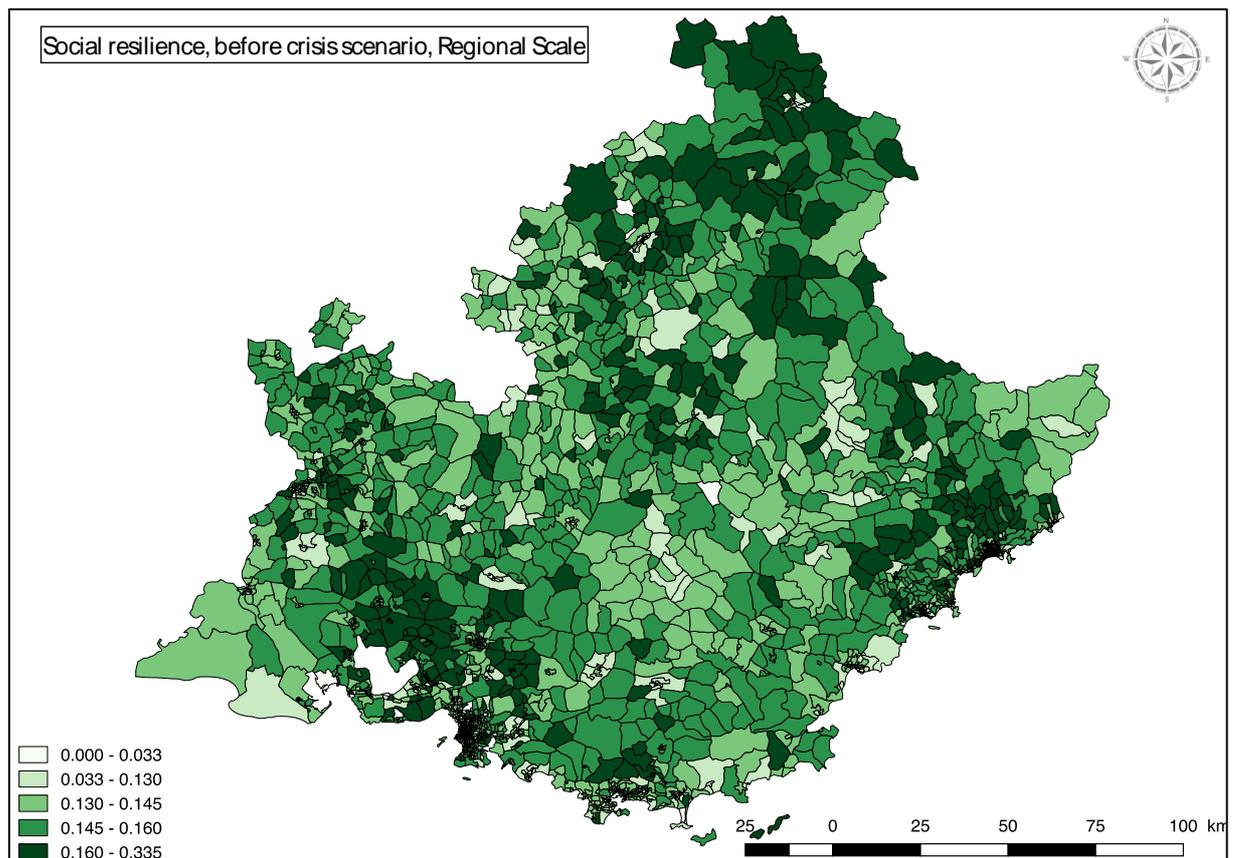


Figure 14: Social resilience, before crisis scenario, Provence-Alpes-Côte d'Azur regional scale - Open Database License, "ODbL" 1.0.

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Following theoretical modeling and visual, cartographic and geovisualized production work, further development included the organization of workshops to question users on their understanding and use of the tool and the results (Heinzlef, 2019). These workshops took place with critical infrastructure managers and made it possible to (re)launch the debate around the issue of resilience and thus to build knowledge without hypothesis a priori (Maceachren and Kraak, 1997) around a tool for visualizing a concept that is difficult to put into practice. This methodology made it possible to launch a longer-term reflection with local actors to reflect on a resilience strategy and integrate the concept into risk management. In particular, the results made it possible to consider a strategy for managing the risk of flooding in the Rhone.

This modeling and cartographic production work based on geovisualization has made it possible to rethink the issue of urban resilience. The mapping results led to workshops to review and compare the methodology with the reality of the territory and risk management practices. This work is part of a broader dynamic and reflection on the question of operationalizing resilience. Based on the results of this decision-making tool designed to operationalize urban resilience, a more global project is now under construction. It is thus planned to use these results to build an urban resilience observatory that will be tested on the island territories of French Polynesia. This will provide an opportunity to merge representations of risks, territories and techniques for data processing, production and analysis, visualization, and collaboration with local actors.

## 6- Conclusion

This article proposed a methodology intended to clarify the concept of resilience in the context of increasing urban flooding. This methodology is divided into two stages. First, the modeling and analysis of the concept of resilience through the formulation of three definitions and measurement indicators in order to approach resilience in an exhaustive way on the basis of social, technical and urban criteria. Secondly, we used geovisualization techniques (mapping practices, visualization, data processing and analysis, map processing) to build a spatial decision support system accessible and understandable to local stakeholders in the Avignon community. This spatial decision support system sought to provide a simple and accessible methodology to quickly verify and analyze information for decision-making. The aim is to use the principles of visualization of geovisualization to widely disseminate map results in order to improve resilience culture. The contributions and innovations of this work are therefore of several kinds:

- the design of a spatial decision support system with and for local actors;
- the design of a resilience model;
- the use of open access data to enhance INSEE data and match the knowledge of local actors;
- the use of tools to highlight the visualization of data processing: FME and QGIS;
- the use of free and easy to use tools to perform advanced mapping processing;
- the implementation of dialogue between local experts and actors through visual and understandable cartographic production.

The advances achieved have made it possible to map resilience at the local level, ensure that local actors are understood, and that the methodology is accessible to non-experts and reproducible. The method therefore focuses on the accessibility promoted by geovisualization techniques rather than on technicality.

While some limitations have been observed - in particular regarding the non-exhaustiveness of open access tools, the need to include local actors from the outset and changes of scale - many perspectives are already being considered for the future. The first step has been taken to switch all the tools to open access via the development of a QGIS plugin. In addition to the response to the tools, this plugin will also integrate the reflections of different actors in order to develop the tool using the feedback expressed. Regarding the issue of scale, the need to go beyond the national framework was expressed through reflection on the use of Open Street Map data. Finally, regarding the form of this spatial decision-making tool itself, work is in progress to develop it by setting up a Resilience Observatory for the island territories of French Polynesia. Studies and analyses are being carried out to this end.

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