

Joint Use of Remote Sensing Data and Volunteered Geographic Information for Exposure Estimation - Evidence from Valparaíso, Chile

Christian Geiß, Anne Schauß, Torsten Riedlinger, Stefan Dech, Cecilia Zelaya, Nicolás Guzmán, Mathías A. Hube, Jamal Jokar Arsanjani, Hannes Taubenböck

C. Geiß (*), A. Schauß, T. Riedlinger, S. Dech, H. Taubenböck

German Aerospace Center (DLR), German Remote Sensing Data Center (DFD), Münchner Straße 20, 82234 Oberpfaffenhofen-Weßling, Germany

e-mail: christian.geiss@dlr.de

C. Zelaya, N. Guzmán,

Chilean Navy Hydrographic and Oceanographic Service (SHOA), Errázuriz Echaurren 254 Playa Ancha, Valparaíso, Chile

M. Hube

Pontificia Universidad Católica de Chile and National Research Center for Integrated Natural Disaster Management CONICYT/FONAP/15110017, Vicuña Mackenna 4860, Santiago, Chile

A. Schauß, J. Jokar Arsanjani

Heidelberg University, GIScience research group, Berliner Straße 48, 69120 Heidelberg, Germany

Abstract

The impact of natural hazards on mankind has increased dramatically over the past decades. Global urbanization processes and increasing spatial concentrations of exposed elements induce natural hazard risk at a uniquely high level. To mitigate affiliated perils requires detailed knowledge about elements at risk. Considering a high spatio-temporal variability of elements at risk, detailed information is costly both in terms of time and economic resources and therefore often incomplete, aggregated, or outdated. To alleviate these restrictions, the availability of very high resolution satellite images promotes accurate and detailed analysis of exposure over various spatial scales with large-area coverage. In the past, valuable approaches were proposed, however, the design of information extraction procedures with a high level of automation remains challenging. In this paper, we uniquely combine remote sensing data and Volunteered Geographic Information from the OpenStreetMap project (OSM) (i.e., freely accessible geospatial information compiled by volunteers) for a highly automated estimation of crucial exposure components (i.e., number of buildings and population) with a high level of spatial detail. To this purpose, we first obtain labeled training segments from the OSM data in

conjunction with the satellite imagery. This allows for learning a supervised algorithmic model (i.e., Rotation Forest) in order to extract relevant thematic classes of land use/land cover (LULC) from the satellite imagery. Extracted information is jointly deployed with information from the OSM data to estimate the number of buildings with regression techniques (i.e., a multi-linear model from ordinary least squares optimization and a non-linear Support Vector Regression model is considered). Analogously, urban LULC information is used in conjunction with OSM data to spatially disaggregate population information using areal weighting and dasymmetric mapping methods. Experimental results were obtained for the city of Valparaíso in Chile. Thereby, we demonstrate the relevance of the approaches by estimating number of affected buildings and population referring to a historical tsunami event.

Index Terms: Exposure, Risk, Vulnerability, Remote Sensing, Volunteered Geographic Information, Land Use - Land Cover Classification, Object-based image analysis, Rotation Forest, Population disaggregation, Tsunami

1 Introduction

Various natural hazards pose major threats on mankind in particular with respect to social and economic aspects. To mitigate affiliated perils determines the accurate quantification of natural hazard risk. Thereby, natural hazard risk can be characterized based upon three distinguishable components: hazard, exposure, and vulnerability (UNDRO 1979). In this paper, we focus on the quantification of exposure. In contrast to the fuzzy concept of vulnerability (Timmermann 1981; Cutter 2003; Thywissen 2006), exposure can be considered as a highly tangible component of risk: It comprises the assets potentially affected by a hazardous event comprising people, properties, infrastructure, or economic activities (Schneiderbauer and Ehrlich 2004; Geiß and Taubenböck 2013).

In general, it is very challenging to constantly monitor exposure for highly variable urban environments (Taubenböck et al. 2012, Wieland et al. 2012a). Moreover, only exposure information with a high level of spatial detail enables the consideration of natural hazards within an affiliated risk model on a small scale (Wieland et al. 2012b). Recently, the use of remote sensing was identified as a valuable source of information for exposure estimation (Taubenböck et al. 2008). Especially latest generation optical sensors enable the detection and characterization of objects of built environments within hazard prone areas (Ehrlich and Tenerelli 2013). For instance, Ehrlich et al. 2010, 2013 focus on the extraction and characterization of the exposed building stock using optical remote sensing data, whereas Aubrecht et al. (2013) show the estimation of human exposure on multiple spatial scales under the consideration of various earth observation data.

Nevertheless, the development of procedures for information extraction from remote sensing imagery with a high level of automatisisation remains a major challenge. To extract relevant information from the imagery (e.g., building footprints), the concept of *supervised classification* approaches (Chen and Ho 2008, Camps-Valls et al. 2014) is based on the idea to infer a rule (e.g., a decision function) from limited but properly encoded prior knowledge (i.e., labeled samples) to assign a class label to unlabeled instances of the domain under analysis. These methods became state-of-art processing techniques due to their favorable accuracy and robustness properties. However, the collection of appropriate prior knowledge (by e.g., detailed *in situ* surveys) is reported to be the most time-consuming and expensive aspect with respect to data processing. So far, researchers responded in several ways to alleviate the burden associated with a proper compilation of prior knowledge. On the one hand, approaches were designed that encode some knowledge from the unlabeled data also by means of a semi-supervised method to possibly gain viable accuracies with a very limited number of labeled samples (Bruzzone et al. 2006). On the other hand, so-called active learning strategies were followed recently (Tuia et al. 2009, Tuia et al. 2011). Such methods deploy predefined heuristics to rank unlabeled instances in the domain under analysis that can be considered the most valuable for improvement of estimation accuracy of a preliminary trained learning machine. Latest approaches also include the spatial domain for this task (Stumpf et al. 2014, Pasolli et al. 2014), and consider labeling costs emerging from ground surveys (Demir et al. 2014). In addition, methods to identify only a limited amount of desired (target) classes, disregarding all other existing classes in the domain under analysis, were postulated (Marconcini et al. 2014, Mack et al. 2014). Although labeling costs can be reduced

compared to simple fully supervised methods, all considered methods determine a considerable amount of data collection.

In parallel, a new mechanism for the user-generated acquisition and compilation of geographic information, termed Volunteered Geographic Information (VGI) (Goodchild 2007), evolved within the past years. Those kind of data comprises mainly vector data such as digital maps with further thematic information content but also georeferenced ground-based imagery, among others. Those are made publicly available through web-based distribution mechanisms. For instance, the OpenStreetMap (OSM) project is one of the most popular examples of VGI with a growing perspective as outlined in Jokar Arsanjani et al. (2015a). The project was initiated in 2004 and hosted at University College London with the aim to create a free digital editable vector map of the world (Hacklay 2010). Thereby, information is collected currently by up to 2.2 million participants, compiled within a central database, and distributed in multiple digital formats through the World Wide Web as “open data” according to the Open Data Commons Open Database License (OSM 2015a). The deployment of VGI for data analysis procedures and substitution of traditional data sources was identified as a promising application field (Sester et al. 2014). Thereby, new challenges are related to the heterogeneity of the data and assurance of data quality (Flanagin and Metzger 2008, Haklay 2010, Jokar Arsanjani et al. 2015b). Accordingly, recent research focused on the assessment of quality properties in order to evaluate suitability for different application fields (Neis and Zipf 2012, Hecht et al. 2013, Fan et al. 2014, Jokar Arsanjani et al. 2015c).

So far, VGI was rarely used in conjunction with remote sensing data to enable advanced data processing procedures. Recent attempts deploy OSM data for enhanced mapping and characterization of built environments (Klonner et al. 2014, Kunze and Hecht 2015). In addition, e.g., Foody and Boyd (2013) and Pesaresi et al. (2013) deploy OSM data for validation of information derived from remote sensing imagery. In the context of natural hazard risk research, Schnebele and Cervone (2013) and Poser and Dransch (2010) aim to extract relevant information with respect to hydrological hazards.

In contrast to previous approaches that combine remote sensing and VGI, here, we uniquely deploy OSM data for supervised extraction of land use/land cover (LULC) information from very high resolution (VHR) multispectral imagery. We do so to subsequently estimate crucial exposure components (i.e., number of buildings and population) with a high spatial detail and high level of automatisation. In particular, first, we compute a measure from the OSM metadata to assess the quality of the data. Quality properties of the data are subsequently considered for a spatially stratified selection of labeled training geometries. In parallel, VHR imagery is subject to image segmentation (Blaschke 2010) and OSM geometries are combined with the remote sensing data based on an object-based fusion scheme. We characterize the objects in the remote sensing imagery via a high-dimensional feature space by exploiting again techniques of object-based image analysis (OBIA). Those kinds of approaches were demonstrated to be beneficial compared to per-pixel processing techniques for data with a considerable higher spatial resolution than the objects to be extracted from the data (Blaschke 2010). Based on the derived information, we identify LULC by using advanced machine learning techniques. In particular, a Rotation Forest approach (Rodriguez et al. 2006) was deployed to alleviate the computational burden frequently associated with the selection of appropriate features for classification (based on

e.g., filter or wrapper methods) and to simultaneously ensure favorable accuracy properties. The urban LULC information is jointly deployed with OSM data to estimate the number of buildings using regression techniques. Analogously, urban LULC information is used in conjunction with OSM data to spatially disaggregate population information. Experimental results are obtained for the city of Valparaíso in Chile. The city is prone to various natural hazards such as earthquakes, tsunamis, and landslides. Consequently, we show the relevance of the approach by estimating number of affected buildings and population referring to a historical tsunami scenario.

The remainder of the paper is organized as follows. We provide a brief description of the study site and incorporated data in [section 2](#). [Section 3](#) documents the developed and deployed methods for information extraction and exposure estimation, whereas [section 4](#) contains affiliated results and discussion. Conclusions and future perspectives are outlined in [section 5](#).

2 Study site and data

2.1 Valparaíso

Valparaíso (33° 2' S, 71° 37' W) is located on the Pacific Coast in the Western part of Chile (Fig. 1a). It is one of the largest coastal cities of Chile and features approximately more than 280,000 inhabitants (INE 2015). The city is prone to a number of hazards, whereby it is heavily threatened by earthquakes and tsunamis. The Nazca plate plunges beneath the continental South American plate. The geographic location of Valparaíso right beside the sea and geological characteristics (i.e., seismic amplification due to soft soil) makes the city especially prone to them (Fig. 1b). A very destructive earthquake took place in 1906 and hit Valparaíso with a magnitude M_w of 8.3. Since then, there were 12 earthquakes affecting Valparaíso with an intensity larger than seven (Indirli et al. 2010). Majority of them had their epicenter offshore of Valparaíso along the plate boundary. Three of them were also tsunamigenic (i.e., the events in 1906, 1918, and 1985). In addition, there is a considerable landslide risk especially in case of heavy rainfalls due to soil materials, steep slopes within the settlement area, and deep fluvial incisions. Risk of fires is also exigent and worsened by windy weather, hill roads, which are hard to access, dominance of wooden houses, and sometimes insufficient water pressure in the hydrants. Recent examples are the forest fires that occurred in April 2014 which could not be stopped for several days (April 12th - 17th). Almost 1,000 hectares were burnt. The fires devastated about 3,000 houses in 12 districts and affected 13,000 people (ONEMI 2014). In general, the urban morphology of Valparaíso determines two sectors with distinct risk properties (Fig. 1c-d). The harbor area, characterized by port facilities and commercial districts, is highly exposed to tsunami hazards and destructive effects of earthquakes, whereas the hill quarters, covered by small and squat houses, are in particular subject to risks related to landslides and fires.

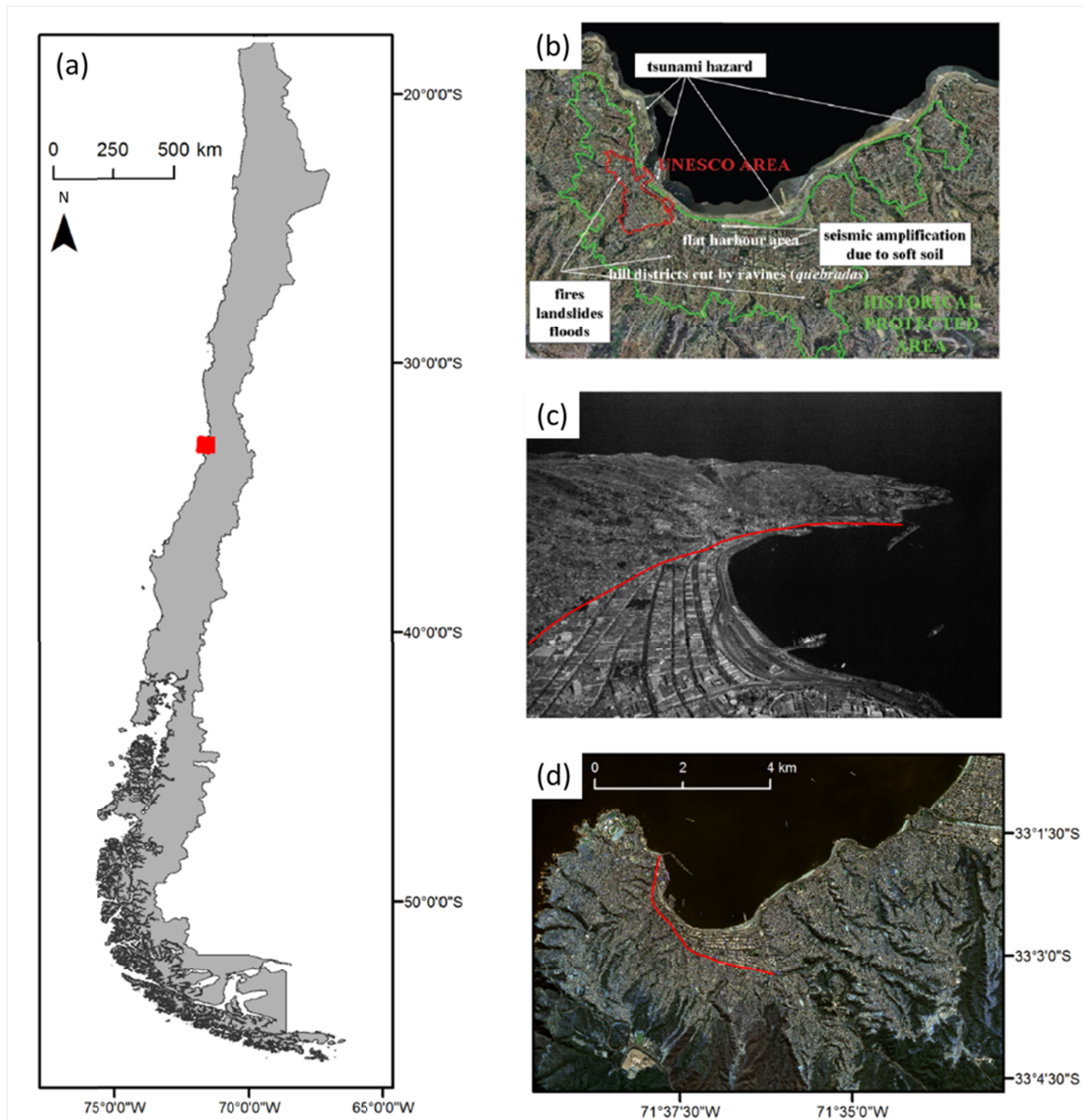


Fig. 1 Overview on the location of the study area and acquired remote sensing data. (a) The location of Valparaíso in Chile; (b) Indication of hazards and safeguarded areas (green area: historical protected area; red area: UNESCO protected historical center); (c) Distinct urban morphology of Valparaíso (imagery taken from Sánchez et al. 2009) – red line indicates the distinction of flat harbor area along the coast and hill quarters; (d) Worldview-2 imagery (red line simultaneously used as in (c))

2.2 Data

2.2.1 Multispectral imagery from WorldView-2

In this study, multispectral imagery from the WorldView-2 sensor is deployed (Fig. 1d). Since 2009, the system operates on a sun-synchronous orbit at an altitude of 770 km with an average revisit capability of 1.1 days. The sensor provides imagery with a ground sampling distance of up to 0.46 m for the panchromatic band and 1.85 m for the multispectral bands (Digital Globe 2010). Here, we used imagery with four bands (i.e., blue: 0.450-0.510 μm ; green: 0.510-0.580 μm ; red: 0.630-0.690 μm ; nir: 0.770-0.895 μm), which was acquired on 19th of April 2014.

2.2.2 *OpenStreetMap*

For the subsequent compilation of training segments, we acquired OSM data for Chile from the provider Geofabrik (2014) on 4th of November 2014. Data are compiled according to eight feature categories, i.e., “Points of Interest” (POIs), places, roads, railways, waterways, natural, land use, and buildings (OSM 2015b). To assess the quality of the acquired data, we subsequently use metadata from the OSM-planetfile (OSM 2015c). Such information reveals attributes about the history of the individual objects are documented such as a User ID, time of last edit, or the number of edits per object (Arsanjani et al. 2015c). Notably, those information reveal that most object within our study site were added in April 2014. This is congruent with the time interval of the occurrence of the devastating fires mentioned before. The vast majority of building footprint geometries of Valparaíso was generated within the activity of two Humanitarian OpenStreetMap Team tasks, which aimed to map the areas affected by the disaster as they were before the fires in order to support damage assessment and humanitarian response activities (OSM Task Manager 2014a, b) in a timely manner. In turn, this also documents how specific events trigger the continuation of global VGI but also show that large parts of the world feature incomplete VGI with respect to spatial coverage (see also section 3.1).

2.2.3 *Census Data*

To spatially disaggregate population numbers, we deploy census data from the National Statistics Institute of Chile (INE). A census was conducted approximately every ten years since the first census in 1813. The last census was carried out in 2012, however, data were retracted due to inaccuracies during acquisition and processing (Bianchini et al. 2013). Accordingly, we use data from the 2002 survey, which provides *de facto* information about population at their place of residence. Data are aggregated according to four spatial levels (i.e., “comuna” (municipality), “distritos censales” (census districts), “zonas censales” (census zones), and “manzanas” (building blocks)), reaching from a coarse aggregation level (“comuna”) to a very fine one (“manzanas”).

3 Methods

To estimate exposure, we carried out a sequential procedure with four main steps (Fig. 2) dedicated to i) proper preprocessing of the data (section 3.1); ii) a highly automated supervised classification approach for extraction of (urban) LULC (section 3.2); and estimation of exposure (section 3.3) comprising iii) the number of buildings and iv) population.

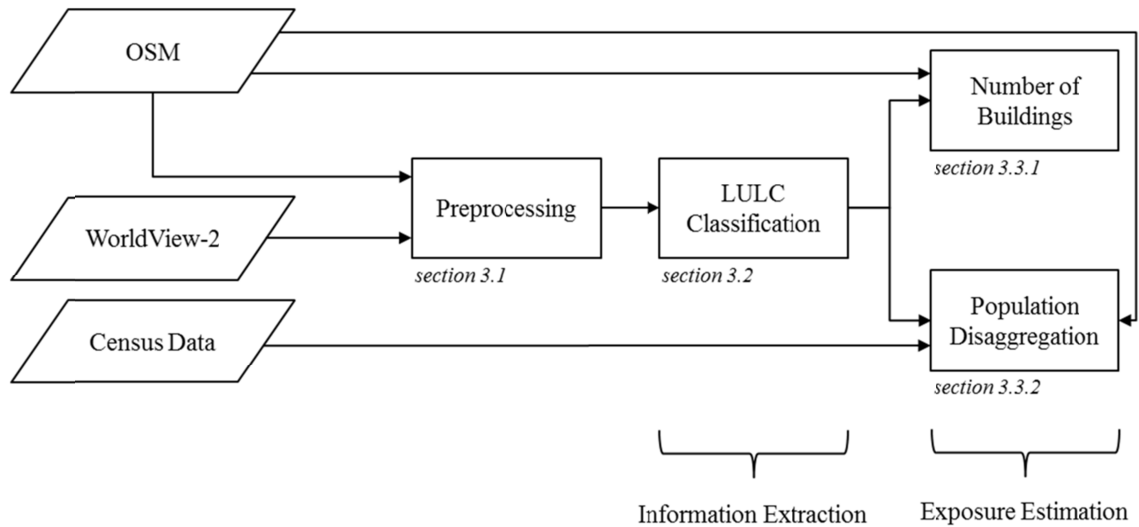


Fig. 2 Overview of processing steps.

3.1 Preprocessing

WorldView-2 imagery was subject to orthorectification and atmospheric correction using the methodology of ATCOR-2 (Atmospheric and Topographic Correction for Satellite Imagery; Richter 1996, Richter and Schläpfer 2014). For the LULC classification, five different thematic classes of geometries were compiled from the *OSM data*. In particular, geometries for the classes “buildings”, “roads”, “trees/bushes”, “meadow”, “water” were generated based on the OSM categories “buildings”, “roads”, “land use”, and “natural”. To correspond to the taxonomy of classes frequently deployed in (urban) LULC classification, we added geometries for the class “bare soil”, since there were no related information available in the OSM data for our study site. We ensured positional accuracy of the vector data, carried out consistency checks, and excluded unsuitable information by means of automated procedures. The final available vector data from OSM are visualized in Fig. 3.

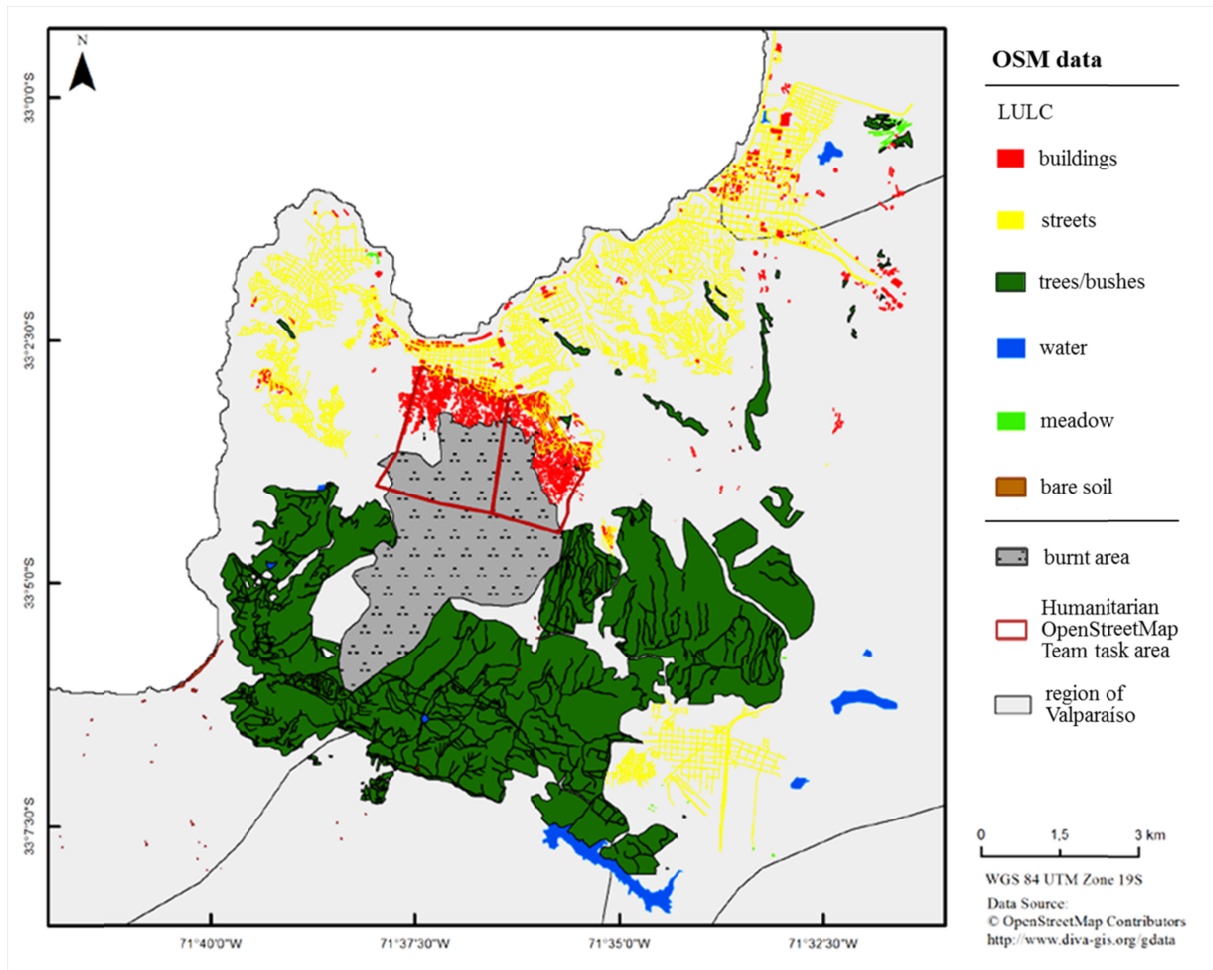


Fig. 3 Overview of available OSM data according to different LULC classes; areas of the two Humanitarian OpenStreetMap Team tasks and the area, which was burnt by the fires during April 2014 (section 2.2.2) are also indicated.

3.2 Information Extraction

A first crucial step in estimating exposure information from VHR satellite imagery is the extraction of a detailed built-up mask that provides information about the location of buildings and the area occupied by buildings. Therefore, a detailed LULC map was derived. For this purpose a hierarchical supervised classification approach was designed (Fig. 4). First, WorldView-2 imagery was subject to multi-scale segmentation and exhaustive feature calculation (section 3.2.1). Then, segments of WorldView-2 imagery were fused with OSM geometries to obtain labeled segments for training a supervised classification model. In addition, measures were computed from the OSM data in order to evaluate the quality of the data for a spatially stratified selection of most viable training segments. Thereby, plausibility rules were introduced to ensure a reliable selection of training segments (section 3.2.2). The actual supervised classification task was followed by a postclassification processing procedure to further enhance classification outcomes (section 3.2.3).

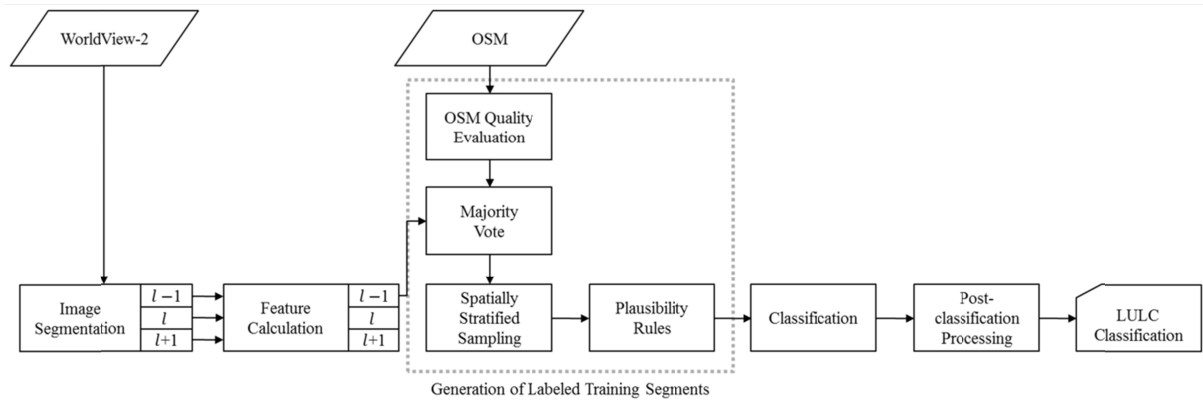


Fig. 4 Overview of proposed LULC information extraction workflow.

3.2.1 Image Segmentation and Feature Calculation

The multispectral imagery was subject to a *multilevel segmentation procedure*. The use of multiple segmentation levels is motivated by the circumstance that heterogeneous objects in urban environments feature frequently several magnitudes of spatial extent. This implies that a single segmentation is not sufficient to represent all objects in the data adequately (Bruzzone and Carlin 2006). We used a bottom-up region-growing segmentation algorithm for partition of the imagery (i.e., fractal net evolution approach as implemented in the software environment eCognition (Baatz and Schäpe 2000)). Thereby, an unambiguous hierarchy of segmentation levels is ensured in a way that an object at a finer segmentation level must be included in only one object at a coarser segmentation level. Consequently, the aim is not to deploy a single, possibly best level of representation of each object like in traditional approaches, but rather to model the multilevel spatial context of each object (Bruzzone and Carlin 2006, Taubenböck et al. 2010).

Different approaches were proposed in literature to objectively *identify* a single, possibly best segmentation (Espindola et al. 2006, Dragut et al. 2010), or a set of multiple, possibly best segmentations (Martha et al. 2011). Additionally, Esch et al. (2008) design an approach to *create* a single multilevel segmentation layer, and Geiß et al. (2016a) jointly internalize the aforementioned concepts by proposing a procedure to create an optimized single multilevel segmentation layer objectively. However, recently it could be shown that classification accuracies are less dependent on segmentation. If undersegmentation remains at acceptable levels, imperfections in segmentation are overruled and high levels of accuracy are still achievable (Belgiu and Dragut 2014). Consequently, segmentation was carried out on three hierarchical levels (denoted as $l-1, l, l+1$; see also Fig. 4) without exhaustive optimization procedures to keep computational costs low. From a conceptual point of view, the finest level $l-1$ comprises segments smaller than most real-world objects (oversegmentation); segments in l correspond to most real-world objects of interest; $l+1$ comprises segments larger than most real-world objects in the image (undersegmentation) (Geiß and Taubenböck 2015). Under consideration of preliminary runs, segmentation of the multispectral bands was carried out with scale factors of 50 for $l-1$, 150 with respect to l , and 500 regarding $l+1$. It can be noted that segmentation results are depended on characteristics of the image data and will vary as a function of spatial resolution, number of

bands, image quantization, and scene properties (Stumpf and Kerle 2011). However, an increasing scale factor will lead to larger object sizes. In addition, some further free parameters of the segmentation algorithm need to be defined. In this manner, we suggest to put more emphasize on shape heterogeneity rather than on grey-value heterogeneity. This is due to the fact that man-made features such as buildings and other objects of urban environments have distinct shape and size properties, unlike natural features. Analogously, the weights for heterogeneity of smoothness and compactness can be maintained equal (i.e., shape: 0.7, color: 0.5).

For characterization of the generated segments from the VHR imagery we carried out *multilevel feature calculation*. Features belonging to the group of mathematical morphology (Soille 2004) were computed from the panchromatic band (*PAN_MM*), since it was shown that such derivatives can encode valuable information for urban LULC classification (e.g., Soille and Pesaresi 2002, Tuia et al. 2009, Geiß et al. 2016b). In particular, erosion, dilation, opening, closing, opening by top hat, and closing by top hat operations were carried out with linear ascending sizes of a square-shaped structuring element (SE) $B = \{5, 10, \dots, 30\}$ on the image pixels. The optical imagery was further deployed to compute measures of central tendency (*OPT_MCT*), i.e., mean and median were computed for the blue, green, red, and nir bands in addition to a brightness and maximum difference band (Stumpf and Kerle 2011). Analogously, measures of spread (*OPT_MS*), i.e., standard deviation, variance, minimum, maximum, range, and interquartile range were calculated for the four spectral bands. Two band ratios (*OPT_BR*) were further deployed to characterize vegetation activity (i.e., normalized differenced vegetation index) and enhance spectral dissimilarities between bands (i.e., red/nir) (e.g., Bruzzone and Carlin 2006, Puissant et al. 2014, Leichtle et al. 2017). To take advantage of differing shapes of individual urban LULC objects, we calculated features related to the geometry of objects. In particular, the extent of objects (*GEOM_EXT*) was characterized considering area, length, ratio of length and width, perimeter, as well as ratio of area and perimeter. In addition, the shape of objects (*GEOM_SHA*) was approximated with measures that deploy a comparison with two-dimensional geometrical forms such as square, rectangle, or ellipse (i.e., rectangular and elliptic fit, asymmetry, compactness, density, roundness, shape and border index) as implemented in the software environment eCognition (Trimble 2014, Sun et al. 2015). Lastly, relational features (*REL*) were computed (Bruzzone and Carlin 2006). For instance, the number of objects from a finer segmentation level in relation to an object from a coarser level aim to further reflect the spatial alignment and composition of image objects. Thereby, we exploit the relation that objects from a coarser level containing a high number of objects from a finer segmentation level indicate LULC classes with a high level of individual real-world object complexity (e.g., buildings which are composed by a variety of architectural components). Overall, each image object of level $l - 1$ O_i^{l-1} is represented by a 270-dimensional feature vector

$$f(O_i^{l-1}) = \{PAN_MM(O_i^{l-1})^{108}, OPT_MCT(O_i^{l-1})^{36}, OPT_MS(O_i^{l-1})^{72}, \\ OPT_BR(O_i^{l-1})^6, GEOM_EXT(O_i^{l-1})^{15}, GEOM_SHA(O_i^{l-1})^{24}, \\ REL(O_i^{l-1})^9\}, \quad i = 1, 2, \dots, N^{l-1} \quad (1)$$

where N^{l-1} denotes the number of objects at the finest segmentation level and the superscript denotes the dimensionality of each feature group from the three segmentation levels.

3.2.2 Generation of Labeled Training Segments

In parallel to image segmentation and feature calculation, OSM data were subject to quality evaluation to allow for a guided selection of most suitable training segments. Recently, Jokar Arsanjani et al. (2015c) proposed a so-called Contribution Index (CI) to assess the quality of the OSM data by analyzing spatio-temporal patterns with respect to the history and evolution of the data. It consists of four measures, which were here computed from square-shaped grid cells with an edge length of 1 km (Fig. 5). The first measure is the number of nodes per cell. It is used to describe the *quantity* of the data. The average number of edits made per cell indicates *interactivity*, and the number of users who edited nodes within a cell is intended to reflect *attractivity*. Lastly, the *semantic* content shows how exhaustive the nodes within a grid cell are attributed. Thereby, the CI internalizes relationships expressed by e.g., Linus’s law, which states in this application context that a larger number of volunteers contributing to the generation of the geographic information induces more exhaustive control mechanisms and, thus, a higher quality of the data. The required information was extracted from the so-called OSM “planet file”. Here, the CI was computed by an averaged ordinal ranking of the individual measures. Thereby, a high numerical value indicates high quality of the OSM data, whereas low values reflect low data quality.

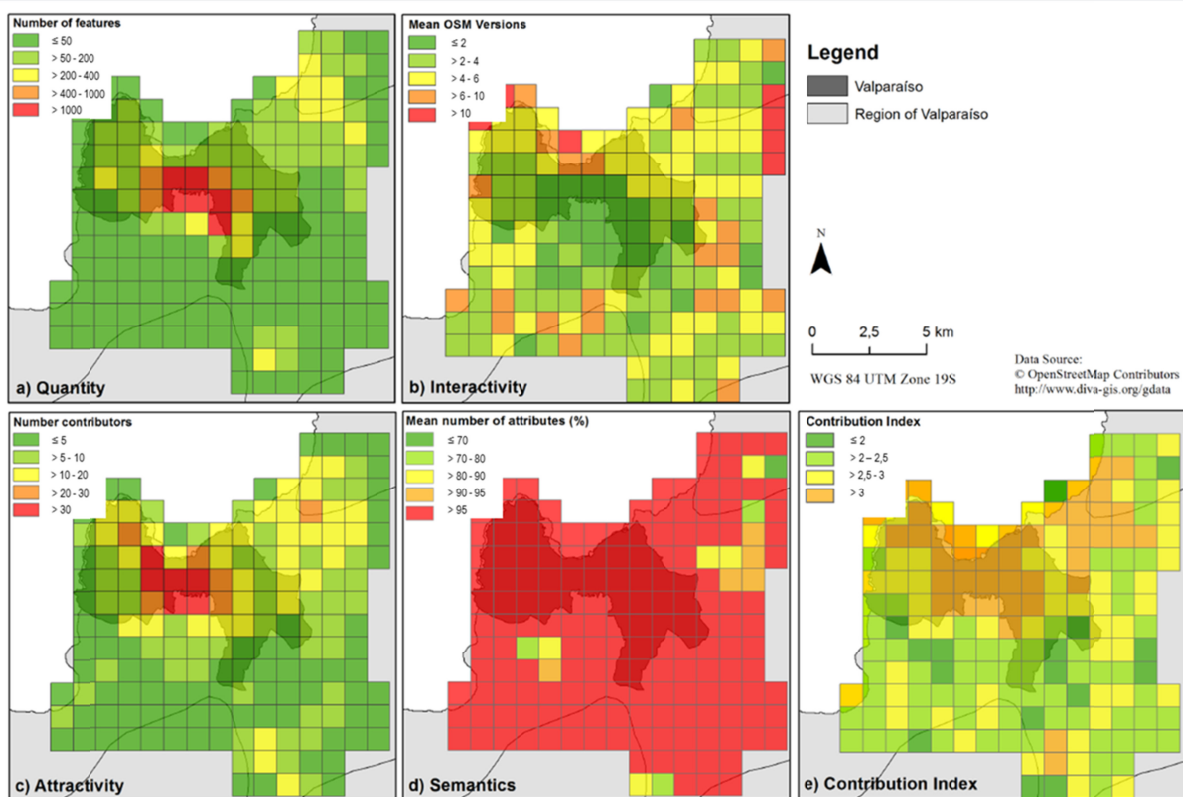


Fig. 5 Contribution index for assessing the quality of OSM data; (a) The number of nodes per cell was used to characterize the *quantity*; (b) The average number of edits made per cell indicates *interactivity*; (c) The number of users who edited nodes within a cell reflects *attractivity*; (d) The mean number of nodes which possesses attributes per cell characterizes the *semantic* content; The combined *contribution index* is shown in (e).

The CI of the region of Valparaíso shows that OSM data feature a higher quality in urban areas compared to non-urban areas. This is in accordance with finding from previous studies in other regions of the world (Zielstra and Zipf 2010, Jokar Arsanjani et al. 2015c).

In parallel, available OSM geometries were fused with segments from level $l - 1$. A segment was identified as a labeled training segment for a specific class if the segment's area was covered by more than 50% of the respective thematic class in the OSM geometries, what corresponds to a majority vote per segment (Fig. 6). Finally, we selected training segments as follows for the actual classification task. Cells with a high CI value (Fig. 5e) were prioritized for the selection of training segments within a spatially stratified sampling process. However, also geometries from residual cells were incorporated to avoid problems associated with a possible shift of covariance for the whole scene (Tuia et al. 2011). To avoid model bias induced by class imbalance, we selected the same number of labeled segments per class (i.e., 600). Thereby, it can also be noted that a selection which considers the *a priori* probability of classes in the OSM data may generally be unlikely representative, since volunteers frequently focus on certain classes within specific application-focused compilations of OSM data (e.g., here vast majority of OSM geometries were compiled during the aforementioned Humanitarian OpenStreetMap Team tasks which focused on the class “buildings”).

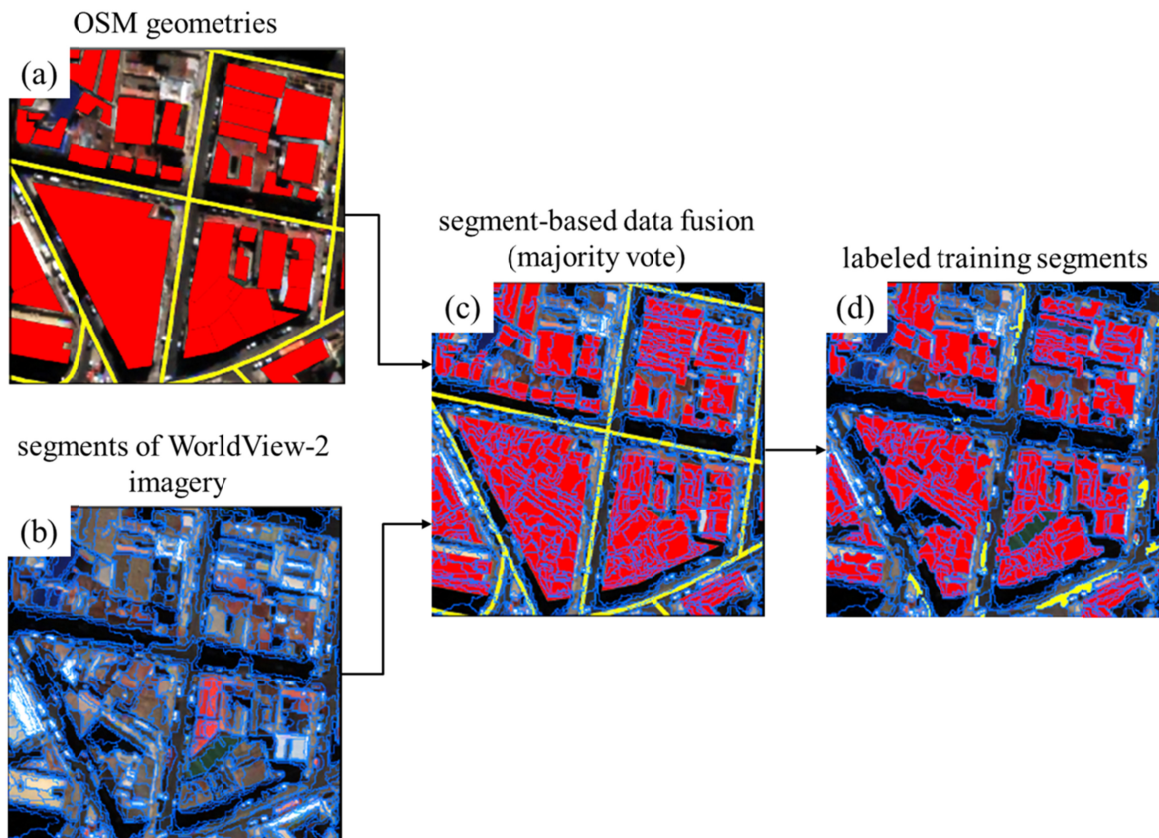


Fig. 6 Fusion scheme; (a) OSM geometries; (b) segments of satellite imagery; (c) segment-based fusion of data by majority vote; (d) labeled training segments for classification

Besides, the sun azimuth angle of the applied imagery of Valparaíso induced shadow areas. Naturally, such areas are not included as thematic class in the OSM data and feature a non-ubiquitous nature. Hence, shadow areas were classified from the remote sensing data with a

property-based method (Adeline et al. 2013), i.e., by means of an empirically determined brightness threshold. In addition, some further plausibility rules were introduced to ensure validity of training segments. For instance, training segments corresponding to vegetation must exceed a domain-specific NDVI-related threshold. In contrast, training segments comprising impervious surface materials (i.e., buildings and roads) must fall below that NDVI-related threshold simultaneously.

3.2.3 Learning of Classification Model and Postclassification Processing

A classifier ensemble method named *Rotation Forest* (Rodriguez et al. 2006) was used for solving the actual LULC classification problem. This recently presented approach for classification problems outperformed traditional ensemble methods such as Random Forest, or Bagging etc. in terms of classification accuracy (Rodriguez et al. 2006, Kavzoglu and Colkesen 2013, Xia et al. 2014). Rotation Forest is a non-parametric supervised classifier ensemble which uses decision trees as base classifiers and employs feature extraction (i.e., rotation of the feature axes) based on principal component analysis (PCA). This principle is followed since decision trees are sensitive to axis rotations and classifiers obtained with different rotations of a data set can be highly diverse (Stiglic et al. 2011).

The Rotation Forest approach employs different configurations of the set of labeled training samples. First, the feature set is split into several subsets on which the initial training set is projected. Subsequently, a sparse rotation matrix is constructed based on feature extraction on the individual subsets. The latter are subject to a bootstrap algorithm to select 75% of the initial training samples. A classifier is generated from the features projected by the rotation matrix and a final class label is obtained according to a confidence criteria computed from the labeling results of multiple iteratively learned classifiers (Rodriguez et al. 2006, Xia et al. 2015). In the experiments, we used PCA for feature extraction in conjunction with a J48 classifier from the WEKA library (Hall et al. 2009) as base classifier and determined optimal hyperparameters (i.e., size of the ensemble and number of features in a subset) empirically with a cross-validation strategy.

Postclassification processing was carried out to further enhance classification accuracy, especially for the LULC class “buildings”, which is of vital importance for the subsequent exposure estimation efforts. Errors in the classification result can often be related to small regions with arbitrary shapes as produced by image segmentation (Zheng et al. 2014). We deployed several unambiguous context-based rules to address this problem, i.e., a singular classified segment of a certain class which is completely nested inside segments of a different class is assigned to the class of the surrounding segments (e.g., a singular image object classified as “road” is reclassified to “buildings” if it is completely surrounded by image objects of the class “buildings”).

3.3 Exposure Estimation

3.3.1 Number of Buildings

Complex urban environments prohibit a direct inference of number of buildings based on the presented LULC classification. This is due to the fact that extracted segments of the LULC class “buildings” do not necessarily correspond to the outline of individual building

footprints. In complex urban environments such as Valparaíso, buildings are often aligned to each other with a minimum of spectral dissimilarity of neighboring roof surfaces, and have complex interactions (e.g., shadow). In addition, buildings frequently feature several structural elements, which can appear as individual footprints themselves in the imagery although they are part of a single construction. This situation triggered the idea to further deploy information encoded in the OSM data for the estimation of the number of buildings. In particular, we suggest inferring an empirical relation between the number of labeled building geometries from the OSM data and affiliated building segments from the information extraction procedure (Fig. 7).

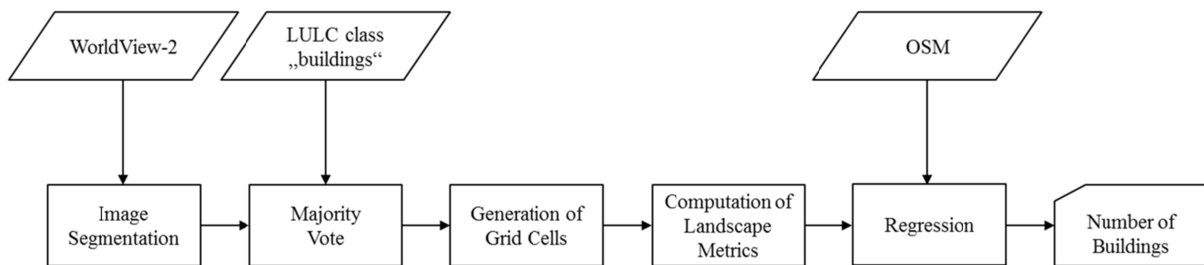


Fig. 7 Overview of proposed workflow for the estimation of number of buildings.

First, the imagery was subject to a renewed segmentation. There, the focus was to model segments which emphasize square-shaped properties of image objects and, thus, correspond specifically to the LULC class “buildings”. To this purpose, additional image bands were computed and jointly used with the multispectral bands for segmentation according to the setup described in section 3.2.1. In particular, image bands obtained from the use of morphological operators on the panchromatic band were considered (i.e., erosion, dilation, opening, and closing with a square-shaped SE of 5 pixel diameter). This is consistent with other studies which deploy additional image bands from morphological filtering for segmentation (e.g., Pesaresi and Benediktsson 2001, Epifanio and Soille 2007, Sheng et al. 2009). In addition, images obtained by running two different edge extraction algorithms (i.e., canny edge detector (Canny 1986), and Lee-sigma edge detection filtering (Lee 1983)) are included in the segmentation (Ali and Clausi 2001). Finally, a majority vote strategy was applied to label newly generated segments as buildings using the previous LULC class “buildings”.

For the regression approaches, we deployed a set of features (i.e., independent variables) that can be attributed to the group of landscape structure metrics (Berry 2007), which were computed from square-shaped grid cells. The size of the grid cells was chosen according *a priori* considerations, i.e., a tradeoff between the ability to capture urban structures (edge length must not be too small) and the ability to differentiate between diverse structures (edge length must not be too large) must be maintained. Here we chose an edge length of 0.25 km, which converges to the mean size of urban blocks according to previous empirical studies for different urban areas (Taubenböck et al. 2013). Metrics for each grid cell were calculated based on all segments newly labeled as “buildings”, which have their centroid in the respective cell. The measures focus on the characterization of building segments with respect to their extent such as mean segment size, or variation in segment size. Also relative

measures such as the relative number of segments, which represents the ratio of the number of segments per grid cell and total number of segments in the study area, are considered. In addition, e.g., shape metrics are used to approximate the constructional complexity of buildings within a grid cell. Overall, 12 metrics were computed.

Regarding the actual regression task, we considered a multi-linear ordinary least squares (OLS) model and a non-linear Support Vector Regression (SVR) model. The OLS method minimizes the sum of squared vertical deviations between the observed values in the data set and the values predicted by the linear approximation to describe, as close as possible, the original values of the dependent variable (Montgomery et al. 2001). Instead, SVR is able to reflect non-linear relationships (Smola and Schölkopf 2004). It is based on Support Vector Machines (SVM), which determine a suitable set of parameters that establish a decision surface, the so called hyperplane, between the different classes of training samples according to their position in an n -dimensional feature space. The optimal separating hyperplane is identified as the maximized margin between the different classes and the hyperplane. Detailed theoretical background of SVM can be found in Vapnik (1995), Cortes and Vapnik (1995), and Burges (1998).

In the experiments, regression models were learned from 25 grid cells, where the actual number of buildings was determined automatically from the OSM data (i.e., number of building geometries). We excluded collinear features for the OLS model, and determined optimal hyperparameters with respect to minimal root-mean-squared error (RMSE) for the SVR approach (i.e., complexity parameter C , and exponent of polynomial kernel) empirically with a cross-validation strategy.

3.3.2 Population Disaggregation

To provide fine scale population information, we deployed and evaluated four different disaggregation approaches based on simple areal weighting and dasymetric mapping methods. Disaggregation methods perform a transformation, which involves transforming data from one set of coarse spatial units (i.e., source zone) to one set of finer spatial units (i.e., target zone) (Wu et al. 2005). As such, we used for all approaches census data from the coarsest level (i.e., “comuna”; section 2.2.3) as source zone and deployed the pixels which constitute the LULC class “buildings” as target zone, since it was assumed that people solely dwell in buildings. The disaggregation approaches are described below.

i) Simple Areal Weighting (SAW)

Our baseline approach was simple areal weighting (SAW). SAW is based on the assumption that population is uniformly distributed within the source zone. Therefore, population numbers are assigned proportionally to the area of the spatial units in the target zone (linear disaggregation):

$$Pop_i = \frac{A_i}{\sum A_i} * Pop \quad (2)$$

where A_i is the area of the spatial units (i.e., pixels), $\sum A_i$ the sum of areas of all spatial units and Pop the population number of the source zone (here “comuna”).

ii) SAW under consideration of estimated number of buildings (SAW-NB)

In addition, we used a dasymetric mapping method, which deploys knowledge of local characteristics to incorporate zones of different population densities (Mennis and Hultgren 2006). Here, dasymetric zones were generated by using ancillary information derived from the remote sensing data. In particular, the estimated numbers of buildings (section 3.3.1) were used. By dividing the population of the source zone by the estimated number of buildings, the average number of inhabitants per building can be derived. By means of this information the population can be calculated by multiplying the average number of inhabitants per buildings with the number of buildings per grid cell. In a second step, the resulting number of population per grid cell was disaggregated to pixel level by SAW. Thereby, the idea is to improve the SAW approach by constraining the population distribution beforehand based on ancillary information.

iii) SAW and SAW-NB under consideration of OSM data

Lastly, we aimed to enhance the population disaggregation by incorporation of OSM information. For this purpose, we used land use information other than “residential” from the OSM data to possibly identify zones which cannot be considered equally populated although they belong to the LULC class “buildings”. OSM data contain so-called “land use objects”, which represent polygons with affiliated land use categories. In addition, so-called POIs were included, which represent punctual information indicating public, recreational, and cultural places. To use this information, the various labels were aggregated according to semantically relevant categories such as “industrial”, “gastronomy”, “shopping” etc. Thereby, polygons were directly combined with segments from the LULC class “buildings”, whereby punctual information was related to corresponding segments according to a neighborhood criterion. The resulting information for Valparaíso is depicted in Fig. 8.

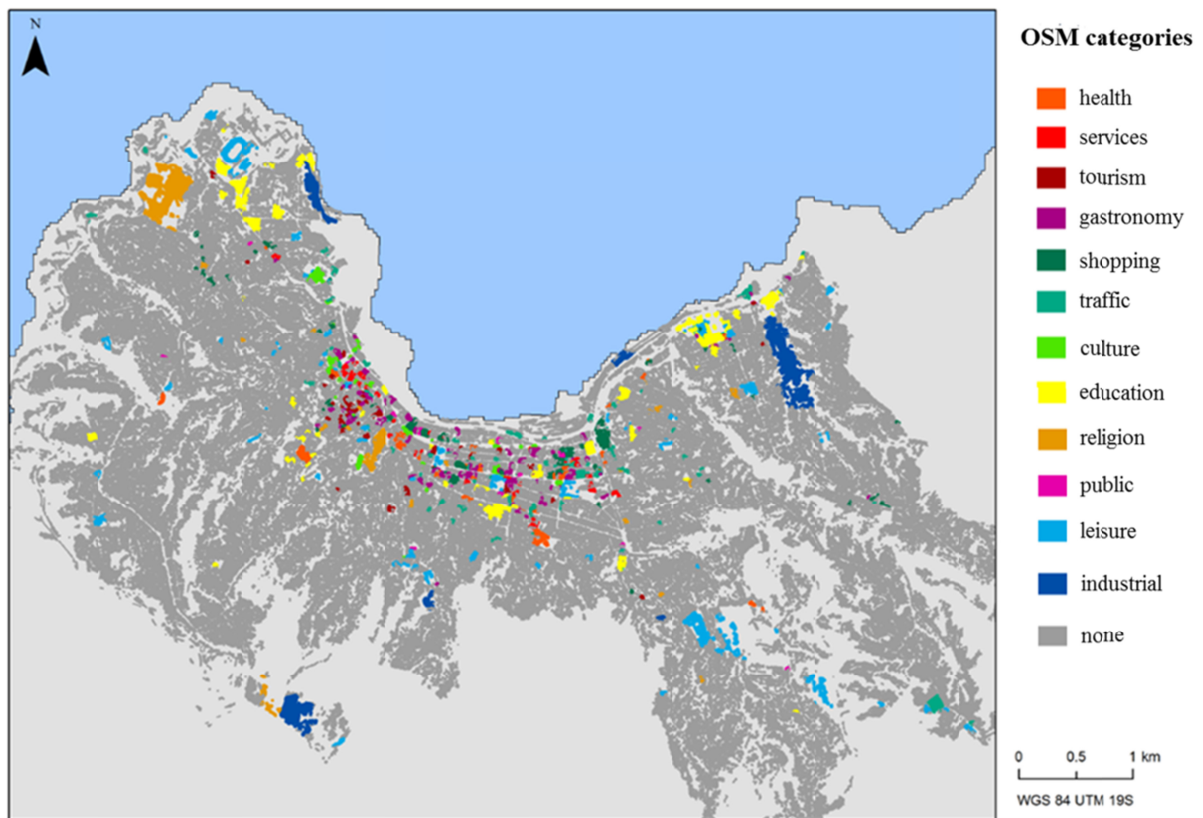


Fig. 8 OSM land use objects and POIs aggregated according to 12 semantically relevant categories.

In the experiments, we evaluated a factor of 0.5 for weighting areas of the spatial units in the target zone regarding the categories “health”, “services”, “tourism”, “gastronomy”, and “shopping”. This was done to reflect a likely mixed usage within those categories, where, e.g., the ground floor of a building was used in a commercial manner and the residual floors feature residential usage. However, for the residual categories we applied a weighting factor of zero.

4 Results and discussion

4.1 Information Extraction

Generalization capabilities of learned classification models are assessed with an independent test set comprising 1056 labeled segments of different LULC classes, which is compiled based on random sampling strategy and manual image interpretation. Model selection with respect to hyperparameter tuning of the Rotation Forest classifier is based on κ statistic (Foody 2002) as global measure for accuracy and corresponding numbers are shown in Fig. 9a. There, we test the robustness of the models with respect to available training segments per class (i.e., a varying number of samples per LULC class were drawn randomly from the set of available samples). It can be seen that κ statistics increase in a strictly monotonous way with a larger number of samples in the model. With a small number of samples, κ statistics meet a substantial agreement (i.e., mean κ statistics vary between 0.68 and 0.76). Then, a plateau is reached where only slight gains of accuracies can be realized, however, the function culminates in an excellent agreement (κ statistic > 0.8) with the unreduced training set.

Simultaneously, standard deviations decrease, what indicates that models become more robust.

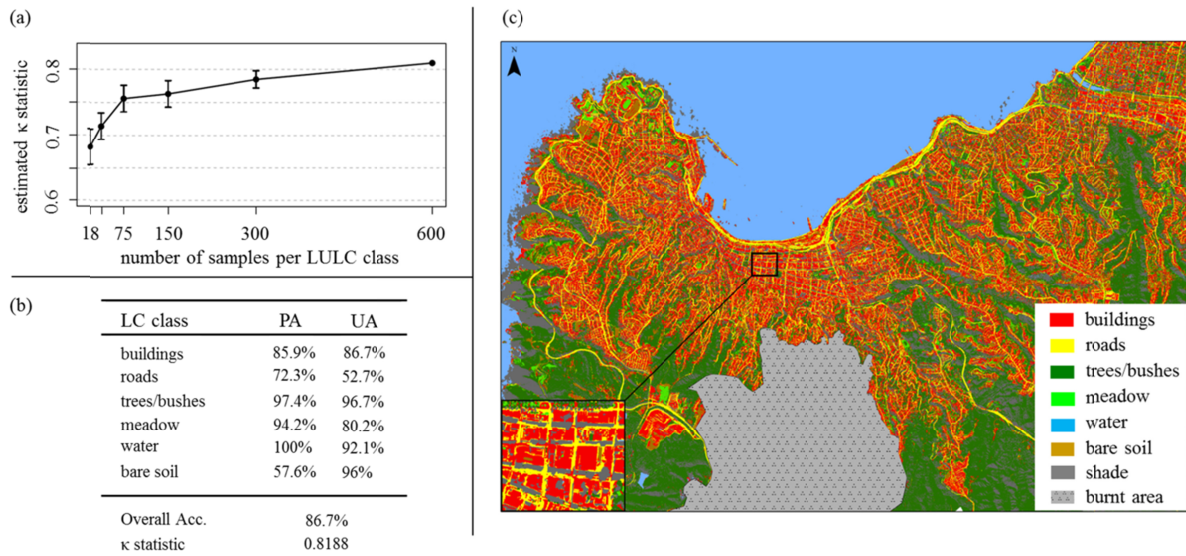


Fig. 9 Results from LULC information extraction workflow; (a) estimated κ statistic of different model runs (reported as mean and standard deviation based on 10 independent runs) with varying number of labeled training segments per class included; (b) accuracy measures for final LULC classification after postclassification processing (PA = Producer’s Accuracy, UA = User’s Accuracy); (c) final LULC classification map

Accuracy measures for final LULC classification after postclassification processing are depicted in Fig. 9b with affiliated LULC classification map (Fig. 9c). Both overall accuracy and κ statistic could be increased to 86.7% (+0.8%) and 0.8188 (+0.0107), respectively. Especially the mutual confusion of the spectrally overlapping classes “buildings” and “roads” could be decreased. From the accuracies of individual classes it can be noted that the vegetation-related classes and water feature highest accuracies. However, also the class “buildings” features very high values, which could be improved notably by the postclassification processing procedure: The final classification features an enhanced producer’s accuracy of 85.9% (+1.2%) and a user’s accuracy of 86.7% (+2.8%) for this class, which underlines the viability of the proposed information extraction workflow in this challenging empirical setting.

4.2 Exposure Estimation

4.2.1 Number of Buildings

For validation purposes, 25 grid cells, which do not belong to the training set, are selected randomly and the actual number of buildings is determined by manual image interpretation. Performance of models is assessed with a set of measures, which comprises Pearson product-moment correlation coefficient (R), mean absolute error (MAE), RMSE, relative absolute error (RAE), root relative squared error (RRSE), and mean absolute percentage error (MAPE) (Fig. 10a). It can be noted that negative or super-positive prediction values were pruned from the models’ output to ensure physically meaningful values for building number estimation. Pruned values are related to non-complete LULC information for individual grid cells at boarder regions of the settlement area, which were in addition subject to LULC

misclassifications. Hence, numerical values of metrics characterizing the individual grid cells are beyond the known training space, which leads to improper extrapolation (Okujeni et al. 2013).

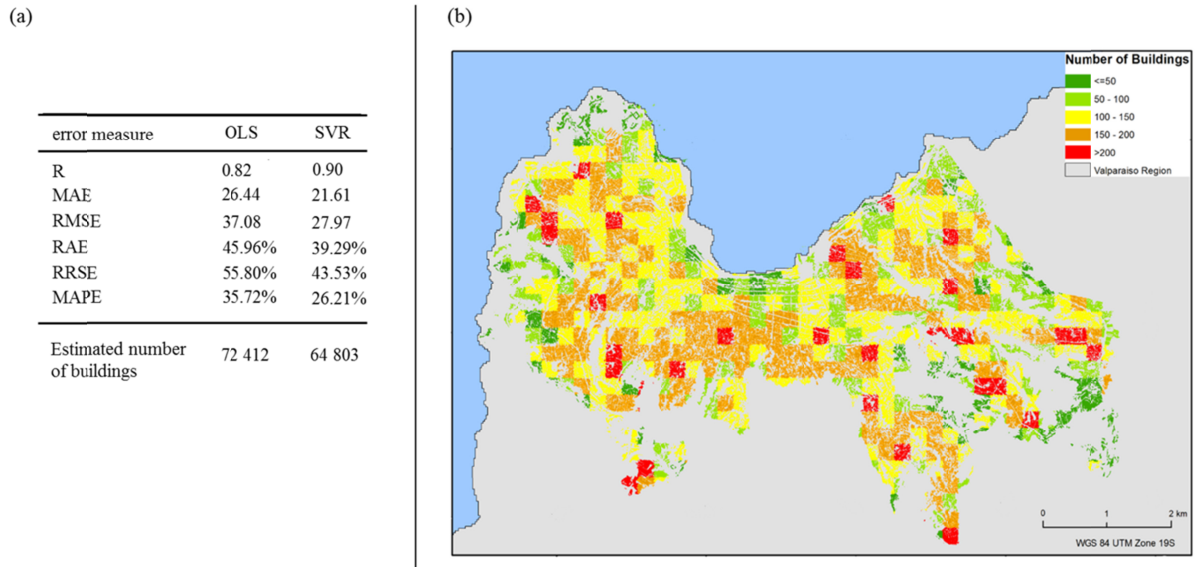


Fig. 10 Results of estimations of number of buildings; (a) different error measures for both OLS and SVR model; (b) applied SVR model for Valparaíso

It can be seen from Fig. 10a that both models feature a very high additive relationship between predictions and reference ($R > 0.8$) especially given the limited amount of labeled grid cells for establishing the models. MAE of the number of estimated buildings from the reference data set is 26 buildings for the OLS model and less than 22 buildings for the SVR model, which corresponds in relative terms (MAPE) to a deviation of 35.7% (OLS) and 26.2% (SVR). In accordance to the values of aforementioned measures, also RMSE, which represents an important criterion to assess the quality of fit of a prediction model, underlines that the SVR model performs better. It can also be noted that a rather small difference between MAE and RMSE corresponds to an insignificant influence (i.e., non-existence) of outliers (i.e., large deviations). This underlines again the superiority of the SVR model in conjunction with the residual relative error measures.

Fig. 10b illustrates the results from the applied SVR model for the city of Valparaíso. Overall, 64,803 buildings are predicted by the SVR model for the pictured area (approximately 7,600 less than the OLS model). In accordance with the error measures also the application of the model features a reasonable output. For instance, the harbor area and city center are characterized by a low number of buildings, since there dominantly very large buildings with industrial or commercial use exist. Instead, the hill quarters feature many small buildings with residential use and are thus characterized by a high number of buildings (see also Fig. 1c). In this sense, both examples are directly reflected by the model outputs. Thus, we conclude that the number of buildings as crucial information on exposure is derived in its correct dimension and that the approach can be evaluated as feasible in this setting.

4.2.2 Population Disaggregation

Validation of the population disaggregation is based on the finest level of available census data (i.e., “manzanas”/building blocks). Therefore, the results of the target zone on pixel level are aggregated to the corresponding building block geometries for comparison. With respect to the MAE, we observe an increase of accuracy given our baseline method (MAE of SAW: 46.14) when incorporating estimated number of buildings (MAE of SAW-NB: 42.69). Notably, the accuracy levels of both approaches increase, when information from OSM is included (i.e., MAE of SAW OSM: 43.37, MAE of SAW-NB OSM: 41.77). To get more differentiated insights, we plotted MAEs of different methods according to the population size of the respective reference building block (Fig. 11a). It can be seen that low populated and, more significantly, high populated areas appear to be prone to erroneous estimations. The interquartile range of highly populated areas is distinctively large, which indicates that errors can be both quite low and extremely high. When manually inspecting the results, it becomes apparent, that large deviations can be primarily attributed to the number of (large) multistory buildings within a building block (i.e., building blocks feature a high number of people in the reference but not a correspondingly high number in the estimation result). Such relations can hardly be reflected given the deployed two-dimensional remote sensing data. However, the incorporation of height information from e.g., a normalized digital surface model could be employed to substantially increase the level of accuracy (Aubrecht et al. 2009). Nevertheless, beside those outliers, MAEs of the estimates reflect overall a fair correspondence with respect to the reference.

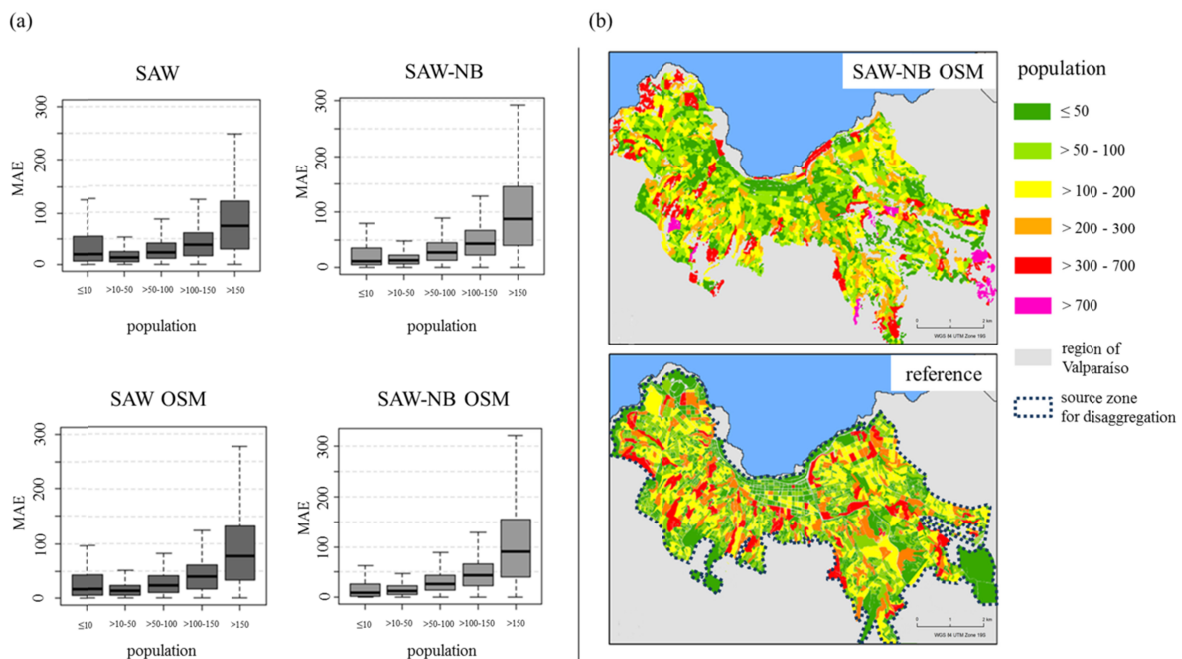


Fig. 11 Results of population estimation; (a) box plots of mean absolute errors according to population size of reference building block with respect to different methods; (b) population disaggregation based on simple areal weighting under consideration of estimated number of buildings and land use information from OSM (SAW-NB OSM); reference on building block level.

The corresponding population map of the best performing method (i.e., SAW-NB OSM) is depicted in Fig. 11b along with the population numbers of the reference blocks. Most noticeable areas of overestimation are located at large sports and health areas in the Northwest, and at the airfield in the Southeast of the city, which can be primarily attributed to misclassifications. Nevertheless, the overall allocation of population reflects the spatial distribution of the reference, especially given the circumstance that the number of population was disaggregated from the coarsest level of census data available (i.e., a single number was available for the source zone which comprises the whole city of Valparaíso). In this regard, it can be noted that especially large shares of the population of the tsunami prone harbor region can be reflected properly. Thereby, helpful information could be encoded from the OSM data in terms of “land use objects” and POIs for this area (Fig. 8) to improve the mapping results. This underlines again the usefulness of incorporation of OSM information.

4.2.3 Application for Tsunami Scenario

To demonstrate the relevance of the presented approaches in the context of natural hazard risk, we compute the today’s number of affected buildings and people for a historically grounded tsunami scenario. In particular, we consider the destructive tsunami event from 1730. The tsunami was triggered by an earthquake with an approximate magnitude M_w of 9.0 (Cisternas et al. 2012) and inundated the lower coastal parts of the settlement area of Valparaíso. The inundation area from Fig. 12 was obtained with a numeric modeling approach under consideration of topographic, bathymetric, and seismic data (SHOA 2012, 2015). The modeling results can be partly verified by taking into consideration marks at historical places (i.e., iglesia de la Matriz, and iglesia de la Merced), which represent documented borders of the inundation and confirm the viability of the inundation model. The severity of the inundation becomes in particular obvious when compared with the inundation line of the 1906 tsunami. According to the number of buildings (Fig. 10) and people (Fig. 11) estimated previously, a similar event would affect nowadays approximately 2900 buildings and 9300 people (according to their place of residence, i.e., during a nighttime event).

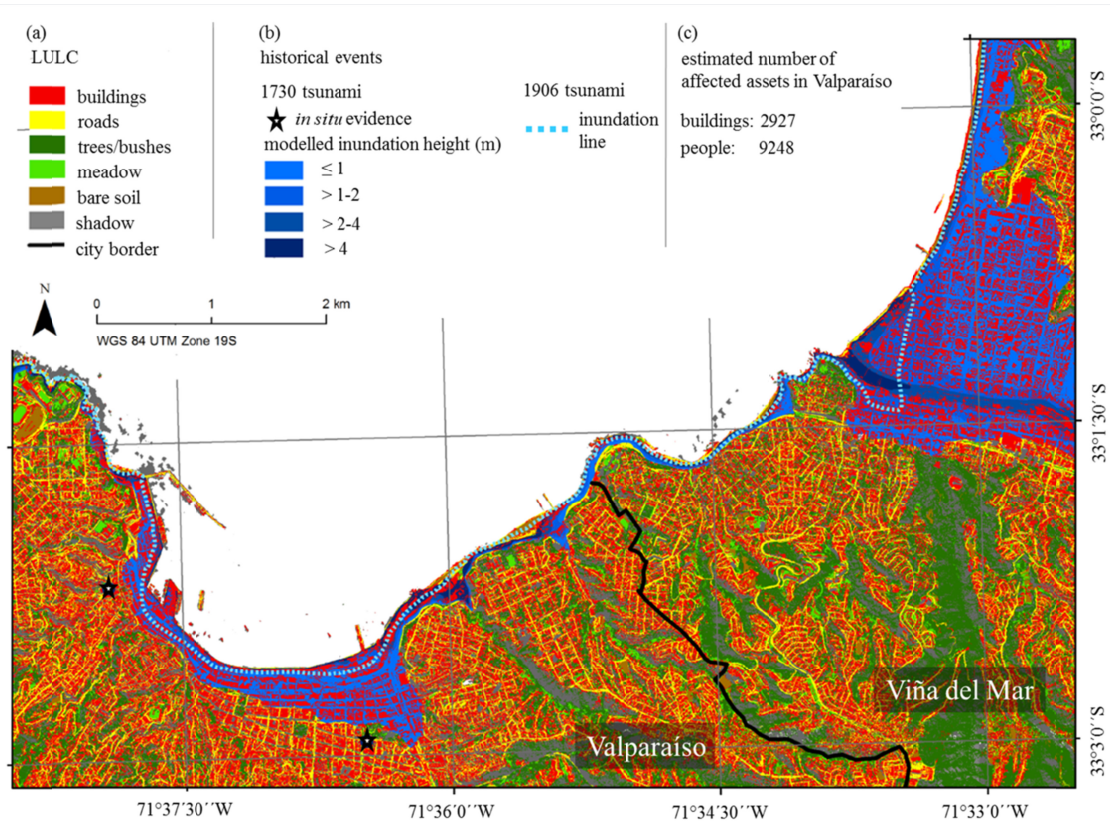


Fig. 12 Tsunami scenario for Valparaíso and Viña del Mar; (a) LULC classes and city borders; (b) characteristics of historical tsunami events; (c) estimated number of affected assets for the city of Valparaíso

5 Conclusions and future perspectives

In this paper, we presented a novel workflow for the estimation of important exposure characteristics by joint exploitation of VHR remote sensing data and VGI. Thereby, OSM data were deployed in three different key applications: LULC classification, estimation of number of buildings, and estimation of exposed population. To this purpose, labeled training samples were generated from the OSM data for supervised LULC classification in conjunction with remote sensing imagery. Thereby, a spatially-constrained selection of most viable samples was carried out under consideration of OSM data-related quality measures. LULC classification results obtained with a Rotation Forest model featured excellent κ statistics above 0.8. Analogously, viable estimation of number of buildings could be achieved by establishing an empirical relation between the number of building geometries from the OSM data and affiliated LULC information. Finally, OSM data proved also useful for the enhancement of accuracy of population disaggregation approaches. In summary, this study underlines the potential of incorporating VGI in remote sensing applications for information extraction procedures and exposure estimation, which can be in particular useful in data-scarce regions of the world. Thereby, improved results can be expected when anticipating a likely increase of availability and quality of VGI data in the future.

In this manner, future work is suggested to address the development of advanced approaches to assess the quality and credibility of VGI data. This would be an important step towards fully automated processing systems. In addition, other sources containing georeferenced information such as Twitter, Flickr or Wikimapia can be explored for extended

analysis (Blaschke 2011). Recent conceptual works explicitly acknowledge temporal aspects (Volunteered Geo-Dynamic Information) and describe the potential impact on the field of dynamic population distribution modeling to overcome limits of residency-based census data (Aubrecht et al. 2016). As just one example, Aubrecht et al. (2011) deploy VGI from a location sharing service to characterize the dynamics of population patterns. Moreover, it would be interesting to examine to what extent VGI can contribute to the assessment of other components of natural hazard risks, such as seismic vulnerability of built environments with respect to earthquakes, in conjunction with the application of remote sensing (Geiß et al. 2014, 2015, 2016a). This could serve as important information for comprehensive risk and damage assessments in the context of e.g., earthquakes (Picozzi et al. 2013) or tsunamis (Strunz et al. 2011, Wegscheider et al. 2011, Gokon et al. 2015) for prospective multi-hazard early warning and response systems.

Generally, we believe that a combined use of remote sensing, as a powerful earth monitoring tool, and VGI, as an exhaustive information source, has the potential to contribute substantially to the generation and updating of global risk models – for enhanced disaster mitigation and response.

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