

1 *Review*

2 **Seismic and energy renovation. A review of the de-** 3 **sign approach in Italy and in Romania.**

4 **Emil-Sever Georgescu** ¹, **Mihaela Stela Georgescu** ², **Zina Macri** ², **Edoardo Michele Marino** ³,
5 **Giuseppe Margani** ³, **Vasile Meita** ¹, **Radu Pana** ¹, **Horia Petran** ¹, **Pier Paolo Rossi** ³, **Vincenzo**
6 **Sapienza** ^{3*} and **Marius Voica** ²

7 ¹ NIRD URBAN - INCERC, Soseaua Pantelimon, nr. 266, 021652, Sector 2, Bucharest, Romania;

8 ² University of Architecture and Urbanism "Ion Mincu", Bucharest 010014, Romania; ³ Department of Civil
9 Engineering and Architecture - University of Catania, via Santa Sofia, 64, 95125 Catania

10 * Correspondence: vsapienza@unict.it; Tel.: +39-0957382531

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12 **Abstract:** Most European cities are characterized by very large areas, often formed by buildings with
13 low quality, from a series of point of view. The possibility of renovating them is strategic to improve
14 both the quality of life and to the possibility of economic recovery for building companies. In the
15 last decades, the attention of the scientific community has been addressed to the energy renovation,
16 thanks to the strong activities of the European Community in this field. However, since a relevant
17 part of the EC territory is at risk of earthquake, the possibility to combine both energy and seismic
18 renovation actions may be strategic for many countries. In particular, Italy and Romania are linked
19 by a common social tradition that springs from the Roman Empire. Nowadays, this link is stronger,
20 thanks to common interests in social, cultural and business fields. Therefore, the investigation of
21 possible synergies for seismic and energy renovation strategies may be really interesting for both
22 countries. This paper represents the first step in this direction. After an overview of regulations and
23 common practices for buildings with reinforced concrete structures, in both states, some key com-
24 bined renovation interventions will be described and discussed, as well as advantages and perspec-
25 tives of integrated renovation approaches.

26 **Keywords:** Building rehabilitation; energy efficiency; seismic reinforcement.

27

28 **1. Introduction**

29 Most European cities are characterized by large urban areas, built after the II World War and
30 formed by edifices that often show low standards of quality. The renovation of these districts repre-
31 sents a strategic issue to improve the quality of life and to foster the recovery of the building sector.

32 In the last decades, the attention of the scientific community has been driven mainly to energy
33 retrofitting, thanks to the strong activities of the European Community in this field. However, a sig-
34 nificant number of EU regions is earthquake-prone, as it has been unfortunately shown in recent time.
35 So, the opportunity to combine energy and seismic renovation turns out to be crucial for many coun-
36 tries.

37 Italy and Romania, whose real estate is highly energy-consuming and seismically vulnerable,
38 may play a breakthrough role.

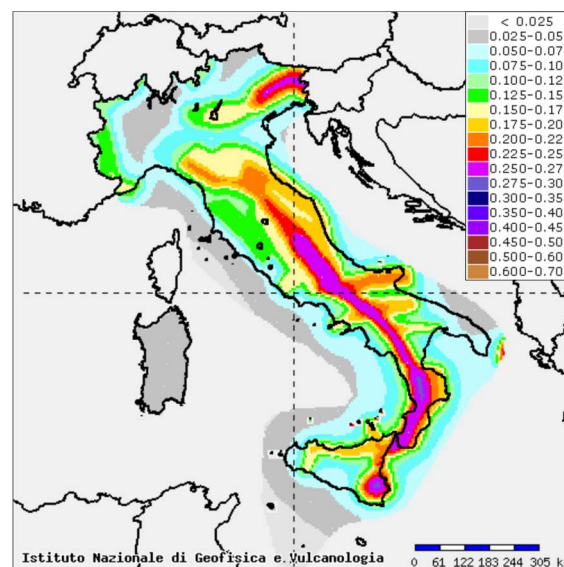
39 This paper will review both traditional and innovative renovation interventions devoted in Italy
40 and Romania to enhance the seismic and energy performance of recent buildings, i.e. erected from
41 the 1950s through the 1980s, which are generally characterized by reinforced concrete (RC) or steel
42 load bearing structures. Historic edifices, i.e. built before 1950, need specific measures [1-3] and are
43 not considered in this paper.

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45 2. State of art

46 2.1. Overview of technical regulations in Italy in relationship with earthquake vulnerability

47 The classification of the Italian territory in areas with different levels of seismic hazard started
 48 in 1909, after the devastating earthquake that hit the cities of Messina and Reggio Calabria in 1908.
 49 The district of Messina and the whole Calabria region were classified as earthquake prone areas and
 50 the explicit consideration of the seismic excitation in the design of buildings located in these areas
 51 became mandatory [4]. The effect of the earthquake was simulated by equivalent horizontal forces.
 52 The level of seismic resistance to be provided to the structure was set to avoid the collapse on the
 53 occurrence strong ground motions, but damage of structural members caused by such extreme events
 54 was admitted. The classification of new seismic areas generally followed the catastrophic events that
 55 struck the country over time; for instance, after the Avezzano earthquake in 1915 a portion of the
 56 central area in Italy was classified as earthquake prone. Other important seismic events that antici-
 57 pated the classification of new seismic areas are those occurred in Abruzzo and the southern area of
 58 Marche (1943), central area of Calabria (1947), Carnia (1959), Velina valley (1961), Irpinia (1962),
 59 Monti Nebrodi (1967), Belice valley (1968), Tuscania (1971), Friuli (1976), southern area of Calabria,
 60 Patti gulf (1978), Valnerina (1979) and Irpinia-Basilicata (1980). Today, the whole country is consid-
 61 ered earthquake prone and the expected level of seismic excitation is given based on the geographic
 62 location of the site (Figure 1). Unfortunately, the most considerable growth of the building stock in
 63 Italy took place in seventies when the application of seismic provisions was not mandatory in most
 64 of the country. As a consequence, most of the existing buildings supported by a RC frame, which
 65 represents the most common technology in Italy, have been designed without considering seismic
 66 provisions and are affected by important structural deficiencies. The seismic upgrading of these
 67 buildings is of paramount importance for the safety of the population and the resilience against earth-
 68 quakes [5].



69 **Figure 1.** Italian seismic hazard map, PGAs (g) for probability of exceedance of 10% in 50 years.

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71 The Italian Building code provides specific sections for existing buildings. More in detail, provi-
 72 sions for seismic assessment and retrofitting of existing buildings are reported in Section 8 of the
 73 “Norme Tecniche per le Costruzioni” (Technical rules for constructions, NTC08) enforced in 2008 [6]
 74 and in the relevant section of the associated Commentary [7]. In addition, Section 11 of the Ordinance
 75 n. 3431 [8] emanated in 2005 still applies when not in contrast with NTC08. The Italian code is fully
 76 consistent with the European building code, which provides the regulations on existing buildings in
 77 Eurocode 8 (EC8) part 3 [9]. Finally, Eurocode 8 as implemented by means of the relevant National
 78 Annexes [10] is also applicable in Italy. The code provisions for existing buildings in force in Italy (i)
 regulate the procedure for the identification of the structural system and its geometric/mechanical

79 features, (ii) define the methods of analysis and their limits of application, and (iii) provide instruc-
80 tions for the execution of the safety verifications.

81 2.2. Overview of technical regulations in Italy in relationship with energy performance requirements

82 In Italy, the first regulation for the reduction of the energy consumption in buildings was issued
83 in 1976 (Law 373/1976) [11], but it was low-restrictive and often unattended, due to inadequate con-
84 trols. The first effective code addressing thermal performance criteria was issued only in 1991 (Law
85 10/1991) [12], when over 80% of the current residential stock had been already built [13]. Conse-
86 quently, most of the Italian real estate is highly energy-consuming.

87 Today, a recent directive regulates the energy efficiency of new and existing buildings: the Inter-
88 ministerial Decree 26/6/2015 [14].

89 With particular reference to renovation actions, this directive classifies three levels of interven-
90 tions:

- 91 1. *relevant renovations of first level*, which involves more than 50% of the building envelope, as well
92 as the upgrade of the heating and/or cooling system;
- 93 2. *relevant renovations of second level*, which involves 25÷50% of the building envelope;
- 94 3. *energy requalification*, which involves less than 25% of the building envelope and/or the upgrade
95 of the heating and/or cooling system.

96 In case of interventions (1), the renovated building must have the same energy performance of
97 a new building. For (2) and (3) the energy performance requirements to be verified regard mainly the
98 thermal characteristics of the portion of building envelope interested by the renovation works and/or
99 the efficiency of the upgraded systems.

100 Moreover, according to the Legislative Decree 28/2011 [15], if the energy renovation involves the
101 entire envelope (external walls, windows, roof and ground slab) of buildings with a net floor area
102 over 1000 m², at least 50% of the energy demand for heating, cooling, domestic hot water (DHW) and
103 electricity must be covered by renewable energy sources (RES).

104 Finally, according to Law 90/2013 [16], from 2019 all new public buildings and from 2021 all new
105 buildings must reach the nearly zero energy building (nZEB) standard. Of course, this applies also to
106 relevant renovations of first level.

107 According with its geographic characteristics, Italy has a large variety of climatic conditions
108 (Figure 2) and so, the approach to the energy renovation problems, is very different, along the pen-
109 insula. As a simplification, in the northern regions, where the heating demand is prevailing, it is
110 necessary to highly insulate the building envelope, while in the southern ones, where conversely the
111 cooling demand is predominant, it is important to take advantage of natural ventilation, external sun-
112 shading devices and massive walls [17].

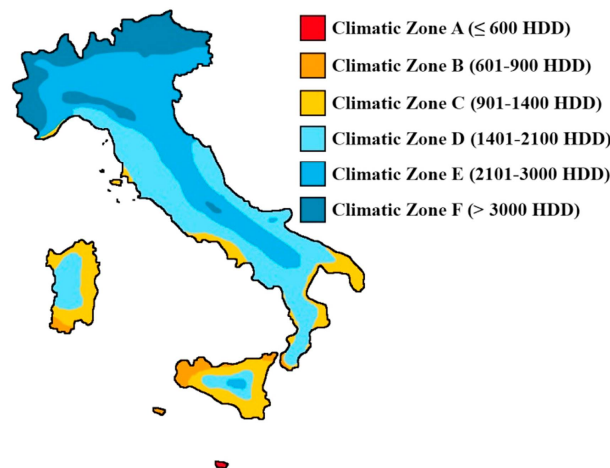


Figure 2. Italian climatic zones, according to the heating degree-days (HDD).

114 2.3. Overview of technical regulations in Romania in relationship with earthquake vulnerability

115 The seismic hazard of Romania (Figure 3) is dominated by the Vrancea intermediate depth earth-
116 quakes in south-east of the country. This source affects with high intensities ca. 50% of the territory
117 and is felt with quite important damaging effect on very large areas in neighboring countries, at each
118 strong event. Romania is a country that is periodically subject to such destructive Vrancea earth-
119 quakes, as most recently in 1940 and 1977 [18]. Other crustal (shallow) earthquakes can generate lo-
120 cally very high intensities, with a strong tendency of concentration in west and north.

121 The November 10, 1940 Vrancea earthquake had a magnitude $M_{G-R}=7.4$ (converted at present at
122 $M_w = 7.6-7.7$) with an epicentral intensity assessed as 10 MCS. In 1940, the damage was heavier in
123 counties and towns near the epicentral area, largely to masonry buildings. In Bucharest, the 12-storey
124 Carlton block, the tallest RC building in the city, collapsed entirely. After the 1940 Vrancea earth-
125 quake, earthquake resistant design codes were enacted as MLP Provisional Instructions of 1942 and
126 1945 [19].

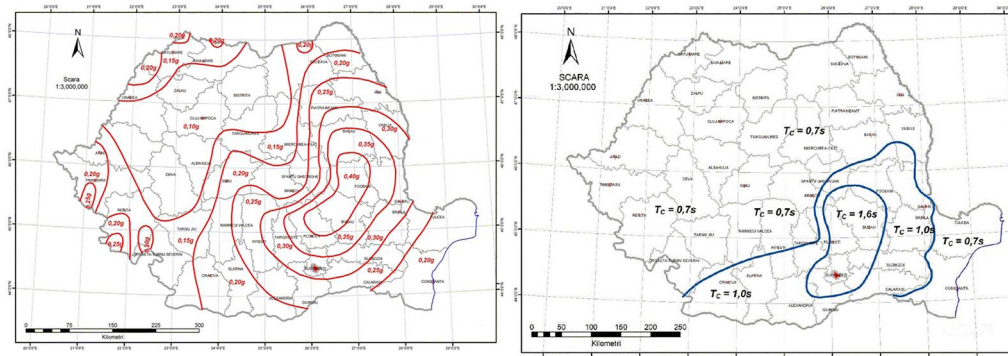
127 In 1963, the Code P.13/1963 was endorsed as compulsory regulation; it was revised in 1970. The
128 design spectrum was based on a Californian-type spectrum and seismic motions. From 1952 to 1977,
129 seismic zones and K_s factors corresponded at that time to 0.025 values in 7 grade on MSK Scale, 0.05
130 in 8 grade and 0.1 in 9 grade. Microzonation maps have been indicated as an alternative to the soil
131 conditions characterization [19].

132 The March 4, 1977 Vrancea earthquake had a magnitude $M_{G-R}=7.2$ (converted at present at
133 $M_w=7.5$) and caused damage to a large area and to a variety of buildings. The neglected damages to
134 many buildings affected in 1940 led to collapses of 28 high-rise buildings in 1977. There was a partial
135 collapse of 3 buildings erected after 1960 and damages to others. The earthquake caused the collapse
136 or serious damage of 156,000 apartments in urban areas and 21,500 apartments in rural zones; other
137 366,000 urban apartments and 117,000 rural houses had to be repaired [18-21]. According to data at
138 hand, out of the over US \$ 2 billion losses, about US \$ 1.42 billion were in construction field (buildings,
139 water supply system), out of which buildings valued US \$ 1.03 billion.

140 The INCERC seismic record of March 4, 1977 pointed out, for the first time, the spectral content
141 of long period seismic motions of Vrancea earthquakes, the duration, cycle number and higher values
142 of actual accelerations vs. code ones, with important effects of overloading upon flexible structures
143 [18-20]. As a consequence of the INCERC record, the spectral curve (the dynamic coefficient β_r), from
144 the P13-1970 Code (which became P100-78), as well as the seismic zonation map of Romanian Stand-
145 ard STAS 2923-63 have been radically changed, with increase of base shear forces. Since then, all areas
146 are seismic.

147 The new seismic design codes P100 - 1991, revised 1992, introduced a seismic zonation with two
148 maps, one in terms of seismic coefficient (related to PGA) and another in terms of corner period of
149 the design spectrum, with 3 values. The return period of the map was different in function of the
150 source type.

151 The procedures for the harmonization between national and European regulations in the field
152 of civil engineering started in Romania in the mid-1990s. Prior to its accession to the European Union
153 (on January 1, 2007), Romania has also followed tightly the programme for the adoption of Eurocodes
154 as national standards [22-24]. The Romanian Seismic Design Code P100-1/2006 has prepared the
155 adoption, starting from 2011, of the homologous Eurocode, EN 1998-1, as the Romanian standard SR
156 EN 1998-1, together with its National Annex for Romania, and has represented an essential factor in
157 the transition to European norms. The P100-1/2006 Code implements important elements of progress
158 with respect to its previous version, P100-92. The zoning map was set with a return periods of 100
159 years [22]. The P100-1/2013 Code, introduced a map with 225 years return period. Currently PGA
160 from 0.10 g to 0.40 g are compulsory by the zonation map [22]. A zonation map with 475 years return
161 period map (EC 8 level) was not yet endorsed, being considered necessary an interval for stakehold-
162 ers' adaptation.



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Figure 3. Left: The seismic zoning map of Romania (PGA) for a mean recurrence interval of 225 years and 20% exceedance probability in 50 years. Right: The seismic zoning map of Romania in terms of T_c - corner periods of the response spectrum (Code P100 – 1 /2013, UTCB [25]).

168 The Romanian code for the seismic assessment of existing buildings, P100-3/2008, includes several
169 notions and concepts from its European homologue, EN 1998-3:2005 (Eurocode 8, part 3). How-
170 ever, Code P100-3 preserves a quantitative approach, based on seismic risk indices, as in code, P100-
171 92 (chapters 11 and 12), and is based on a three-tier approach, similar to that of the ASCE standards
172 [23-24]. The relevant chapters of this code [26] are:

- 173 • Generalities; Performance requirements and qualifying criteria;
174 • Seismic assessment of structures and non-structural components (NSC);
175 • Collecting the information for structural assessment; Levels of knowledge (KL1, KL 2, KL3);
176 • Qualitative assessment; Assessment by calculation (Level 1, 2, 3); Assessment of foundations;
177 • Final assessment and conclusions;
178 • Annex A – Performance based seismic assessment of existing buildings;
179 • Annex B – Reinforced concrete structures; Annex C – Steel structures; Annex D – Masonry struc-
180 tures; Annex E – non-structural components (NSC);
181 • Annex F (informative) – Guide for seismic rehabilitation of existing buildings (for different ma-
182 terials, energy dissipation systems and base isolation).

183 2.4. Overview of technical regulations in Romania in relationship with energy performance requirements

184 Technical regulations for the calculation of the thermal protection of the building envelope have
185 been developed since 1961, with standard STAS 6472-61, revised in 1968, 1973, 1975, 1984 (when there
186 is a major change in the insulation requirements of envelope elements – by normative NP-84), 1989.

187 In 1997, the technical regulation C107-1997 was developed, based on the European and Interna-
188 tional CEN ISO standards, revised afterwards [27-29]. It introduced the calculation of the thermal
189 resistance values of the envelope elements taking into account the correction due to the effect of ther-
190 mal bridges, evaluated by the linear thermal transmittance ψ and point thermal transmittance χ (Fig-
191 ure 4).

$$R' = \frac{1}{U'} = \frac{1}{\frac{1}{R} + \frac{\sum \psi \cdot \ell}{A} + \frac{\sum \chi}{A}}$$

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193 The calculation of a global heat loss coefficient G of buildings has been introduced, whereby the
194 thermal performance of a building envelope can be assessed by imposing a GN norm ($G \leq GN$). The
195 heating energy requirement for buildings in Romania can be judged by the global thermal insulation
196 coefficient G and the average G , as follows:

- 197 • 1950 - 1985 - 1.00 W/m^3K
198 • 1986 - 1997 - 0.80 W/m^3K
199 • 1998 - 2010 - 0.55 W/m^3K

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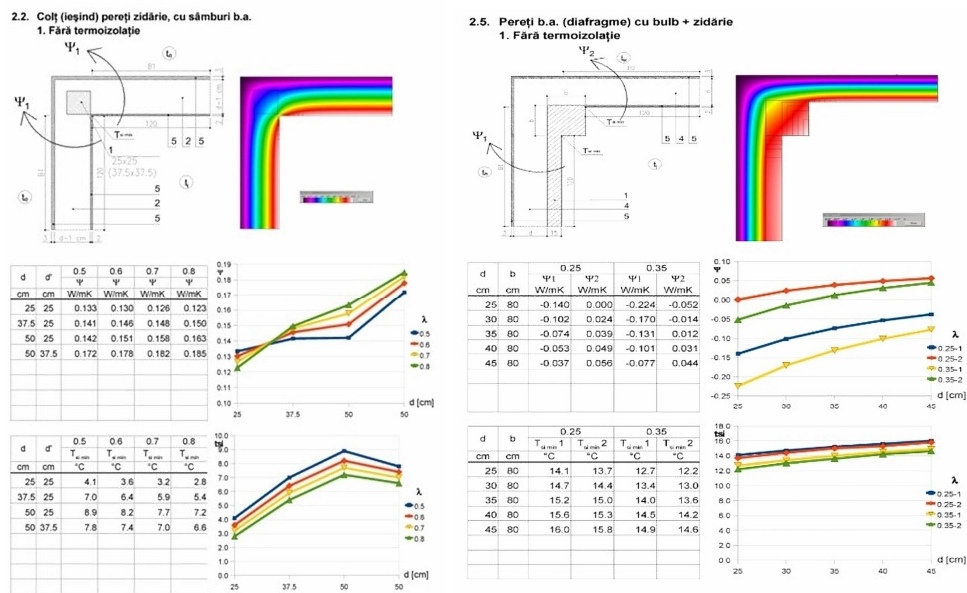
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Figure 4. Extract of a thermal bridges catalogue, showing the linear thermal transmittances ψ of a corner with an embedded, uninsulated RC member (column or shear wall) [30].

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The climate zonation map in force has 5 zones with design temperatures for Winter (from $-12\text{ }^{\circ}\text{C}$ to $-24\text{ }^{\circ}\text{C}$) (Figure 5 [31]).

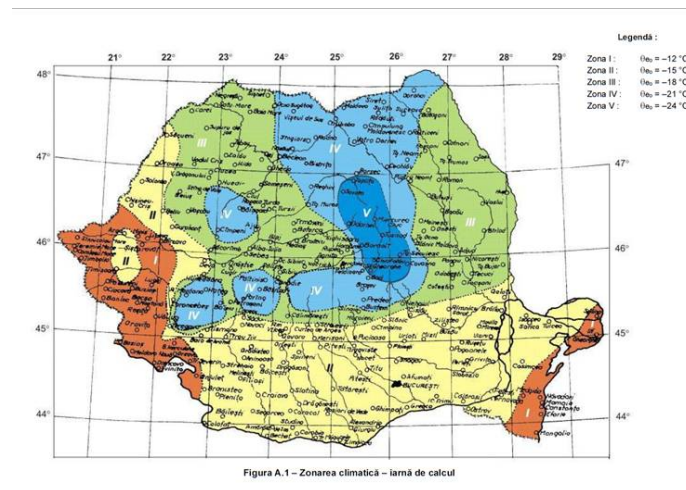


Figure 5. Climatic zonation map of Romania – Winter design temperatures [31].

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According to 2011 Census, the existing buildings stock of Romania has some 5.3 million buildings, including 8.7 million conventional dwellings. Standardized apartment blocks have a share of up to 70% of the existing housing stock in some urban areas.

Existing apartment blocks with large panel structure (over 35 % of the total number of blocks until the 1990s) that according to the level of the achieved thermal protection are divided into two categories:

- apartment blocks erected according to standard projects up to 1985 (approx. 30% of the total built stock) having a height regime predominantly 5 stories and 9 stories, having an average

218 global thermal insulation coefficient G of about $1 \text{ W}/(\text{m}^3\text{K})$ - corresponding to the average ther-
 219 mal resistances of only $0.6\text{-}0.5 \text{ m}^2\text{K}/\text{W}$, that must be prioritized from the point of view of thermal
 220 insulating level of the envelope in the framework of a general modernization action;

- 221 • apartment blocks with 5 stories and 9 stories erected after 1985 according to standard projects
 222 (about 7% of the total built stock) based on the provisions of Decree 256 and NP 15 Normative
 223 with a medium thermal resistance increased to about $0.9 \text{ m}^2\text{K}/\text{W}$, characterized by an average
 224 global thermal insulation coefficient G of about $0.8 \text{ W}/\text{m}^3\text{K}$.

225 Structures made of masonry predominate numerically in the dwelling buildings; even in Bucha-
 226 rest. Meanwhile, their number has increased throughout the country.

227 The level of thermal protection of buildings from the existing building stock corresponds, inde-
 228 pendently of the structural system used, to the specifications and exigencies imposed during each
 229 period, by the technical regulations for the calculation of the thermal performance of the envelope
 230 elements. According to each generation of the technical regulations, as well as to the technological
 231 level specific to the period, there are groups of buildings with the same level of thermal protection,
 232 regardless of the materials used to build the building envelope.

233 The share of energy consumption in the annual energy balance of an average apartment built
 234 between 1970 and 1985 is: heating energy 55.5%; DHW 9.5%; drinking water 1.4%; consumption of
 235 natural gas for the preparation of food 9.7%; electricity consumption for lighting 13.9%. Out of the
 236 annual energy consumption of a building irrespective of its destination, the heating energy and DHW
 237 production represents the main annual energy consumption of about 75%.

238 The implementation of the European Parliament's Energy Performance of Buildings Directive
 239 (EPBD 2002/29/EC, EPBD 2010/31/EC) is also being carried out in Romania in compliance with the
 240 provisions of Law no. 372/2005 modified and completed later. A methodology for calculating specific
 241 parameters of energy performance of buildings was based on several norms, (NP047/2001,
 242 NP048/2001, NP049/2001, later on incorporated in a comprehensive one, updated in 2006 [32], cur-
 243 rently under review, while a model certificate energy performance of buildings, as well as an updated
 244 referential and a methodology for regular inspection of boilers and ventilation systems and air con-
 245 ditioning were established. Some other technical guidelines for buildings thermal rehabilitation have
 246 been developed, as well as a Catalogue of thermal bridges [30].

247 For all new buildings it is already mandatory, since 2007, to present the energy performance
 248 certificate at the reception of the executed work. And for existing buildings that are being rehabili-
 249 tated, expanded or upgraded, such a certificate must be drawn up. For apartments in residential
 250 buildings, the energy performance certificate of the building is mandatory for sale-purchase or lease,
 251 from 2010. For public buildings, the energy performance certificate must be exposed at the entrance.

252 The minimum thermal resistance - R'_{\min} and thermal transmissions - U'_{\max} of the building enve-
 253 lope elements (taking into account the effect of thermal bridges), on the whole of the dwelling build-
 254 ings, designed on the basis of the design contracts concluded after 1 January 2011 [33] is presented in
 255 Table 1.

256 **Table 1.** The minimum thermal resistance - R'_{\min} and thermal transmissions - U'_{\max} of the building
 257 elements, on the whole of the dwelling buildings, designed on the basis of the design contracts con-
 258 cluded after 1 January 2011 [33].

Nr. crt.	BUILDING COMPONENTS	Residential buildings	
		R'_{\min} [$\text{m}^2\text{K}/\text{W}$]	U'_{\max} [$\text{W}/\text{m}^2\text{K}$]
1	Exterior walls (excluding glazed surfaces, including adjoining walls of open joints)	1,80	0,56
2	Exterior windows	0,77	1,30
3	Top slabs above the last level, under terraces or attics	5,00	0,20
4	Bottom slab over unheated basements and cellars	2,90	0,35
5	Walls adjacent to closed joints	1,10	0,90

6	Slabs that delimit the building at the bottom, from the outside (in the bow-windows, passage gangs, etc.)	4,50	0,22
7	Slabs on the ground (over ground level)	4,50	0,22
8	Slabs at the bottom of heated semi-basement or basements (under ground level)	4,80	0,21
9	External walls, under ground level, of heated semi-basement or basements (under ground level)	2,90	0,35

259 The Energy Performance of Buildings Directive, issued in 2002 and revised in 2010 (EPBD
260 2010/31/EC), and the European Directive on the use of RES (RESD 2009/28/EC), were the basis for the
261 drafting of country strategies and government policies, transposed into national laws. The National
262 Plan [34], includes the long-term energy efficiency strategy at national level, based on a series of laws
263 and regulations, which establishes the contribution of the state, the local administration and the own-
264 ers and specifies the content of the projects and the eligible intervention works.

265 The definition of nZEB in Romania was detailed by the MDRAP Order 386/2016 by officially
266 specifying the performance levels in terms of the maximum admissible level of primary energy from
267 fossil sources and of CO₂ emissions resulting from the operation of buildings – by building types and
268 winter climate zones in Romania (Figure 5). The levels will be applied mandatory for all new build-
269 ings starting from 2021. The maximum allowed value of the primary energy use (thermal and electric
270 energy supply processes), determined by cost optimal calculations based on reference buildings vary
271 according to the winter climate zoning of Romania (values between brackets correspond to the aver-
272 age climate zone for Romania): 98 to 217 (111) kWh/m²yr for single-family residential buildings, 93
273 to 135 (100) kWh/m²yr for multi-family apartment buildings, 45 to 89 (57) kWh/m²yr for office build-
274 ings. In order to ensure the total energy use of a nZEB, energy from RES shall account for at least 10%
275 of the total calculated primary energy of the building.

276 As intermediary performance values until the enforcement of nZEB obligations for new build-
277 ings, the MDRAPFE Order No. 2641/2017 recently established (for the first time in Romania) mini-
278 mum requirements in terms of maximum primary energy consumption for heating (only). The limits
279 (max primary energy for heating in kWh/m²yr) vary from 60 for office buildings to 117 (large resi-
280 dential), 149 (hospital) and 153 (small residential). This time, the requirements are applied both for
281 newly built and existing buildings undergoing major renovation.

282 3. Seismic resistance assessment and structural strengthening

283 3.1. Italian relevant seismic codes and expertise on seismic strengthening of the existing building stock

284 The identification of the structural system is of paramount importance for a proper assessment
285 of the structure and for the design of retrofit interventions. In fact, usually designers do not know the
286 mechanical features of the materials, size and arrangement of the structural members, and quality of
287 structural detailing. Hence, information on these aspects have to be collected from the available doc-
288 umentation, analysis of the codes in force at the time of construction, field investigations and in-situ
289 and/or laboratory measurements. Based on the completeness and reliability of the collected infor-
290 mation, the structure is assigned to one of three “knowledge levels”: limited knowledge (KL1), nor-
291 mal knowledge (KL2), and full knowledge (KL3). The knowledge level of the structure determines
292 the method of analysis that can be used for the evaluation of the structural response and the values
293 to be adopted for the confidence factors [35] in the safety verifications.

294 Linear or nonlinear methods of analysis can be used for the evaluation of the seismic response
295 of the structure. The choice depends on the achieved knowledge level of the structure. Linear meth-
296 ods of analysis (Lateral Force Analysis and Multi-modal Response Spectrum Analysis) must be used
297 for knowledge level KL1, while nonlinear methods (Nonlinear Static Analysis [36-37] and Nonlinear
298 Time-History Analysis [38-40]) may be used if the knowledge level achieved by means of the prelim-
299 inarily inspection of the structure is KL2 or KL3. Since the collapse mechanism of an existing structure
300 is not known *a priori*, any member may yield and there is no distinction between dissipative and non-
301 dissipative members. Hence, nonlinear methods of analysis, which are able to detect the collapse

302 mechanism and predict the inelastic demand of the members explicitly, should be preferred to the
303 linear ones when applicable.

304 Criteria for safety verification are given separately for RC, steel, composite, and masonry struc-
305 tures. Furthermore, for each type of structure, the Italian code provides two sets of criteria: the first
306 set applies if the seismic response to be assessed has been determined by linear methods of analysis,
307 whereas the second one is used in combination with nonlinear methods of analysis. Criteria for linear
308 methods of analysis are rather conservative to compensate for the low level of accuracy of these meth-
309 ods. Furthermore, the conservatism of the criteria for safety verification is also controlled by the
310 values of the confidence factors, which modify the strength of the members to be considered in the
311 verification. A lower knowledge level means a higher degree of uncertainty of the features of the
312 structure, which is compensated by the use of larger values of confidence factors.

313 If the seismic response of the structure does not fulfil the standard required by the code, the gap
314 should be filled by seismic upgrading [41]. Many strategies may be embraced to pursue this objective.
315 The most classical way is to increase the strength and/or ductility capacity of the structure at global
316 or local level. For instance, the (global) lateral strength of the structure can be increased by adding
317 new seismic-resistant elements, e.g. RC shear walls or steel braced frames. The new resisting elements
318 should be properly connected to the existing structure and stiff enough to draw part of the seismic
319 force. Alternatively, the strength can be increased locally by interventions on individual structural
320 elements; e.g. concrete or steel jacketing [42] as well as FRP plating and wrapping [43] can be used to
321 improve the flexural and/or shear strength of RC members. Furthermore, these interventions also
322 allow the enhancement of the ductility capacity of RC members through the confinement of concrete.
323 An alternative retrofitting solution is to reduce the seismic demand of the structure by base isolation
324 [44-47]. First, columns are cut off from foundation; then isolators are installed between column bases
325 and foundation. These measures elongate the fundamental period of the structure and thus drasti-
326 cally reduce the seismic force on the structure. This strategy is very effective, but cannot be used
327 when the building to be upgraded is contiguous with other buildings. Furthermore, its effectiveness
328 decreases with the aspect ratio. Seismic demand can also be reduced by using dampers [48]. Many
329 kinds of dampers (hysteretic, viscous, viscoelastic, etc.) [49-53] are available on the market and can
330 be embedded in the structure [54-56] or inserted between the structure to be retrofitted and an exter-
331 nal reaction structure [57]. Dampers dissipate part of the input energy provided by the earthquake,
332 thereby reducing the displacement demand of the structure. As an example, Figures 6 and 7 show
333 two retrofit interventions on schools in Italy. In particular, Figure 6 shows the retrofit intervention
334 carried out at the school Cappuccini located in Ramacca at about 50 kilometres from Catania by
335 means of buckling restrained braces (BRBs). The school was condemned owing to a severe crack pat-
336 tern present in the non-structural elements after the earthquake that stroke the eastern part of Sicily
337 in 2002. The building was built in the 1970s and endowed with RC moment resisting frames designed
338 for gravity loads only. The BRBs were inserted in the early 2000s to reduce the seismic action effects
339 on the existing structure and dissipate part of the input seismic energy. The BRBs were inserted
340 within some frames located in the central part of the building. Figure 7 instead shows the retrofit
341 intervention carried out at the school Gentile-Fermi located in Fabriano at about 70 kilometres from
342 Ancona by means of viscoelastic dampers [58]. The building was built in the 1950s and endowed with
343 RC moment resisting frames designed for gravity loads only. The school was condemned after an
344 earthquake occurred in 1997. Like the previous structure, that of the school Gentile-Fermi had insuf-
345 ficient resistance to seismic actions and insufficient local and global ductility. Viscoelastic dampers
346 were chosen to dissipate part of the seismic input energy and limit the increase of the lateral stiffness
347 consequent to the introduction of braces. To reduce the interruption of the functionality of the con-
348 struction, the viscoelastic dampers were inserted within some frames located on the perimeter of the
349 building.

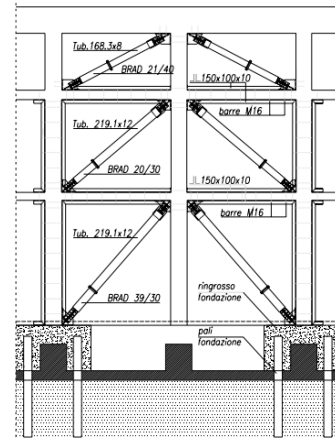


Figure 6. Retrofit intervention by means of BRBs in the school Cappuccini in Ramacca (Catania).



Figure 7. Retrofit intervention by means of viscoelastic dampers in the school Gentile-Fermi in Fabriano (Ancona) [58].

350 The retrofit intervention is selected based on the analysis of the structural deficiencies. Often,
 351 two or more techniques are combined together to achieve the seismic upgrading of the building [59-
 352 66]. The great variety of techniques and the need to combine them together represent a further source
 353 of difficulty with respect to the case of new structures, for which the designer needs to select just one
 354 structural type among a limited number. As an example of a retrofit intervention in which more tech-
 355 niques are combined, Figure 8 shows the retrofit intervention carried out at the school Varano located
 356 in Camerino at about 30 kilometers from Macerata by means of rigid rocking towers and viscous
 357 dampers [67]. The school was built in the 1960s and consists of two separate constructions. Both are
 358 endowed of reinforced concrete framed structures. The retrofit intervention was completed in 2012
 359 (in about 7 months) without interruption of the school activities. The intervention aimed at dissipat-
 360 ing a large amount of energy by means of the viscous dampers at the base of the towers and leave the
 361 RC structural elements to be elastic under moderate intensity earthquakes. The two steel braced tow-
 362 ers were connected to the decks by means of steel trusses.
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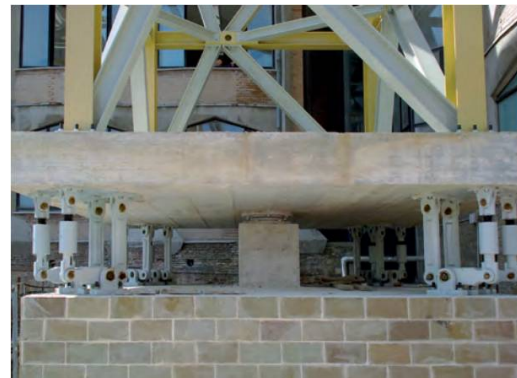


Figure 8. Retrofit intervention by means of dissipative towers and viscous dampers in Camerino (Macerata) [67].

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The regulations given in the code are mostly for traditional retrofit interventions, while innovative techniques are not covered by code provisions. This is a gap in the code that will be hopefully filled in the future. Researches devoted to standardize the way of application of these techniques for seismic upgrading of structures and to formulate design methods of retrofit intervention able to achieve the performance objectives stipulated in the Italian code are of paramount importance. This research activity can create the background for the new generation of building codes and make innovative technique immediately available. In fact, the Italian building code has been developed in a performance-based framework. This allows the use of techniques and design methods that ensure the minimum level of structural safety required by the code, even if these techniques are not explicitly considered in the code.

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3.2. Romanian relevant seismic codes and expertise on seismic strengthening of the existing building stock

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The experience of 1977 Vrancea earthquake is relevant for the situation of existing built stock in terms of features, vulnerability and risk. The behavior of some of the old tall buildings in 1977, which was the most heavily affected category, may be understood in connection with some features of their urban and architectural planning, of their quality of construction works, of their history after 1940, overloading, maintenance and intervention of man until 1977. The old, relatively low and stiff, bearing masonry buildings (Figure 9) have shown, as a rule, a better performance, especially in Bucharest and collapses were noticed in isolated cases. The spectral specific of strong motion was an important factor of overloading or reduced loading [18-19].



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Figure 9. Low-rise and mid-rise masonry buildings, after some 80-100 years.

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The new apartment buildings, built after 1950 (Figure 10), present a wide diversity of architectural planning and of structural solutions, with many solutions used in standardized design for low-rise buildings (up to 5 stories) and high-rise buildings (8 to 18 stories, the most frequent being that of 10-11 stories).

Before 1990, various construction technologies and structural systems, included prefabrication and industrialized forms for cast-in-place concrete. The large panel standardized apartment blocks represented an increasingly important share of the new construction. The performance of these buildings was good or fair in almost all zones for five-story as well as for eight-or nine-story buildings. It is important to say that most of IPCT solutions were tested in INCERC.

The cast-in-place, reinforced concrete, shear wall buildings that present the greatest share among the structural solutions in seismic zones, especially for high-rise buildings, have shown various behavior patterns, depending on their overall number of stories, on the quality of workmanship and

402 structural solution, as well as on the intensity of shaking. Under such circumstances, five-story build-
 403 ings have shown a good or fair behavior, independent of the structural solution adopted (smaller or
 404 large intervals between shear walls).

405 The new reinforced concrete framed structures, with five or eleven to twelve stories, for which
 406 a regular pattern of columns and beams has been provided, have shown generally a much better
 407 performance than old buildings (pre-1940) with reinforced concrete framed structures, for which the
 408 place of columns has been an irregular one.

409 After March 4, 1977, the specialists of INCERC, as well as the great number of civil engineers
 410 existing in 1977 in numerous design institutes provided immediate technical guidelines for repair
 411 and strengthening. But on March 30, 1977 the Government of that time ordered that the existing
 412 structures be maintained or rehabilitated, nominally, at the initial strength level. On July 4, 1977 it
 413 was ordered to make only local repairs. Thus, political orders left Bucharest with a large stock of
 414 high-occupancy, high-rise residential buildings that have been damaged by the 1977 (and possibly
 415 the 1940) Vrancea earthquake. Most of these buildings, still in use, represent at significant risk from
 416 future Vrancea earthquakes [21].

417 The new seismic design codes P100 - 1991, revised 1992 and 1997, introduced in chapters 11 and
 418 12 the obligation to evaluate buildings and indicate classes of risk, as it is also in Code P100-3/2008,
 419 in force, and, if required, to rehabilitate the existing buildings, with some public financing. Buildings
 420 of first class of risk are labeled with a red dot.

421 By Law, i.e. Government Ordinance on Existing Buildings Risk Reduction [68], evaluation of
 422 residential buildings resistance (in terms of Code P100-92, later on in Code P100-3/2008) was pro-
 423 vided for free, while for design and strengthening works the owner may receive a bank credit at 5%
 424 interest up to 20 years, paid by Government; the apartment owners in buildings of first class of risk,
 425 with an income under the country average, may receive full subsidies.
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429 **Figure 10.** High-rise apartment building, with RC columns and beams, infilled with masonry, erected be-
 430 fore 1940. Left side – a building without visible strengthening or renovation. Right side: with local repair, i.e.
 431 limited and inadequate jacketing of columns, after March 4, 1977 earthquake
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434 For pre-1940 high-rise buildings (Figure 11), conceived without seismic design, the strengthen-
 435 ing means a rather general jacketing of existing frames, from foundations to the top, to become mo-
 436 ment-resisting ones, ductile and able to withstand lateral forces. This implies local or general evacu-
 437 ation and relocation of occupants for 1 to 2 years. For other 1950-1977 structural types, designed for
 438 lower seismic loads, interventions may be on some specific members or zones, or on several stories.
 439 In such cases, some advanced techniques, as frame bracing can be applied, with less need of evacua-
 440 tion.



Figure 11. High-rise apartment building erected in the 1970s, having commercial spaces at ground-floor, with visible damages from March 4, 1977 earthquake, before renovation

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445 4. Current technologies for energy efficiency

446 4.1. Current technologies for energy efficiency

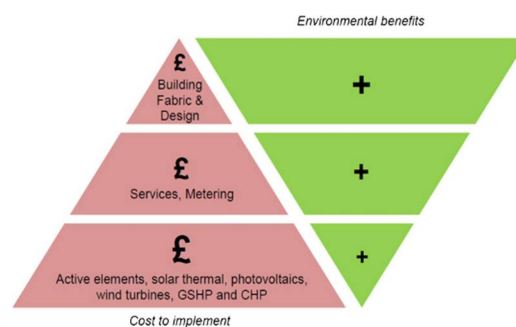
447 The current retrofit technologies used in Italy for enhancing the energy efficiency of buildings
448 can be categorized into three main categories:

- 449 (i) heating and cooling demand reduction;
- 450 (ii) upgrade of the Heating, Ventilating and Air Conditioning (HVAC) equipment;
- 451 (iii) installation of RES technologies.

452 To category (i) belong all the interventions that involve the building fabric: envelope insulation
453 (roof, wall, ground floor) [69], windows retrofits (thermal-break frames, multiple glazing, inert gas
454 filling, low-emission coatings, external sun-shading systems, etc.), cool roofs and coating, and in-
455 creased air tightness. To this group one may also add bioclimatic technologies for exploiting natural
456 resources: solar radiation, natural ventilation, evaporative cooling, etc.

457 Category (ii) includes mostly the improvement of the heating and cooling systems, e.g. by in-
458 stallling high efficiency heat pumps, biomass boilers, geothermal power systems, etc.

459 Finally, category (iii) embraces the integration of different RES systems, such as solar thermal
460 (ST) collectors, photovoltaic (PV) or PV/T panels, wind power micro-turbines, etc. [70-73].



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Figure 12. Intervention cost versus environmental benefits [74].

In case of relevant renovations of first level (see Section 2.2.), from 2019 or 2021 in Italy it will be necessary to reach the nZEB standard. In this case further strategies should be necessary in some cases, such as the integration into the building envelope of Phase Change Materials (PCM), the use of low conductivity insulation materials (e.g. aerogel, vacuum insulated panels), as well as the use of Building Energy Management Systems (BEMS) [75-78], i.e. computer-based control devices that su-

468 pervise and monitor the mechanical and electrical equipment (e.g. HVAC, RES, household appli-
469 ances, lighting and power systems) [79-80], according to comfort requirements, occupancy regimes,
470 energy demand and current electricity price.

471 For each renovation intervention, the implementation cost and the potential benefits are differ-
472 ent. Figure 12 shows the intervention costs versus environmental benefits (reduction of CO₂ emis-
473 sion). It can be observed, that the installation of RES systems may require high investment costs and
474 low environmental benefits. This is mostly due to the high environmental impact of the disposal of
475 some RES systems (e.g. PV, PV/T).

476 In Romania, the lack of insufficiency of the thermal insulation of the existing buildings compared
477 to the requirements stipulated in the current thermal regulations is added to the limited seismic re-
478 sistance of some structural types, as well as a state of degradation of the built part or an advanced
479 wear of the installations. Therefore, many of the buildings requiring energy rehabilitation also need
480 the assessment of the structural resistance and of strengthening scenarios.

481 The implementation of the Energy Performance Building Directive (2002/91/CE followed by the
482 recast version 2010/31/UE) in Romania, has determined an upgrading of the minimum standards of
483 energy performance of the buildings. It was introduced a methodology for energy balance calculation
484 and an energy performance certificate, both for new and for existing buildings at their rehabilitation
485 moment (Figure 13). Special norms for the inspection of the heating, cooling and ventilation devices
486 were elaborated. Several successive National Programs for the rehabilitation/modernization of the
487 multi-story residential buildings were applied in the last decades. Currently, the attention is directed
488 to public buildings rehabilitation and certification.

489 As for the building envelope (opaque components and fenestration), till now, it was applied
490 additional thermal insulation layers using polystyrene or mineral wool plates with thermal conduc-
491 tivity (λ) between 0.030 and 0.045 W/mK (on external walls, roofs, ground slab), in many apartment
492 blocks built during 1950-1990. Maximal values of the thermal transmittance U, for external walls,
493 were $U' = 0.70$ W/m²K till 2010 and then $U' = 0.55$ W/m²K, taking into account the effect of thermal
494 bridges for each envelope element.

495 The old types of windows (with wood frames and double glass without any coating) were re-
496 placed, in retrofitting programs, with high efficiency double glazing windows with low emissivity
497 coatings, tinted and/or gas filled, having especially PVC frames ($U = 2$ W/m²K till 2010 and since 2011
498 $U = 1.3$ W/m²K). In the last 2-3 years there are provided windows with triple glazing and low emis-
499 sivity coatings having $U = 1.1$ W/m²K.

500 With the implementation of the first projects under the National Rehabilitation Program of the
501 Housing Blocks - Condominiums, coordinated and funded by MDRAPFE and the Local Councils of
502 City Halls, a number of new issues emerged.

503 The choice of technical and architectural solutions to improve the thermal performance of verti-
504 cal envelopes must be done, in the future, using the optimal cost method and taking into account and
505 controlling all important aspects.

506 The new approaches, which can be effectively adopted both in Italy and in Romania, are as fol-
507 lows:

- 508 • Ventilated facades (opaque ventilated faades, double skin glass faades, hybrid faades -
509 wall/glass) were provided only for special buildings (offices, hospitals, public buildings, etc.)
510 due to their initial high cost. The curtain walls using special glass were used for office buildings.
- 511 • Green walls and green roofs were used sometimes. Solar shading devices – external or internal,
512 were provided without a detailed analysis. Passive solar energy systems like solar greenhouse
513 were studied and provided in some cases.
- 514 • Active solar energy systems as PV panels, ST collectors and mixed systems were provided on
515 some demonstration buildings, but Building Integrated Photovoltaics (BIPV) in building enve-
516 lopes are not usual, although used in pilot buildings. Acoustic performance for the external ther-
517 mal insulating systems is under study.

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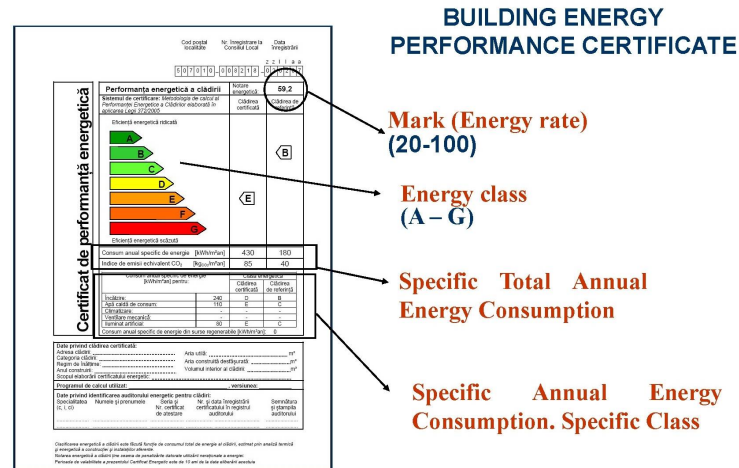
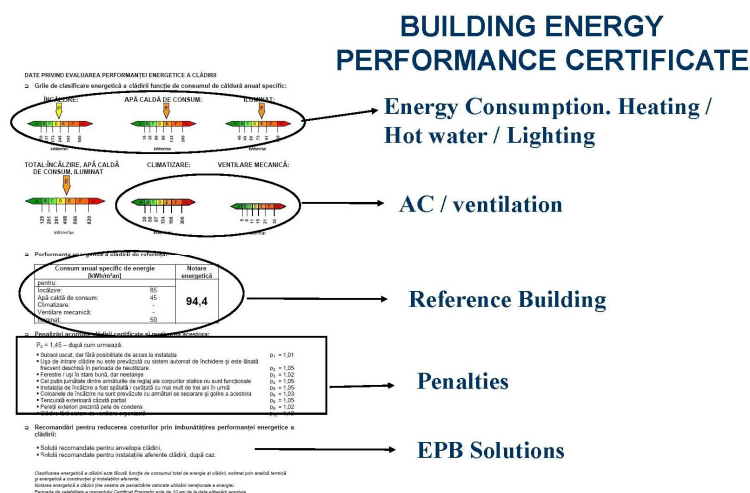
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Figure 13. Content of the Romanian Building Energy Performance Certificate [32].

525 For roofs (flat or sloped), technologies to improve ventilation (single or double ventilation layers
526 for sloped roofs), passive cooling (cool roofs), thermal inertia and waterproof (green roofs or cool
527 roofs), RES use, etc., must be provided

528 In Figures 14-15 some of the main solutions for thermal energy renovation are presented. The
529 legend is common for the 3 figures and the relative numbers indicate: 1 - external wall, possibly plas-
530 tered; 2 - efficient thermal insulation layer (EPS, mineral wool, etc.); 3 - insulation protection layer
531 (mineral additives mortar, with fiber glass reinforcement); 4 - thin external finishing; 5 - protective
532 layer against wind; 6 - ventilated layer; 7 – external cladding with closed joints; 8 – damp-proof
533 course; 9 - interior gypsum boards / dry plastering.

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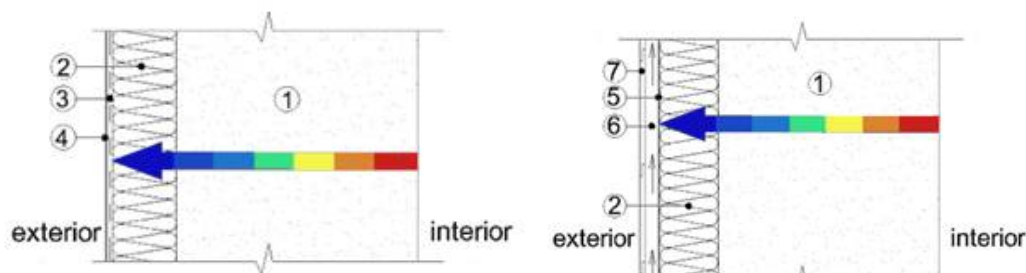
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Figure 14. Main solutions for thermal energy renovation of external walls in current field, with external insulation. Left: “ETICS” composite compact structure with protection layer of thin rendering with fiberglass reinforcement. Right: ventilated layer structure with protection layer and external cladding fixed trough a metallic frame [30].

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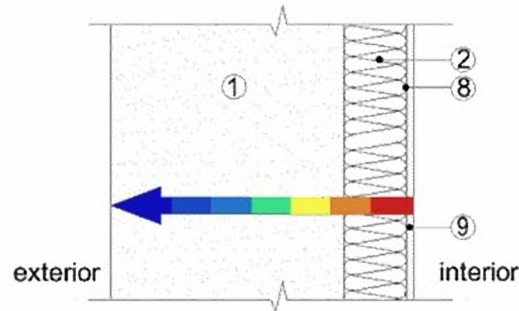


Figure 15. Main solutions for thermal energy renovation of external walls in current field, with internal insulation and finishing of gypsum boards [30].

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For the future buildings (nZEB), the most promising and interesting insulating materials are: Aerogel, PCM, TIM (Transparent Insulation Materials), VIP (Vacuum Insulating Panels), organic materials (cork, sheep-wool, etc.), high efficiency windows.

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In Romania, the nZEB concept does not seem to be easily applicable yet, in particular in the case of the renovation of existing buildings [82]. Besides the required investments and optimal integration of the technologies suitable for the construction and/or renovation of buildings at nZEB level, one of the main barriers for this consists in the skills gaps experienced by the building sector.

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Some projects [81, 83-85] approach this barrier by developing a roadmap for construction workforce qualification to achieve the sustainable energy policy objectives set for Romania for 2020. Thanks to them, mechanisms to supporting the national implementation of large-scale and long-term qualification schemes for thermal insulation systems and high thermal performances windows installers are defined (Figure 16).

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Figure 16. Practical training facility for nZEB in the Building Knowledge Hub (Bucharest).

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Aspects such as the arrangement of the ventilation of the spaces in order to obtain adequate indoor air quality, the repair of the sidewalks, the removal of moisture and mold, the rehabilitation of the waterproofing, the modernization of the balconies and loggias were subsequently explicitly included in the current legislation. The arrangement of extensions and mansard spaces is of interest to a number of investors. The approach aims to provide RES, in order to achieve the cost-optimal

567 energy performance of a building or, rather, of a district of buildings and also the highest indoor
568 comfort by a good thermal insulation, restricting the heating load, the use of air conditioning units
569 and artificial lights.

570 4.3 Common practice and current projects of energy renovation in Romania

571 The compound Prietenia of Sfantu Gheorghe City, consisting of 18 apartment buildings of five
572 stories made of large panels, with 410 apartments, was under energy renovation from 2008 to 2009
573 (Figure 17-20). The project was done with the consultancy of UAUIM and IPCT Instalatii, in an inte-
574 grated approach, to address also the architectural and landscape image as local urban issues.

575 The Prietenia Project allowed an energy reduction of ca. 60%, and for this goal the following
576 solutions and technologies have been applied:

- 577 - for terrace - EPS 120 of 16 cm thickness;
 - 578 - for external walls – EPS 80 of 10 cm thickness (XPS 8 cm at socle);
 - 579 - for slab over basement – EPS 70 of 8 cm thickness;
 - 580 - for internal walls and slabs of entrance hall EPS 80 of 10 cm thickness;
 - 581 - thermostatic valves and mixing water faucets, with reduced consumption.
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Figure 17. The apartment buildings before renovation, Prietenia compound, Sfantu Gheorghe.



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Figure 18. The apartment buildings under renovation, Prietenia compound, Sfantu Gheorghe.



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590 **Figure 19.** The apartment buildings under renovation, Prietenia compound, Sfantu Gheorghe. Community
 591 members were able to choose the colors of renovated facades.
 592



593 **Figure 20.** The apartment buildings and adjacent spaces, including playing grounds for children, at the end of
 594 renovation, Prietenia compound, Sfantu Gheorghe.
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597 The mass renovation programs in Bucharest (Figure 21-25) and other large cities were quite successful
 598 and popular in the view of communities, especially because and when the cost was fully supported
 599 by local authorities or from European funds. However, from the point of view of architectural and
 600 technical quality the high speed of works and the lack of workers training caused some critics.
 601



602 **Figure 21.** Large high-rise apartment buildings in Bucharest, erected in the 1970s, before and after energy ren-
 603 ovation.
 604
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606 It is worth to mention that the shear wall structural types of 1970s, although designed to forces lower
 607 than current code, behaved satisfactorily in 1977 earthquake, and thus they were included in energy
 608 renovation projects without other structural upgrading.
 609



610 **Figure 22.** Large high-rise apartment building in Bucharest, erected in the 1970s, during energy renovation.
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Figure 23. Large high-rise apartment building in Bucharest, erected in the 1970s, after energy renovation.

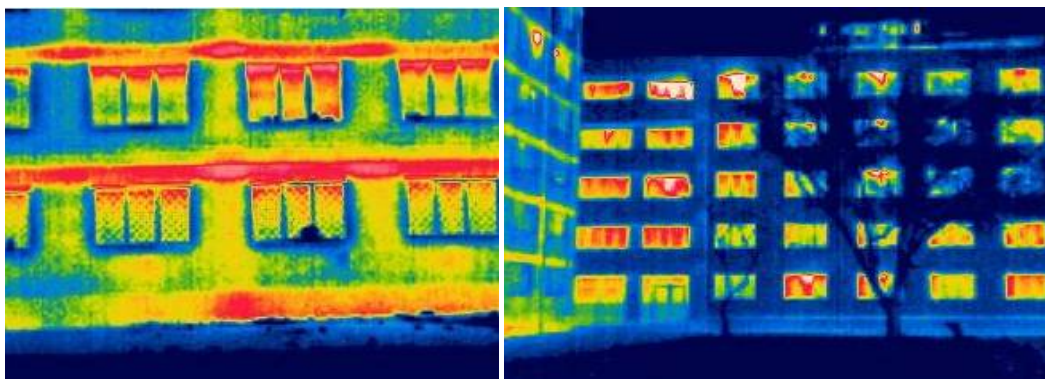


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Figure 24. The UTCB Lacul Tei Students Dormitory building after energy renovation (2007). The first public building with displayed Energy Performance Certificate.

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624 **Figure 25.** The UTCB Lacul Tei Students Dormitory building. IR thermography images before and after
 625 energy renovation (2007).
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627 Based on the JRC study, Romania has one of the 10 exemplary Renovation Strategies (as required
 628 art. 4 of the Directive 2012/27/EU), ranked the 3rd at EU level, mainly for having detailed estimations,
 629 4 scenarios, multiple benefits assessed, cost benefit analysis. The biggest source of funding for energy
 630 efficiency comes from EU Cohesion Policy Funds, while between 2014 and 2020, Romania intends to
 631 allocate more than €1.25 billion to building renovation of residential and public building. The major-
 632 ity of the funds will be used as grants for the building owner/association, covering (some of) the cost
 633 of the thermal renovations. However, deep renovations rate remains among the lowest in Europe,
 634 while the energy renovation of individual houses is not effectively supported by public funding nor
 635 stimulated by actual incentives. Moreover, the energy performance level of current deep renovation
 636 is far from the nZEB levels both in terms of design specifications and performance of works (limited
 637 insulation, attention to thermal bridges, no mandatory airtightness levels or mechanical ventilation
 638 with heat recovery, etc.). Nevertheless, minimum requirements in terms of maximum primary energy
 639 use for space heating are in force for major renovation of existing buildings since 2017. One could
 640 envisage that this is a first step towards building renovation at nZEB levels in Romania, still regula-
 641 tion has to be improved, nZEB technology market growth has to be stimulated and private invest-
 642 ments have to be attracted by innovative and sustained communication campaign along the public
 643 funding energy renovation programs applied for demonstration buildings.

644 4.4 Common practice and current projects of energy renovation in Italy

645 The requalification of the multistory reinforced concrete buildings is one of the harvest achieve-
 646 ment, according with their peculiarity [86]. Recently, has been realized a simulation to verify the
 647 possibilities to transform this kind of buildings in nZEB, with especial attention to the Southern part
 648 of the country. The target of this simulation is to contain the Pay Back Time into the limit suggested
 649 by UE, i.e. 7 years [87]. To get this aim has been defined the best economic way for the insulation of
 650 the envelope (both opaque and transparent) and for the integration of PV panels in the building fa-
 651 çade (Figure 26). This approach solve a relevant problem related to the energy requalification of the
 652 apartment blocks, i.e. the limited horizontal surfaces available to locate the RES devices.

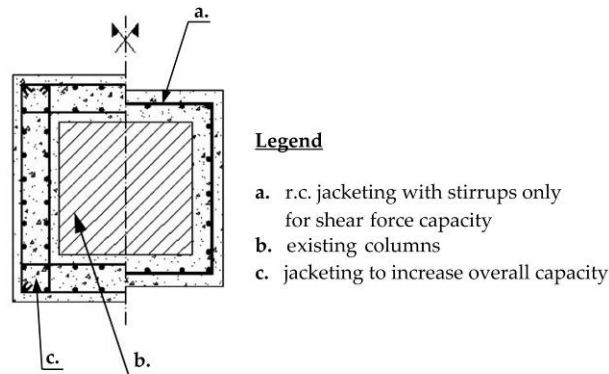


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654 **Figure 26.** Transformation plan in N-zeb of a high-rise building in Librino - Catania [87].

655 **5. Seismic vs energy renovation: technical solutions, between opportunities and constraints**

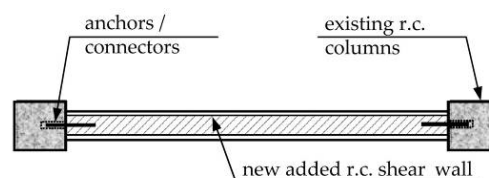
656 In Italy and Romania, a large number of RC structures need seismic strengthening. While for
 657 some recent generations the base isolation and bracing is possible and feasible, for most of cases a
 658 considerable amount of new members and concrete is required. Many traditional techniques are
 659 available and provisions that regulate their use are given in the relevant parts of the Italian [6-8],
 660 Rumanian [26] and European [9] codes. Some examples of possible solutions are presented below,
 661 along with comments on their implications on the energy renovation solutions.
 662 Figure 27 shows the strengthening of columns by concrete jackets. The concrete cover added to most
 663 of columns involves also the cutting and/or removal of some envelope material. The final design must
 664 take into account the adequate detailing and calculation in order to ensure a continuous thermal in-
 665 sulation for control of thermal bridges impact on performances.



666 **Figure 27.** Strengthening solution for existing columns, using concrete jacketing (adapted after [25]).

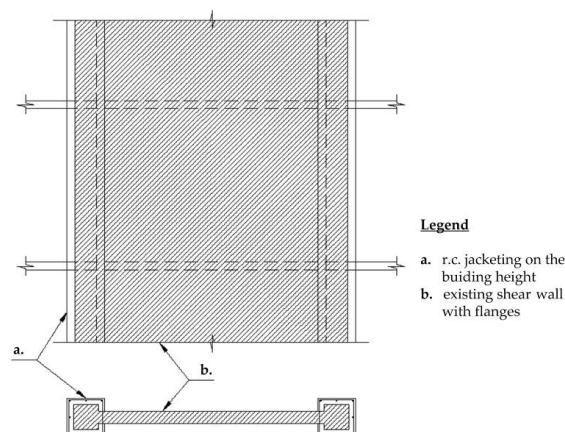
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In Figure 28 the new shear wall, when and if it is added at exterior, will change completely the
 envelope thermal parameters therefore the energy renovation design shall take into account the new
 details and thermal transmittance values. In Figures 29-30 the jacketing of shear walls is necessary on
 the edges. In case of external walls, the need of special care for energy renovation detailing may be
 limited to those areas.



675 **Figure 28.** Strengthening solution using new structural walls, as shear walls (adapted after [25]).

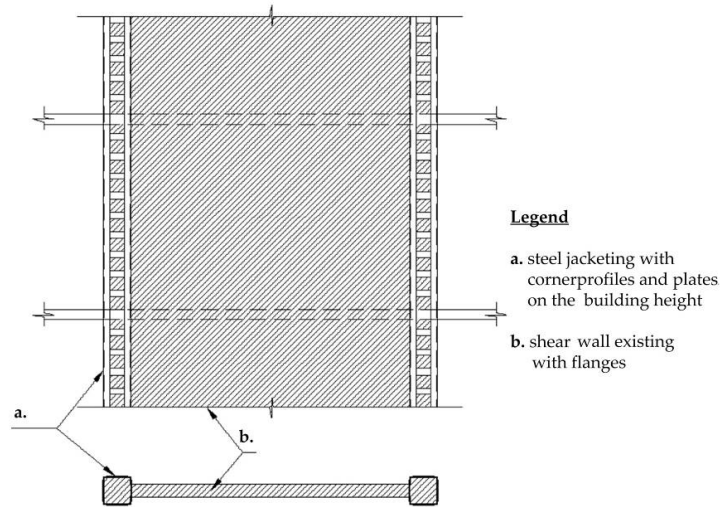
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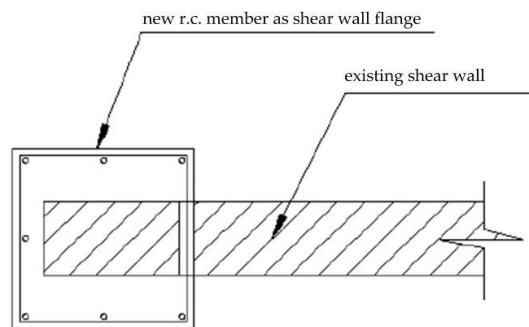
Figure 29. Strengthening solution for structural walls, with RC jacketing interventions on the edges (adapted after [25]).



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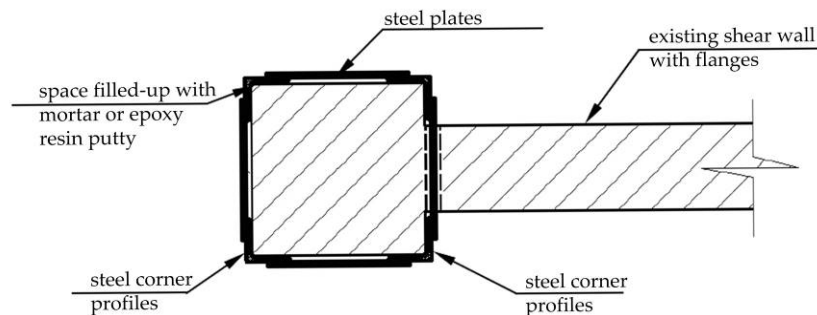
Figure 30. Strengthening solution for structural walls, with steel jacketing interventions on the edges (adapted after [25]).

688 However, when looking in details of such solutions, as in Figure 31, the building of a new and
689 greater flange-column of a shear wall also changes the envelope situation, with the need of careful
690 thermal bridges analysis. In Figure 32, the renovation with steel elements is much easier to apply, but
691 steel has a greater heat transfer capacity and also changes the envelope situation, with the need of
692 careful thermal bridges analysis.
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Figure 31. Detail of strengthening solution for structural walls, with RC jacketing interventions on the edges (adapted after [25]).



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700 **Figure 32.** Detail of strengthening solution for structural walls, with steel jacketing interventions on the
701 edges (adapted after [25]).
702

703 The examples herein presented point out that many solutions are available in literature to up-
704 grade existing structures by enhancing its stiffness, strength and ductility capacity. However, these
705 interventions may have a negative impact on the thermal performance of the building, thus requiring
706 additional measures. On the other hand, any intervention devoted only to the energy requalification
707 of RC buildings could be nullified by the effect of the earthquake if the building is not seismic-re-
708 sistant. Based on this consideration, existing buildings should always be assessed in terms of both
709 seismic and energy deficiencies and the new challenge will be to ideate, design and realize interven-
710 tions that integrate seismic upgrading and energy renovation. An example that fits well this philos-
711 ophy is the intervention by Takeuchi et al. [88-89] on the Midorigaoka-1st building of Tokyo Institute
712 of Technology, a 6-story RC building designed in 1966 before the revision of Building Code of Japan
713 in 1971. The main deficiency of the structure was the low ductility capacity of the columns. Further-
714 more, the thermal performance of the building envelope did not satisfy the current standard in Japan.
715 The solution proposed by Takeuchi et al. is an integrated facade that includes glasses, louvers and a
716 steel BRB frame (Figure 33). This multi-skin exoskeleton improves both the seismic and the thermal
717 performance of the building. In particular, the steel frame equipped with BRBs is firmly attached to
718 the ground and to the building façade. In occurrence of ground motions, the BRBs act as hysteretic
719 dampers, yield and absorb input seismic energy before that the RC structure is damaged, thus reduc-
720 ing the drifts and protecting the structure. The system of glasses and louvers properly oriented can
721 mitigate the inner temperature both in summer and winter and reduce the consumption of energy
722 needed for heating and refreshing, respectively.
723



724 **Figure 33.** Midorigaoka-1st building after retrofit [89].

725 There are also some recent and interesting research works that propose and/or assess combined
726 seismic ad energy renovation scenarios for recent buildings. For instance, Leone and Zuccaro [90]
727 have developed, within the EU-FP7 CRISMA project, a multi-criteria decision support system to se-
728 lect the optimal integrated retrofitting scenario, taking into account technical, financial and economic
729 aspects. The proposed tool aims at enabling decision makers and local authorities to implement pol-
730 icies and large-scale programs devoted to the sustainable improvement of the existing residential
731 stock. Calvi et al. [91] have proposed a “green and resilient indicator” to evaluate the earthquake
732 resilience and energy efficiency of the exiting building stock. Manfredi and Masi [92] have proposed
733 an integrated retrofitting intervention that consists in replacing the existing masonry infill walls with
734 hollow clay blocks that are able to increase both seismic and thermal performance. For mid-low haz-

735 ard areas, this technique could determine a full rehabilitation with regards to both seismic and ther-
736 mal requirements, in compliance with the corresponding codes. La Greca and Margani [13] have
737 highlighted the advantages of combined renovation actions, indicating the barriers that currently
738 limit such actions and suggesting possible countermeasures. Moreover, the H2020 ProGETone pro-
739 ject [93] is currently developing retrofitting solutions based on the implementation of multi-skin ex-
740 oskeletons to enhance the seismic resilience and the energy performance.

741 6. Discussion

742 The seismic and energy renovation combined approach has strong and weak points, both in Italy
743 and in Romania.

744 The recent Italian legislative has introduced different incentives, in form of tax credit (so-called
745 'SismaBonus'), which, especially from 2017, considerably reduce the economic investment for the
746 renovation of earthquake-prone buildings. In particular, the building owners in seismic areas may
747 receive a tax credit distributed over 5 years that covers up to 85% of the cost of the retrofit interven-
748 tion, with a cost limit of € 96.000 per apartment. Simple guidelines are provided to assess the seismic
749 risk class of buildings in compliance with the current seismic technical code for constructions. Hence,
750 the amount of the tax deduction is related to the class increase due to the strengthening intervention.

751 In addition, in Italy also the energy efficient renovation benefits from different fiscal incentives,
752 which since 1998 have considerably encouraged this kind of intervention. Nowadays, energy retro-
753 fitting investments take advantage of VAT reductions (10% instead of 22%) and tax credits that range
754 from 36% to 75% of the renovation cost, with a limit of € 40.000 per apartment (so-called 'EcoBonus').
755 In particular, interventions on single family houses benefit from fiscal incentives that allow to write
756 off 36% of costs on taxes, with deductions equally distributed over 10 years. This share increases from
757 70% up to 75% for apartments buildings, according to the reached energy performance. If required,
758 the tax credit can be assigned to third parties, such as construction companies. Alternatively, it is
759 possible to benefit from incentives governed by the Ministerial Decree of 16 February 2016 (also
760 known as 'Conto Termico 2.0') that provides subsidies for the production of thermal energy from
761 RES and the increase in energy efficiency. These subsidies cover 40% of the eligible expenditure, with
762 specific limits for the unit and total costs of each type of interventions. They will be refunded either
763 in five annual rates or in a single solution in the case of public administrations or Energy Service
764 Companies (ESCOs).

765 From January 2018 [94], it is also possible to benefit from tax credits that cover up to 85% of the
766 cost for combined seismic and energy renovation actions of apartment blocks, with a limit of € 136.000
767 per apartment and deductions distributed over 10 years (so-called 'SuperBonus').

768 The Italian residential real estate has a very high level of fragmentation. It is usually quite diffi-
769 cult to reach a consensus among the building owners for the implementation of renovation works.

770 In Romania, since 69% of residential buildings existing in 2011 have been erected before 1977,
771 many dwellings may have insufficient earthquake protection. The technical aspects of assessment,
772 design and solutions for seismic strengthening are solved in relevant codes and laws starting during
773 the 1990s, while the energy rehabilitation has also a pertinent evolution, fully correlated with the EU
774 Directives.

775 The problem of funding seismic strengthening is legally and financially solved since 1994, but
776 the key issue is that of relationship between the funding provided by MDRAPFE and actual manage-
777 ment of seismic strengthening projects which is done by local authorities. In Bucharest, there is a
778 large list of pre-1940 buildings ranked at seismic risk but the number of buildings that were strength-
779 ened is relatively low.

780 Presently in Romania, is in force a yearly National Program for seismic risk reduction (based on
781 Ordinance n. 20/1994) [68] correlated with Code P100-3/2008 [26] and Eurocode 8 provisions. For the
782 time being, the National Program for thermal and energy rehabilitation [67] is a more successful so-
783 cial project, because it was applied on buildings with low or any seismic risk. The cost of energy
784 rehabilitation was born in most cases by local authorities, from own budgets or European Programs.

785 In both country, the main reason that makes the energy rehabilitation to be one step in front of
786 structural interventions is that seismic strengthening involves the structure and is operated mainly
787 from the inside of the building, while the energy renovation involves, above all, the envelope and is
788 operated mostly from the outside. The energy renovation works are speedy, while for seismic
789 strengthening owners are often afraid of high costs and related mortgaging; many of them are rather
790 old and low-income, absentees or just do not want to be disturbed by evacuation and long-term noisy
791 works. On the other hand, the funding is from separate sources and under separate legal framework,
792 thus the full renovation approach is difficult.

793 From the energy renovation perspective, the level of ambition in terms of performance follows
794 the nZEB target. Even if these performances are made mandatory only for new buildings authorized
795 in very short time from now, the EU policies are rapidly advancing towards the renovation of existing
796 building stock at nearly zero energy levels. This implicates a very high insulation level, high perfor-
797 mance (and usually heavy) windows (installed in line with the applied insulation, i.e. outside the
798 mechanical resistance layer) and with minimized thermal bridges. This could be a very difficult task
799 for the design of energy renovation technical solutions, especially in respect to the highly enforced
800 design provisions due to the high seismic risk. In current practice most of the building envelope ren-
801 ovation details (e.g. joining different building components) are designed with greater focus on me-
802 chanical resistance issues than heat transfer concept (e.g. avoiding thermal bridges), the result being
803 usually an interrupted insulating envelope. In all cases, mechanical resistance has to be ensured, but
804 if penetration of the insulating layer is unavoidable, then the thermal conductivity of the penetrating
805 material should be as low as possible and insulation layers at building component connections should
806 merge into each other over the entire surface without interruption.

807 In this respect, best-practice guidelines and detailed specification for the building envelope have
808 to be developed in order to support suitable solutions for nZEBs, tested in order to comply with the
809 rigorous seismic design provisions. The aim is to inform and to shape the internal market in order to
810 increase the current level of technical knowledge and technologies before the legal requirements un-
811 der Directive 2010/31/EU cause a blockage of the local construction industry due to the inability to
812 fulfill the Directive.

813 7. Conclusion

814 The European and National Standards and Directives have been promoting, from different sus-
815 tainability reasons, seismic and energy renovation actions to mitigate disasters and climate changes
816 impact. In Italy, over 60% of the current building stock was built between the 1950s and the 1980s,
817 when seismic safety and energy efficiency regulations were absent or mandatory only in few regions.
818 As a consequence, most of the real estate is earthquake-prone and highly energy-consuming [13]. The
819 combined seismic and energy renovation of Italian buildings is of paramount importance for the
820 safety of the population against earthquakes and other natural hazards related to climate change.

821 In Romania, there is a comprehensive framework of laws and technical regulations, both for
822 earthquakes and energy, implemented over the last five decades for new and existing buildings. In
823 this country, the wide impact of the 1940 and 1977 earthquake is a landmark, while the probability of
824 a large earthquake in the near future is increasing, thus the seismic risk reduction is a national prior-
825 ity. The National Program for thermal and energy rehabilitation of buildings is a separate endeavor,
826 also a priority, pushed by the impact of climate changes and the related European Union Directives.
827 In order to achieve the ambitious and very demanding objectives of Eurocodes and European Energy
828 Performance Directives, under Romanian laws, it is necessary to mobilize all the involved stakehold-
829 ers, to identify and face the positive and negative aspects and barriers, as well as the deficiencies that
830 exist or may occur in the future.

831 In both countries, the policy of renovation of the real estate is hindered especially by high costs
832 and disruptions for users. The integration of structural, architectural and urban planning approaches
833 may improve the effectiveness and diffusion of these actions. However, steps like structural analysis,
834 energy audits, public tender procedures, quality of projects and execution, regulatory framework,

835 financial and fiscal incentives, quality control, training of designers and builders, and workers' qual-
836 ification still represent critical issues.

837 A variety of techniques for seismic upgrading and energy renovation of buildings are already
838 available. Some of these techniques are known to structural designers and construction companies
839 for a long time now and provisions for their application are provided in the current technical regula-
840 tions. Other techniques, which are classified as innovative, are also applicable because studies that
841 demonstrate their effectiveness and the relevant design guidelines are available in the technical liter-
842 ature. However, each of these techniques aims at improving only one aspect of the building perfor-
843 mance: reduction of the risk of damage/failure caused by earthquakes or reduction of the energy
844 consumption during the building operation. Based on the framework depicted above, it emerges that
845 often seismic upgrading interventions can have no effect or may be even detrimental on the energy
846 performance of the building and *viceversa*. Hence, the main challenge of the next years is to develop
847 approaches that integrate together techniques for energy and seismic renovation. Important aspect
848 to be deepened are the study of the compatibility of the integrated techniques and the definition of
849 interventions that improve both seismic energy performance. The target of these approach should be
850 the transformation of the existing energy-consuming and seismic-prone buildings in nZEB seismic-
851 resistant ones. The availability of such integrated approaches for seismic-energy upgrading can pro-
852 mote the renovation of existing buildings by pursuing multiple targets: (i) to benefit from fiscal and
853 financial incentives for both seismic and energy renovation, (ii) to maximize the positive effect gained
854 by the intervention on the building (two performance objectives are reached with a single interven-
855 tion), and (iii) to preserve in time the value of the investment (the investment for energy renovation
856 could be nullified by earthquakes if seismic upgrading has not been pursued too). On this purpose,
857 the exchange of experience among countries with similar issues, such as Italy and Romania, plays a
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859

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