

Paper:

# Object-Based Method for Estimating Tsunami-Induced Damage Using TerraSAR-X Data

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The object-based method we developed to estimate building damage uses high-resolution synthetic aperture radar (TerraSAR-X) data from the 2011 Tohoku earthquake and tsunami. The damage function we developed involves the relationship between changes in the sigma nought values of pre- and postevent TerraSAR-X data and the damage ratio of washed-away buildings. We confirmed that the function performed as expected by estimating the number of washed-away buildings in homogeneous areas, agreeing well with ground truth data verified by a Pearson's correlation coefficient of 0.99. The same damage function applied at another test site yielded a Pearson's correlation coefficient of 0.98. These results are sufficient to ensure transferability. We then simplified and semiautomated these processes in an ArcGIS environment, estimating building damage in the city of Sendai within 26 minutes.

**Keywords:** Remote sensing, Building damage, Tsunami, SAR, Object-based method

## 1. Introduction

A Mw9.0 earthquake and tsunami occurred along the coast of the Tohoku region in northeast Japan on March 11, 2011. The tsunami had a maximum runup height of 40.1 m that caused major damage to buildings, forests, and the infrastructure, in addition to eroding the coastline [1]. As of August 10, 2014, Japan's National Police Agency had reported 18,499 dead or missing and 127,390 buildings and/or houses that had collapsed or been washed away in the tsunami [2]. Since 2011, we have studied the tsunami and its impact using such approaches as field surveys, numerical modeling and remote sensing [3, 4]. Individual approaches each have their advantages and disadvantages, so the optimal approach for a case should be selected based on the information required. Remote sensing technology is useful, for example, in assessing extensive damage, and synthetic aperture radar (SAR), which functions quasi regardless of weather and light conditions, enhances the rapid observation of affected areas [5].

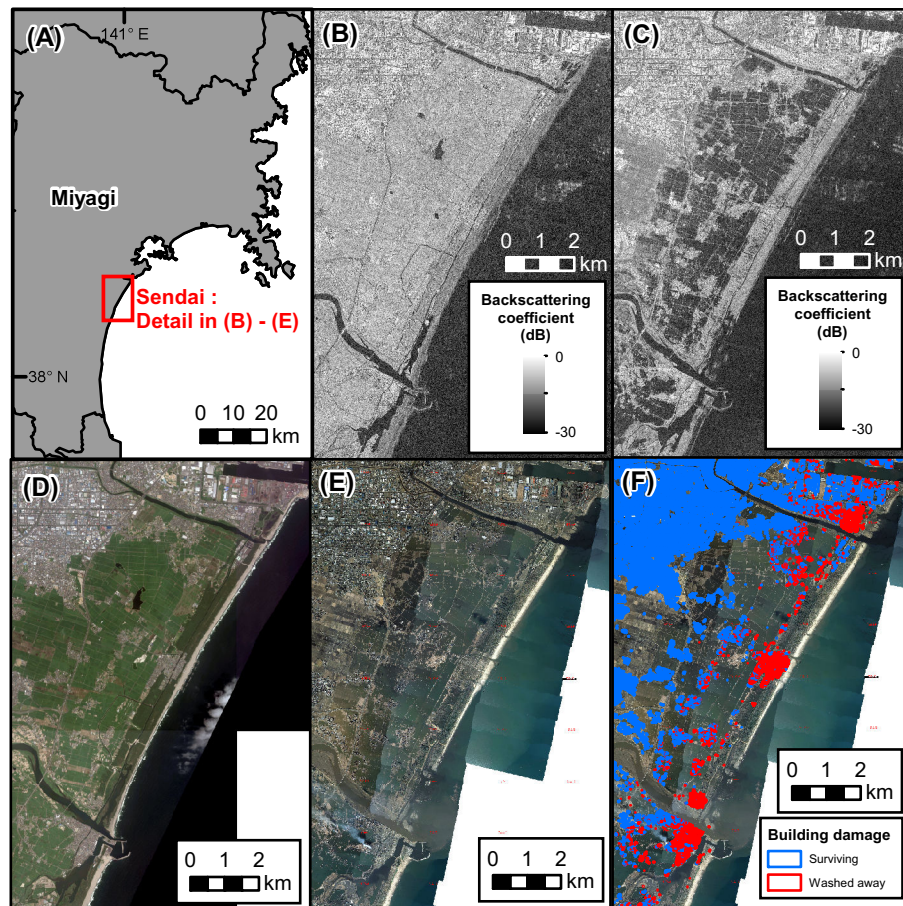
Numerous methods for detecting building damage caused by natural disasters have been developed in recent decades [6–9]. After the TerraSAR-X (DLR) and CosmoSkyMed, which have high-resolution active sensors, were launched in 2007, approaches have been based increasingly on a building unit scale that takes high-resolution SAR data into consideration [10–12]. In the 2011 Tohoku disaster, airborne high-spatial-resolution SAR has been used to assess building damage induced in tsunamis [13–15]. Another method that inspects detailed damage to building side walls based on the side looking system in SAR observation has been proposed for use following tsunami disasters [16].

Most among the several types of techniques for detecting building damage on a building unit scale have identified building damage based on changes in the sigma nought values of SAR data in the building silhouette. These models sometimes show errors, however, e.g., in cases where changes to the building silhouette change sigma nought values in the silhouette – one of the challenges when using a unit-scale-based method. To solve this silhouette problem, surrounding pixels should be used to identify building damage. That is, both changes in the silhouette and surrounding changes in the building itself should be considered in detecting building damage. We focused on such zonal changes, which are wider than the building-unit scale, with the objective of developing a new way for estimating buildings washed away by a tsunami.

## 2. Data Set and Study Area

The study area we selected was Sendai, a Miyagi Prefecture city that was one of the most devastated in the 2011 Tohoku earthquake and tsunami (**Fig. 1(A)**). We detected damage using pre- and postevent TerraSAR-X data. Preevent data was collected on October 20, 2010 (UTC) and postevent data on March 12, 2011 (UTC), by using strip map mode that originally provided 3 meters in spatial resolution. Data sets were offset (EEC) geometrically and resampled at a 1.25 m/pixel resolution (**Figs. 1(B), (C)**). Results were validated using high-resolution preevent optical satellite images, Worldview-2 images taken on August 4, 2010 (UTC) (**Fig. 1(D)**), and





**Fig. 1.** (A) Study area, (B) Preevent TerraSAR-X data, (C) Postevent TerraSAR-X data, (D) Preevent Worldview-2 image, (E) Postevent Worldview-2 image, (F) Building damage data.

postevent aerial photographs taken on March 12, 2011 (JST), and provided by the Geospatial Information Authority of Japan (GSI) (**Fig. 1(E)**) [17]. Building damage map, i.e., building footprint data having “Survived” and “Washed away” attributes was used (**Fig. 1(F)**) [18]. A building mask was extracted based on preevent building footprint data (Zmap-TOWNII) published by using Japan’s Zenrin. TerraSAR-X data were preprocessed by using U.S. Exelis VIS ENVI ver. 5.0. TerraSAR-X data was mainly processed based on U.S. Trimble eCognition Developer ver. 8.64.0 and ArcGIS ver. 10.1.

### 3. Method

#### 3.1. Pre-Processing

TerraSAR-X data preprocessing included calibration converting digital numbers to sigma nought (dB). Speckle noise was reduced by using a Lee filter with a  $3 \times 3$  ( $3.75 \text{ m} \times 3.75 \text{ m}$ ) window [19]. Last, pre- and postevent images were registered based on a normalized cross-correlation.

#### 3.2. Change Detection

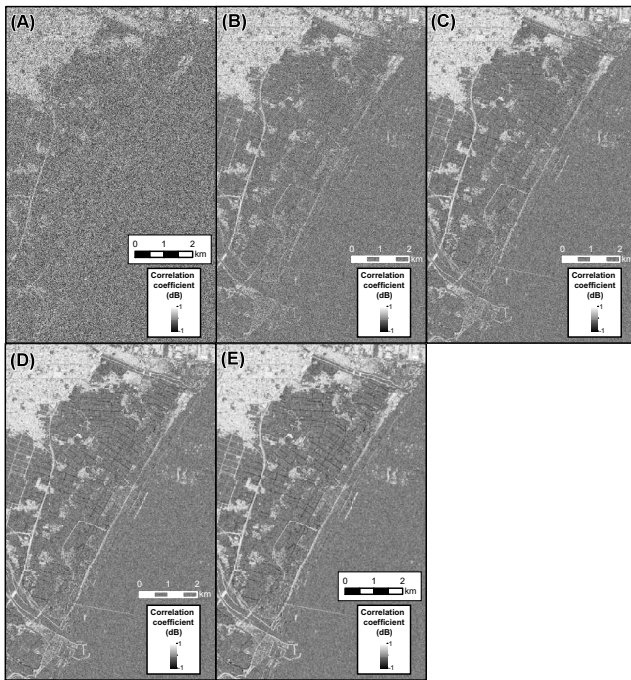
To detect changes caused by the tsunami, we calculated correlation coefficient images using pre- and postevent

TerraSAR-X data (**Fig. 2**). Correlation coefficient ( $r$ ) was defined as follows:

$$r = \frac{N \sum I a_i I b_i - \sum I a_i \sum I b_i}{\sqrt{(N \sum I a_i^2 - (\sum I a_i)^2)} \sqrt{(N \sum I b_i^2 - (\sum I b_i)^2)}} \quad (1)$$

where  $I a_i$  and  $I b_i$  are the sigma nought values of the  $i$ th number of pixels in the kernel.  $\sum$  is the sum of  $i$ th pixel values, and  $N$  is the number of pixels in the kernel. Correlation coefficients ranged from  $-1$  to  $+1$ . Areas with small changes showed higher values and those with large changes show lower values.

Correlation coefficient images were calculated based on five types of kernel sizes:  $3.75 \text{ m} \times 3.75 \text{ m}$ ,  $11.25 \text{ m} \times 11.25 \text{ m}$ ,  $18.75 \text{ m} \times 18.75 \text{ m}$ ,  $26.25 \text{ m} \times 26.25 \text{ m}$ ,  $33.75 \text{ m} \times 33.75 \text{ m}$  (**Figs. 2(A) to (E)**). Comparing correlation coefficient images to actual building damage distribution showed that surviving buildings were concentrated, showing a higher correlation coefficient. In areas where most buildings had been washed away by the tsunami, correlation coefficient images showed lower values. For correlation coefficient images calculated by a  $3.75 \text{ m}^2$  kernel size, noise was confirmed throughout the image, making it difficult to identify boundaries of built-up areas. We inferred that these were caused by small changes in the earth’s surface. As kernel size increased, these boundaries became clearer, however.



**Fig. 2.** Change detection by calculating correlation coefficient images. Kernel sizes for the calculations are; (A) 3.75 m  $\times$  3.75 m, (B) 11.25 m  $\times$  11.25 m, (C) 18.75 m  $\times$  18.75 m, (D) 26.25 m  $\times$  26.25 m, (E) 33.75 m  $\times$  33.75 m.

### 3.3. Investigation of the Relationship Between the Changes on the Ground and Correlation Coefficient Values

Changes on the ground caused changes in the backscattering coefficient, which in turn resulted in changes in correlation coefficient values. Before estimating building damage based on the correlation coefficient, we found it useful to investigate the relationship between ground changes in built-up areas and correlation coefficient values.

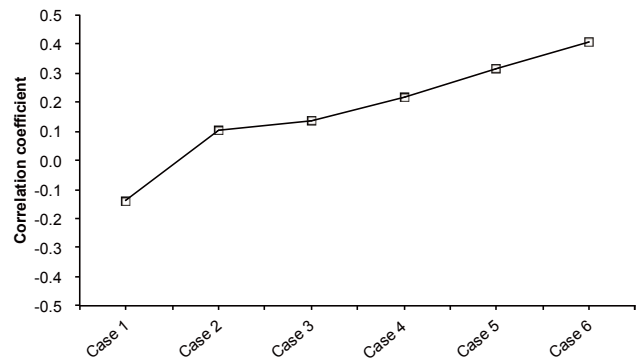
We studied cases of the following six ground change patterns in built-up areas:

- Case 1: Buildings were washed away and the site was covered by water (**Fig. 3(A)**).
- Case 2: Buildings were washed away and the foundation walls were exposed (**Fig. 3(B)**).
- Case 3: Buildings were washed away and the site was covered by soil (**Fig. 3(C)**).
- Case 4: Buildings were washed away and the site was covered by debris (**Fig. 3(D)**).
- Case 5: Buildings survived and debris accumulated around them (**Fig. 3(E)**).
- Case 6: Buildings survived and the site was covered by soil (**Fig. 3(F)**).

We calculated the mean correlation coefficient values inside red lines in **Fig. 3** as shown in **Fig. 4**. Note that mean correlation coefficient values decrease as ground changes become increasingly significant.



**Fig. 3.** Building damage in tsunami-affected areas (A) Case 1: Buildings were washed away and the site was covered by water; (B) Case 2: Buildings were washed away and foundation walls were exposed; (C) Case 3: Buildings were washed away and the site was covered by soil; (D) Case 4: Buildings were washed away and the site was covered by debris; (E) Case 5: Buildings survived and debris accumulated around them; (F) Case 6: Buildings survived and the site was covered by soil.



**Fig. 4.** Mean correlation coefficients based on damage pattern types.

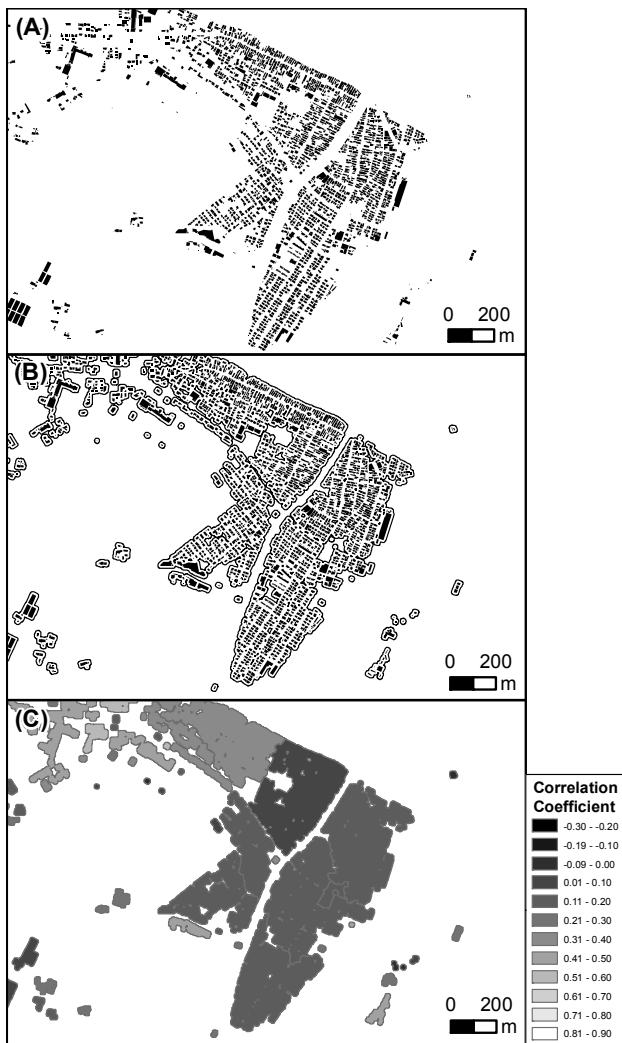
### 3.4. Extraction of Built-Up Areas

To focus on changes related to building damage, we created a mask of built-up areas based on preevent building footprint data, i.e., Zmap-TOWNII. Specifically, we created outlines of built-up areas 10 meters from the building footprint and merged with each other using the ArcGIS buffer tool shown in **Figs. 5(A), (B)**.

### 3.5. Region Growing Method

To classify correlation coefficient images into areas with similar ground changes, we applied a region growing method. Here we assumed that similar ground changes caused similar changes in backscattering coefficients, which led to similar patterns of correlation coefficient values.

Segmentation was based on the region growing method to classify correlation coefficient images based on the

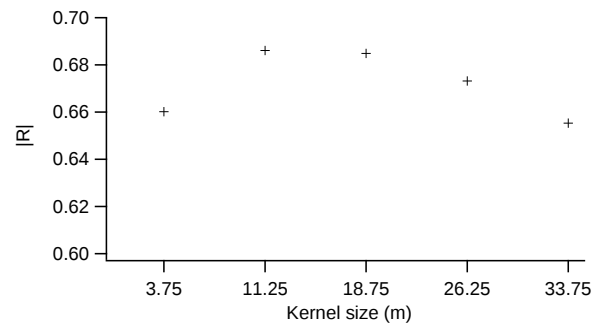


**Fig. 5.** Example of region-growth-based segmentation. (A) Building footprint data, (B) Built-up area views, (C) An example of objects.

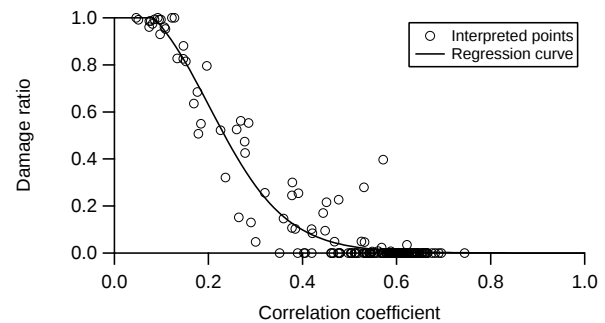
ground change features in the previous section. An example of segmentation is shown in (Fig. 5(C)). Correlation coefficient images within built-up areas were divided into objects based on homogeneity. We conducted segmentation processing based on the “multi-resolution segmentation” processing provided by the eCognition Developer. We determined segmentation parameters by trial and error in order to classify correlation coefficient images with the patterns defined in the previous section. We used the following final parameters to make objects: scale parameter: 200, shape: 0.1, color: 0.9, smoothness: 0.5 and compactness: 0.5.

### 3.6. Damage Function

To find the optimal kernel size for detecting building damage, we calculated and compared Pearson's correlation coefficients between mean correlation coefficient values for each object and the damage ratio as shown in Fig. 6. This resulted in our choosing a kernel size of 11.25 m × 11.25 m for estimating damage. We developed a damage function for estimating the damage ratios



**Fig. 6.** Experimentally found optimal correlation coefficient sizes. (|R|:Absolute value of correlation coefficient).



**Fig. 7.** Regression curve estimating the washed-away-building damage ratio.

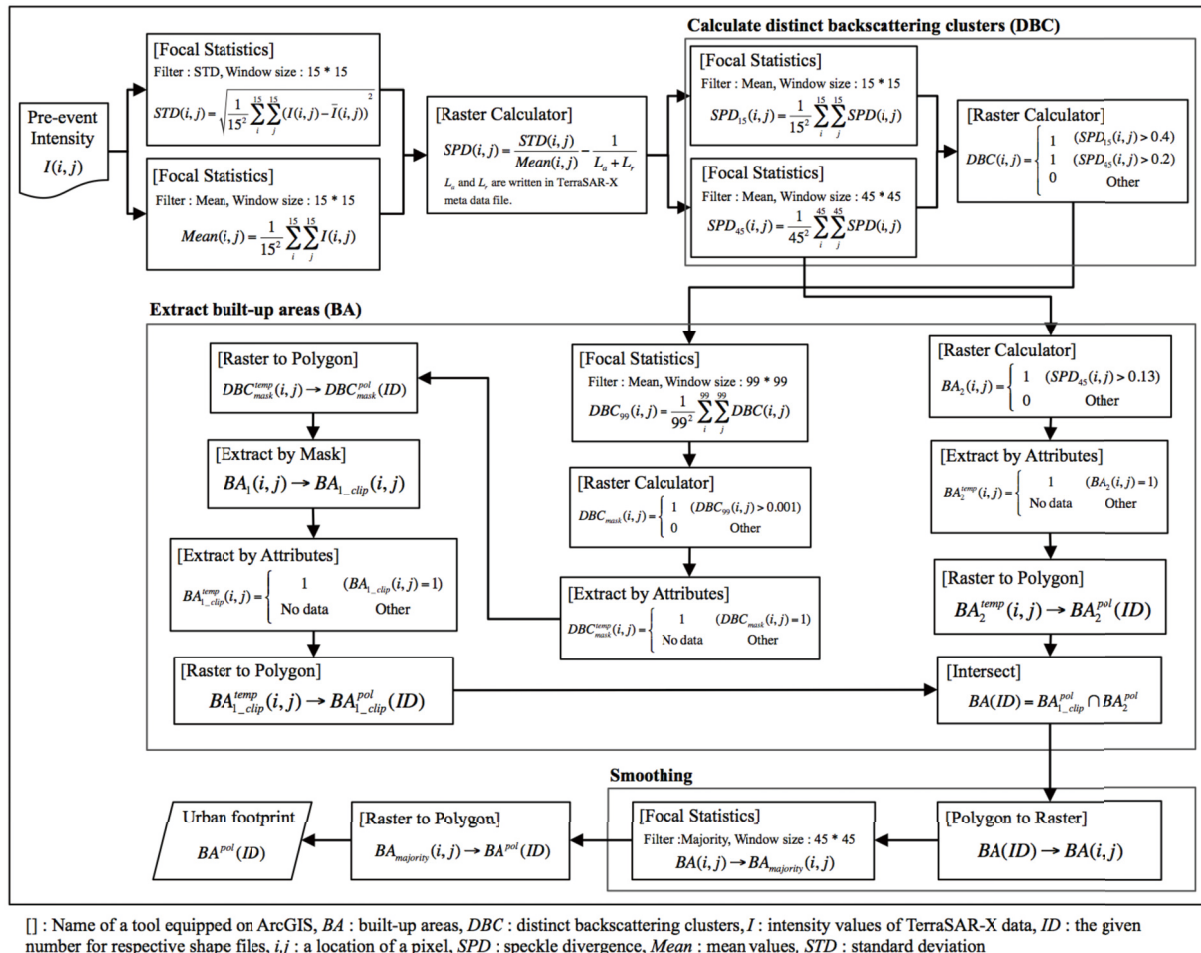
of washed-away buildings on a zonal scale. Damage ratios were estimated by calculating the ratio of the number of washed away buildings over the total number of buildings within each object. We correlated mean values of correlation coefficients and damage ratios for development and conducted regression analysis. In this case, average correlation coefficient values were explanatory variables and damage ratios were predictors. We validated functions based on a building damage map having information on surviving and washed-away buildings as proposed by Gokon and Koshimura (2012) [20]. We conducted regression analysis using all of the objects with buildings numbering more than 30 in the study area, i.e., 182 objects. We used a sigmoid function for fitting as shown in Fig. 7. Derived function  $F$  is given as follows:

$$F = 1.20 - \frac{1.20}{\left(1 + \exp\left(-\frac{R_m - 0.21}{0.080}\right)\right)} \quad \dots (2)$$

where  $R_m$  is the mean value of a correlation coefficient in an object. In Fig. 7, a line shows a regression curve and points are damage ratios in individual objects. This function shows that for a low correlation coefficient, the damage ratio is high.

Some parts of objects showed higher damage ratios, even though the correlation coefficient was a high value exceeding 0.5. In investigating possible causes for this, we found that damage to objects that included large-scale buildings had been underestimated, i.e., even small buildings included in objects washed away by the tsunami showed correlation coefficient values higher by the large scale buildings surviving the tsunami.





**Fig. 11.** Built-up area detection models in an ArcGIS environment. We revised parameters from the model of Esch et al. (2010).

data file. Next, local speckle divergence  $D_{x,y}$  calculated by using the following equation:

$$D_{x,y} = C_{x,y} - C, \text{ with } C_{x,y} = \frac{\sigma_{x,y}}{\mu_{x,y}} \quad \dots \quad (5)$$

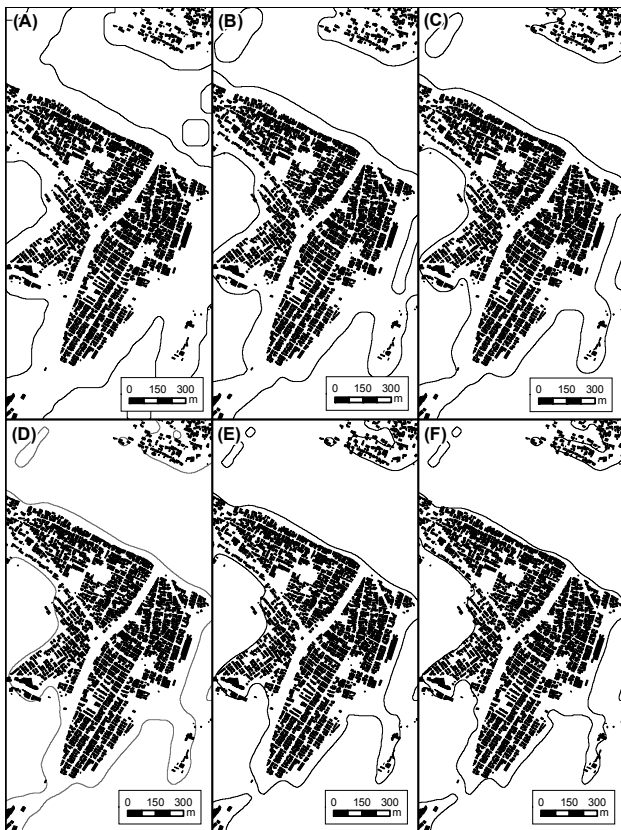
where  $\mu_{x,y}$  is the mean value and  $\sigma_{x,y}$  is the standard deviation of TerraSAR-X intensity data estimated with a 11.25 m × 11.25 m pixel window. The parameter  $C$ , the coefficient of variation, represents the theoretical heterogeneity due to the fully developed speckle.

#### 4.1.2. Pixel-Based Image Analysis

Built-up areas were extracted based on speckle divergence. Parameters were referred to from Esch et al.(2010). The transferability of the parameter was verified in the paper. In the first step, we compared locally (18.75 m × 18.75 m) and regionally (56.25 m × 56.25 m) averaged  $D_{x,y}$  to two thresholds, i.e., 0.4 and 0.2. If one of the thresholds was exceeded, areas were classified into distinct backscattering clusters (DBC). In the second step, built-up areas (BA) were detected if the region included a certain amount of DBC within a 123.75 m × 123.75 m pixel window, and a regionally increased  $D_{x,y}$  exceeds 0.001, which is described as  $DBC_{99} > 0.001$  in **Fig. 11**. Next, we integrated all DBC areas into class BA and assigned all other unclassified pixels assigned as

nonbuilt-up areas (NBA). We then applied a 56.25 m × 56.25 m majority filter to eliminate outliers, obtaining the final built-up areas shown in **Fig. 12(A)**. Black represents building footprint data and the silhouette is detected built-up areas. In this result, the estimated silhouette of built-up areas is much larger than the actual building footprint.

The critical parameter for the size of detected built-up areas is threshold value  $DBC_{99} > 0.001$  as shown in **Fig. 11**. This becomes smaller as the threshold value increases, but detected results of built-up areas were overestimated compared to the actual building footprint. To minimize the detected result, we tested several types of threshold value  $DBC_{99}$  from 0.1 to 0.5 as shown in **Figs. 12(B)** to **(F)**. The detected silhouette of built-up areas should be closer to the building footprint described in black in **Fig. 12**, but should not be smaller than actual building footprint data. **Figs. 12(B)** to **(E)** shows that the size of extracted built-up areas becomes smaller as the DBC value becomes higher. Comparing building footprint data to the detected silhouette, we selected threshold  $DBC_{99} = 0.4$ , which agrees well with building footprint data. If  $DBC_{99}$  is less than 0.4, the extracted silhouette of built-up areas becomes too large, increasing nonbuilding areas. This makes it difficult to estimate damage accurately. If  $DBC_{99}$  is higher than 0.4, however, the extracted silhouette becomes too small.



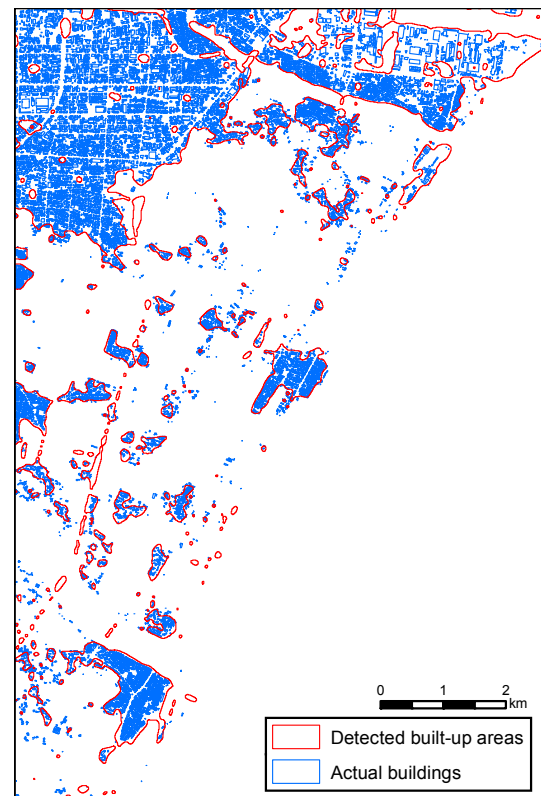
**Fig. 12.** Evaluation of parameters for detecting built-up areas. The threshold values were (A)  $DBC_{99} > 0.001$ , (B)  $DBC_{99} > 0.1$ , (C)  $DBC_{99} > 0.2$ , (D)  $DBC_{99} > 0.3$ , (E)  $DBC_{99} > 0.4$  and (F)  $DBC_{99} > 0.5$ .

#### 4.1.3. Implementation on ArcGIS

We implemented these procedures on ArcGIS with model builder platform. The model is shown in **Fig. 11**. We had to choose TerraSAR-X intensity data. We also had to input *ENL* values. As we ran the model, a shape file of built-up areas was exported.

## 4.2. Result and Discussion in Detecting Built-Up Areas

The result of detecting built-up areas is shown in **Fig. 13**. Compared to preevent building footprint data published by Zenrin in Japan, we confirmed that extracted built-up areas fully covered building footprint data. Some parts showed overestimations in detecting built-up areas, however, e.g., a highway running north to south showed higher speckle divergence and was extracted as built-up areas. Bridges and other parts were also classified as built-up areas because, speckle divergence showed higher values in areas where high and low backscattering existed too close to each other. In the case of the highway, layover and double bounce scattering enhanced backscattering coefficients at the foot of the highway. The road showed darker backscattering, which was caused by specular scattering. A man-made structure was detected successfully so in that sense, the model worked well. We focused on detecting residential area, so it was necessary to resolve



**Fig. 13.** Built-up area detection results.

such under- and overestimation when estimating building damage.

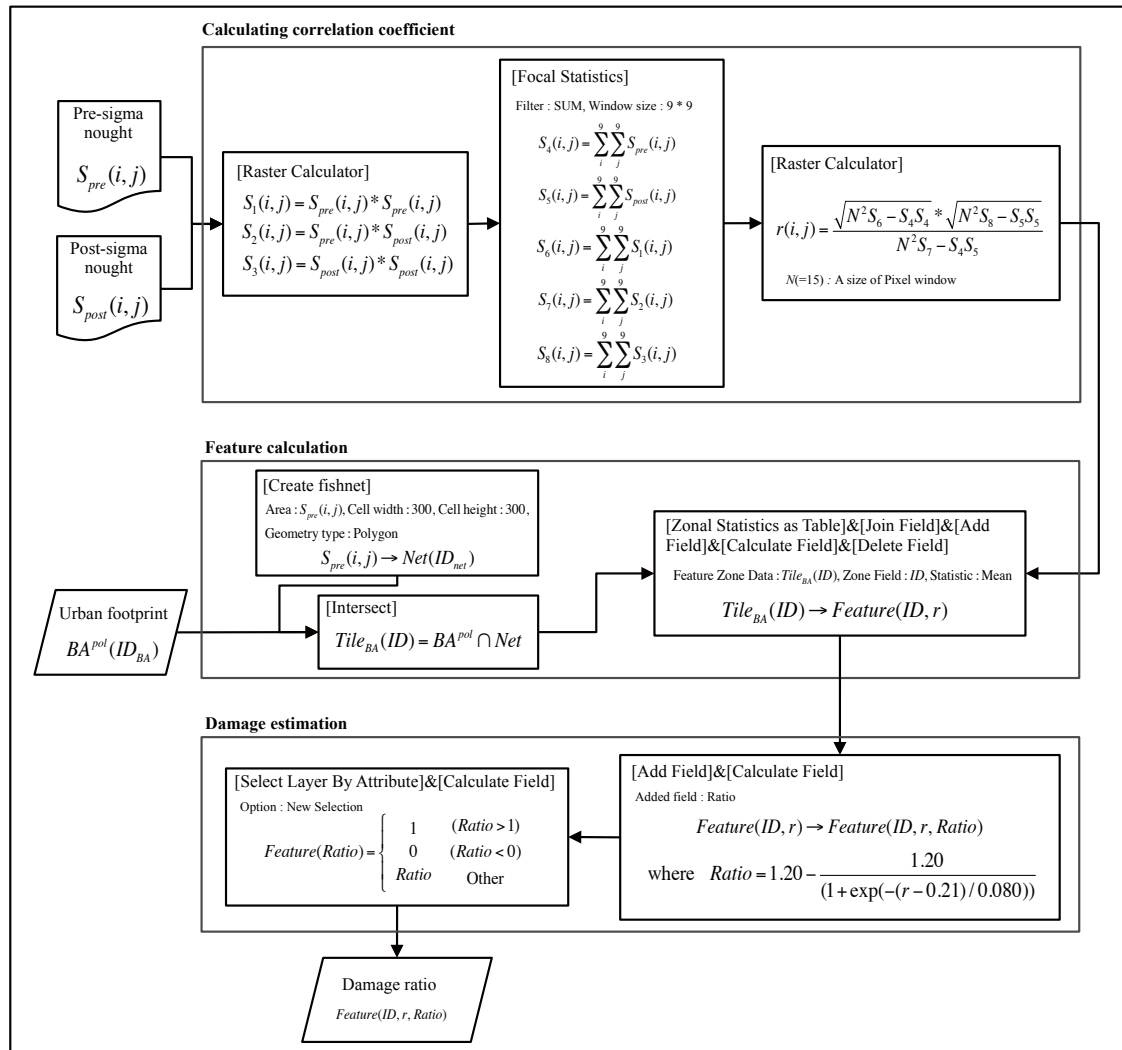
It would also be of value to discuss the stability of speckle divergence values. Eq. (5) shows that speckle divergence calculates the local variability of sigma nought values. We consider local variability in built-up areas to show stably high values because man-made structures cause an extremely high sigma nought due to layover or double-bounce scattering and extremely low sigma nought due to radar shadows.

## 4.3. Damage Estimation

Damage ratio was estimated based on the damage function and correlation coefficient. To apply the method for a quick response, the method was automated on ArcGIS environment. However, ArcGIS environment does not support the region growing algorithm. Therefore, the more simplified tile scale approach was adopted in this case.

Tile sizes of 100, 150, 200, ..., 400 meters were examined. To determine the optimal tile size, Pearson's correlation coefficient of the actual building damage and estimated result was calculated as the index of damage ratio or the number of buildings in the tile. The results are summarized in the **Table 1**.

To estimate detailed building damage, the tile size should be smaller, but based on **Table 1**, we found that the correlation between actual damage and estimated results increased as tile size increased. One reason for this was that, when the tile was too small, the number of buildings included in the tile might also be too small and damage



[] : name of a tool equipped on ArcGIS, *Active* : activated shape files by the selecting tools, *Area* : the area of the shape file, *BA* : a shape file of built-up areas, *D* : the values of elevation (m), *Feature* : estimated feature values at a tile scale, *ij* : a location of a pixel, *N* : a size of pixel window, *Net* : a shape file of tiles, *r* : correlation coefficient, *Ratio* : Damage ratio, *S* : temporal results of calculations based on the sigma nought values,  $S_{pre}$ ,  $S_{post}$  : pre- and post-event sigma nought values, *Tile* : a shape file of tiles inside built-up areas

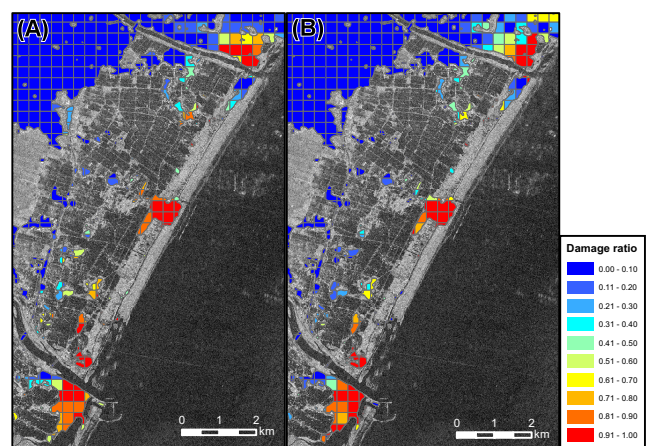
**Fig. 14.** Building damage estimation model in the ArcGIS environment.

**Table 1.** Evaluation for tile size calculation.

| Tile size | Num. | R01  | Truth | Estimate | R02  |
|-----------|------|------|-------|----------|------|
| 100       | 1894 | 0.54 | 5347  | 5619     | 0.97 |
| 150       | 1029 | 0.58 | 5341  | 5653     | 0.98 |
| 200       | 689  | 0.64 | 5345  | 5670     | 0.99 |
| 250       | 523  | 0.58 | 5340  | 5685     | 0.99 |
| 300       | 379  | 0.65 | 5331  | 5716     | 0.99 |
| 350       | 308  | 0.66 | 5331  | 5695     | 0.99 |
| 400       | 267  | 0.70 | 5345  | 5762     | 0.99 |

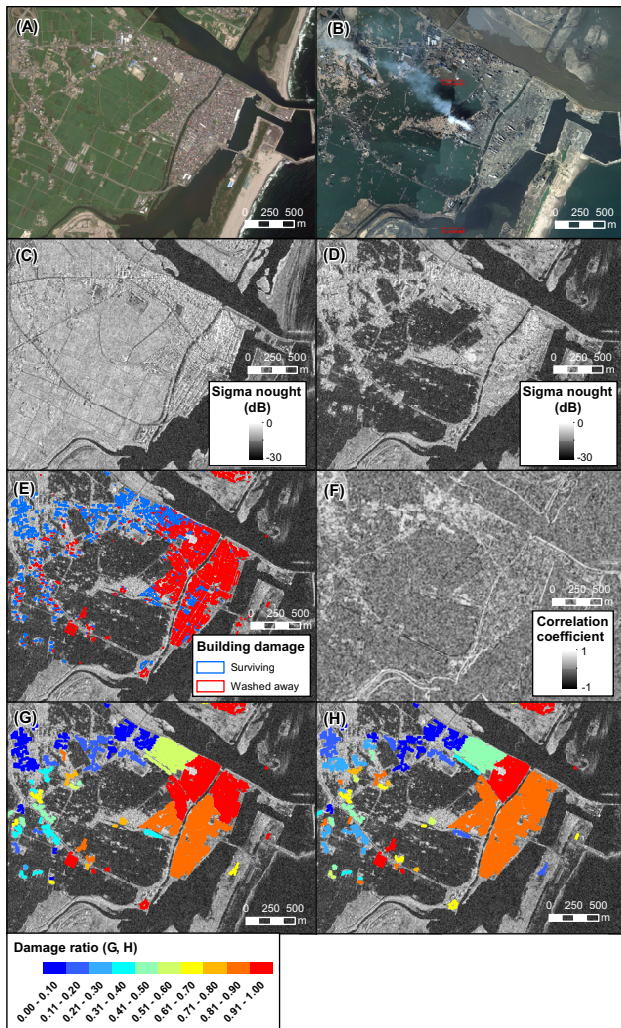
Num.: Number of tiles in inundation zones. R01: Pearson's correlation coefficient of damage ratio between estimated result and ground truth. Truth: Total number of actual damaged buildings. Estimate: Total number of damaged buildings estimated by function. R02: Pearson's correlation coefficient of the number of damaged buildings between estimated results and ground truth

might not be estimated well. Pearson's correlation coefficient of the number of damaged buildings in R02 showed a higher value than that of the damage ratio in R01 because damage estimation accuracy depends on the number of buildings included in each tile. If this number were too large, the relationship between the damage ratio and

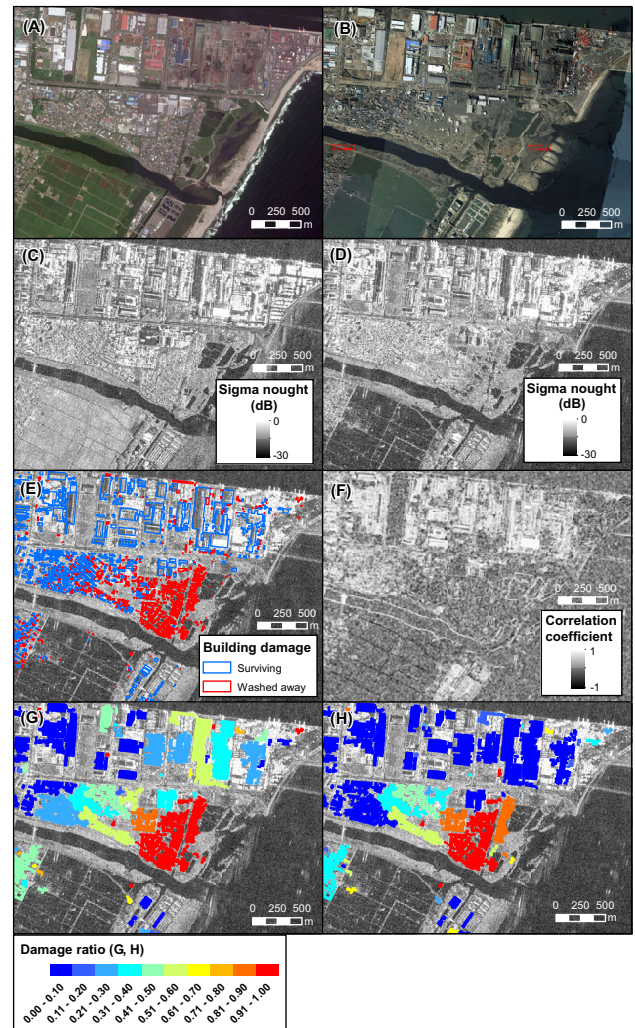


**Fig. 15.** Building damage estimation results using a semi-automated tool. (A) Estimated results, (B) Truth data.

the correlation coefficient value might be stronger, but accuracy assessment based on the damage ratio in R01 ig-



**Fig. 16.** Example of optical debris area images where the improved model worked well. (A) Preevent, (B) Postevent, (C) Preevent TerraSAR-X data, (D) Postevent TerraSAR-X data, (E) Building damage, (F) Correlation coefficient image, (G) Estimated damage ratio, (H) Actual damage ratio.



**Fig. 17.** Example of false optical image negative in large-scale building areas. (A) Preevent, (B) Postevent, (C) Preevent TerraSAR-X data, (D) Postevent TerraSAR-X data, (E) Building damage, (F) Correlation coefficient image, (G) Estimated damage ratio, (H) Actual damage ratio.

nores the number of buildings in each tile, so accuracy in R02 shows a higher value than the value in R01. Comparing results from several types of tile size, we found that overestimations in nondamaged areas disappeared as tile size reached 300 m, so we used a tile of 300 m. Note, however, that analysis that is more sensitive to tile size would be needed for applications in the future.

We ran the process on ArcGIS using the structure of the model in **Fig. 14**. Damage estimation results are shown in **Fig. 15**. It took 26 minutes to detect built-up areas and estimate building damage in Sendai using a semi-automated tool in the ArcGIS environment (Images:277 MB,CPU:3.7GHz).

## 5. Results and Discussion

Comparing results estimated for building damage and truth data, we confirmed good agreement between estimated results and actual damage data. Main improvement

could be seen especially in debris-filled areas, where analysis is difficult based on a building-unit scale as shown in **Fig. 16**. Comparing the actual damage ratio and estimated results, we confirmed good agreement regarding washed-away buildings. Debris and buildings at left in **Fig. 16** show the areas where surviving buildings and debris are mixed, and where estimating damage on a building unit scale was difficult. We have improved this as described in this paper and have proven that the model work in complicated damaged areas.

**Figures 17(A), (B)** confirmed underestimations in parts in the northern part of the figure. To determine why, we compared results with pre- and postevent optical images, correlation coefficient images, and TerraSAR-X data (**Fig. 17**). We found that large-scale buildings were concentrated in these areas. We thus inferred that large-scale buildings not destroyed in a tsunami disaster resulted in mean correlation coefficient values for objects with higher values, even if the damage ratio was increased by damage.

We concluded that physical reasons inducing the high performance in other areas was explained by radar properties in built-up areas. Man-made structures showed high backscatter in layover areas and low backscatters in shadow areas. These radar properties are dominant and consistent with other built-up areas. In this study, we have focused on changes based on correlation coefficient values, and these are highly related to changes in layover and shadow areas. We could thus infer that applying this model to other test sites has a high possibility, as shown in the case of Watari. Even under different topographic conditions such as ria coasts, we believe that the model works well because layover and shadow area configurations are the same in different time series if buildings are not adversely affected by a tsunami.

The semiautomated model worked well on ArcGIS on the whole, which is valuable in emergency situations. The quality of results is worse, however, than in object-oriented analysis. This means that the tile-based method should be used for quick response for preliminary results and the object-oriented method should be applied otherwise.

## 6. Conclusions

The main findings in this study are as follows:

- (1) We developed a damage function for estimating the damage ratio of washed-away buildings that needs correlation coefficient calculated from high-resolution SAR data.
- (2) We improved our proposal's applicability to areas in which buildings and debris were mixed, and improved estimations of building damage.
- (3) We estimated the amount of buildings damaged by multiplying estimated damage ratios and the number of buildings in each object, validating this using an actual building damage map showing a Pearson's correlation coefficient of 0.99 in Sendai and 0.98 in Watari.
- (4) We semi-automated a simplified model of our proposed approach on ArcGIS.

## Acknowledgements

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