

1 **An interdisciplinary perspective on social and physical determinants of seismic**
2 **risk**

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17

18 **Abstract**

19 While disaster studies researchers usually view risk as a function of hazard, exposure,
20 and vulnerability, few studies have systematically examined the relationships among
21 the various physical and socioeconomic determinants underlying disasters, and fewer
22 have done so through seismic risk analysis. In the context of the 1999 Chi-Chi
23 earthquake in Taiwan, this study constructs three statistical models to test different
24 determinants that affect disaster fatality at the village level, including seismic hazard,
25 exposure of population and fragile buildings, and demographic and socioeconomic
26 vulnerability. The *Poisson* regression model is used to estimate the impact of these
27 factors on fatalities. Research results indicate that although all of the determinants
28 have an impact on seismic fatality, some indicators of vulnerability, such as gender
29 ratio, percentages of young and aged population, income and its standard deviation,
30 are the important determinants deteriorating seismic risk. These findings have strong
31 social implications for policy interventions to mitigate such disasters.

32

33 Keywords: seismic risk, vulnerability, social inequality, Chi-Chi earthquake, Taiwan

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36 **1. Introduction**

37 Disaster studies is a growing field which integrates the natural and social sciences
38 (Mileti, 1999; Tierney, 2007). Over the past few decades, our understanding of natural
39 hazards has grown dramatically (IRDR, 2013; ICSU, 2010). Scientists can now more
40 accurately characterize the possible magnitude of a given hazard, and estimate the
41 possibility of its occurrence and potential exposure areas. However, far less known is
42 about the interaction of natural hazards and human-made factors in terms of disaster
43 losses (ISSC, 2013), and little empirical work of effective interdisciplinary
44 collaboration has been done to examine the coupling of natural and social
45 determinants underlying disaster impacts (McBean, 2012; ICSU, 2010).

46

47 Human action has long been understood to have an impact on disaster outcomes,
48 and over the past few decades a rich literature has firmly recognized disaster as a
49 process of social construction (Bankoff et al., 2004; Clark and Munn, 1986; Kaspersen
50 and Kaspersen, 2005). Over time, the notion of vulnerability has gained increased
51 emphasis in disaster risk studies, promoted by IPCC, UNISDR and many other
52 initiatives since 2000 (McCarthy et al., 2001; Cardona, 2012). Its application in
53 seismic studies is also profound, ranging from a more limited interpretation on
54 susceptibility assessments of the built environment (Calvi et al., 2006; Tyagunov et al.,
55 2006) to a more complicated modeling for risk assessment (Cardona et al., 2008).
56 However, despite a few cross-national studies (Keefer et al., 2011; Lin 2015) which
57 do not exactly control for the magnitude of earthquakes, few empirical investigations

58 have been made to holistically examine the social and physical determinants
59 underpinning seismic risk through an integrative risk formula. This study study
60 presents a substantial attempt to integrate research from seismology, seismic
61 engineering, geography and sociology to clarify the multidimensional driving forces
62 underlying seismic risk.

63

64 This study takes an interdisciplinary and holistic perspective in investigating the
65 physical and social determinants which lead to high seismic fatality risk. The risk
66 assessment model proposed by Intergovernmental Panel on Climate Change (IPCC)
67 (2012, 2014) is applied to the 1999 Chi-Chi (Taiwan) earthquake by integrating
68 seismic, building, demographic and socioeconomic datasets at village level. The
69 *Poisson* regression model is used to estimate the effect of natural hazards and social
70 factors on fatalities. Statistical results show that seismic hazard in the form of ground
71 shaking and ground failure, exposure measured by population and fragile buildings,
72 and vulnerability measured by gender ratio, percentages of young and aged
73 population, income and its standard deviation (presenting income inequality) are all
74 critical determinants affecting disaster fatality in the examined villages. This
75 interdisciplinary collaboration effectively sheds light on the role played by natural
76 hazards and social factors in seismic risk.

77

78 **2. Progression of seismic risk studies**

79 The development of modern risk analysis and assessment is closely linked to the
80 establishment of scientific methodologies used to identify causal links between
81 adverse effects and different types of hazardous events, and mathematical theories of
82 probability (Cardona, 2012;Covello and Mumpower, 1985). However the terminology

83 has not been defined uniformly across the various disciplines involved. In the natural
84 sciences, risk is defined as the probability of an event occurring multiplied by its
85 consequences (Thywissen, 2006). However, in the geosciences and multidisciplinary
86 sciences, risk refers to the degree of potential loss due to exposure to hazards and the
87 degree of social vulnerability (Rashed and Weeks, 2003). In the early 1980s, a report
88 to the United Nations Disaster Relief Organization (UNDRO) treated risk as a
89 function of hazard, exposure and vulnerability (UNDRO, 1980). But this
90 conceptualization has received little attention at the time because the concept of
91 vulnerability was not adequately explored by the academic community until quite
92 recently (Adger, 2006;Timmerman, 1981;Watts and Bohle, 1993), resulting in the
93 broad application of risk definitions across disciplines including IPCC and the disaster
94 research community (IPCC, 2012, 2014).

95

96 Prior to the establishment of a solid literature on social vulnerability index (Cutter
97 1996), conventional perspectives for analyzing seismic risk include the seismic hazard
98 perspective and the population-building exposure perspective. The seismic hazard
99 perspective addresses the geological and physical characteristics of seismology (Wu
100 et al., 2004). The population-building exposure perspective looks at the specific
101 mechanisms surrounding building structures and seismic hazards that underpins the
102 causality of mortality (FEMA, 2010a;Yeh et al., 2006). But these two approaches still
103 have a limited capacity to explain mortality. For example, Wu et al. (2002, 2004)
104 investigated the relationship between damage rate (fatality and house collapse rates)
105 and seismic magnitude at the township scale, and found no obvious correlation among
106 fatality, house collapse, and Peak Ground Acceleration (PGA) or Peak Ground
107 Velocity (PGV). As a result, vulnerability studies were introduced to investigate

108 socioeconomic determinants in earthquake fatalities. The three approaches are briefly
109 reviewed below.

110

111 2.1 Seismic hazard perspective

112 The seismic hazard perspective usually considers two crucial physical
113 determinants to measure the hazard ground shaking and ground failure (Yeh et al.,
114 2006). Ground shaking is the direct result of wave propagation during an earthquake
115 (Lay and Wallace, 1995). Increased ground shaking is expected in the region near the
116 epicenter (Wu et al., 2002), in areas characterized by soft soil or in a basin (Wu et al.,
117 2004). Accompanying widespread ground shaking, surface ruptures could damage
118 structures due to ground failure, i.e., fault rupturing to the surface, soil liquefaction,
119 and the associated ground settlement and lateral spreading. For example, during the
120 1999 Chi-Chi earthquake, a surface rupture with displacement exceeding 8 meters at
121 the northern part of the Chelungpu Fault caused severe damage to buildings and
122 infrastructure, including dams and bridges (Chen et al., 2001; Ma et al., 1999).

123

124 2.2 Population-building exposure perspective

125 This perspective is widely used in seismic risk assessments. It studies the specific
126 mechanism surrounding seismic hazards and building structures that underpin the
127 causality, given the concept that earthquake-induced mortality is the complex
128 outcome of a natural disaster combined with the failure of man-made environments.
129 In the past decade, geographical information system-based software and
130 methodologies have been developed and integrated in the analysis for earthquake loss
131 estimation; some examples include the HAZUS Earthquake Model and Taiwan
132 Earthquake Loss Estimation System (TELES). The HAZUS Earthquake Model

133 (FEMA, 2010b) was developed by U.S. Federal Emergency Management Agency
134 (FEMA), while TELES (Yeh et al., 2006) was developed by the National Center for
135 Research on Earthquake Engineering, Taiwan. Both models treat seismic risk as the
136 occurrence (probability) of a seismic event, exposure of people and properties
137 (usually buildings) to the event, and the consequences of that exposure.

138

139 In this approach, it is crucial to establish estimates of building damage. Buildings are
140 first categorized to account for various structural types (model building type), seismic
141 performance levels (coded seismic design level) and usage (specific occupancy class).
142 Building fragility models are then developed according to the structural
143 characteristics of any combination of model building type and seismic design level,
144 and also according to the damage evidence collected in the field (Yeh et al., 2006).
145 The severity of building damage can therefore be estimated by the extent of ground
146 shaking and ground failure of a seismic event. The casualty and injury rates can be
147 further calculated by using the empirical evidence of casualty and injury rates of
148 certain damaged buildings, and also based on the model simulation of the population
149 distribution in the buildings devoted to various usages (i.e., commercial buildings,
150 schools, or residential buildings) and at different times (i.e., population distribution at
151 8am and 8pm are likely to have very different patterns).

152

153 The above presents an important progression of seismic risk studies from a hazard-
154 oriented perspective towards one which considers how the built environment and
155 population distribution mediate the impact of a physical event. The introduction of
156 cross-disciplinary approaches has stimulated the integration of a vulnerability-
157 oriented perspective in the analysis.

158

159 2.3 Vulnerability perspective

160 Vulnerability is widely referred to as social processes that shape human and economic
161 losses in disasters (Blaikie et al., 1994; Cardona, 2012; Aysan, 1993). In the
162 vulnerability literature, some factors have been widely identified as playing
163 significant roles in the impacts of disasters. These factors include demographic
164 characteristics (Cutter, 1996), poverty and income inequality (Anbarci et al., 2005),
165 inappropriate urban development (Pelling, 2003), and the mechanisms involved in
166 social networks and social support systems (Klinenberg, 2002). This perspective
167 emphasizes that disasters are a social construction and an outcome of human activity
168 that transforms natural hazard into disaster risk (IPCC, 2012).

169

170 In the social science literature of disaster, economic development may be the most
171 critical determinant shaping vulnerability (Cutter, 1996). From the rational choice
172 perspective, Kahn (2005) argued that politicians and citizens in developed countries
173 have greater economic motivation to invest in disaster mitigation in an attempt to save
174 lives and property. By contrast, leaders in developing countries tend to allocate
175 resources to other political and development goals rather than for disaster
176 preparedness (Keefer et al., 2011). This implies that countries, communities or
177 households with higher income levels are more likely to invest in disaster mitigation.

178

179 Economic inequality is another frequently mentioned factor that determines
180 vulnerability. Using country-level data, Anbarci et al. (2005) argue that increased
181 income inequality is negatively correlated with the likelihood of various income
182 groups to agree on the distribution of the burden of preparedness, causing the rich to

183 self-insure against disasters, while the poor are excluded. While some studies suggest
184 that the local community is one of the most crucial units for promoting disaster
185 resilience or the establishment of social support systems to mitigate vulnerability
186 (Aldrich and Sawada, 2012), most statistical analysis is still performed at the national,
187 sub-national or municipal levels due to the difficulty of acquiring sufficient income
188 distribution data at the community level.

189

190 The role of demography in disaster risk is also widely discussed. A great deal of
191 research has revealed that the young and elderly are more likely to be affected by
192 hazards (Donner and Rodríguez, 2008). For example, in Japan's 1995 Hanshin
193 earthquake and 2011 Tōhoku earthquake and tsunami, the elderly respectively
194 accounted for approximately 60% and 65% of all victims, while only accounting for
195 11% and 25% of the national population at the time of those two disasters (Khazai et
196 al., 2011). In contrast, the Haiti's 2011 earthquake resulted in a relatively higher death
197 toll among children as a result of the country's high poverty, high fertility rate, and
198 younger demographics (CDC, 2011). These demographic vulnerabilities can be
199 explained by a lack of disaster safety knowledge or reaction capacity among children
200 and the physical limitations of the elderly, leaving them unable to avoid the negative
201 impacts of hazards.

202

203 Gender is another important determinant of vulnerability. A substantive literature
204 has demonstrated that women are more likely fall victim to natural disaster than men
205 because women generally tend to have lower incomes, are more politically and
206 socially marginalized, or are more likely to live alone (Fothergill, 1996). In addition,

207 social expectations that women will take responsibility for caring for children and the
208 elderly increases women's vulnerability (Enarson, 1998).

209

210 The factors mentioned above comprise a complicated fabric of social processes
211 that are likely to influence fatality outcomes when a disaster strikes. However,
212 barriers between academic disciplines have hindered the integration of these three
213 perspectives of risk analysis, with each presenting a distinct view within which
214 research specificity is bounded by the various disciplines. This study thus aims to
215 merge these perspectives as outlined below.

216

217 2.4 Hypothesis and model construction

218 The risk formula used in this study is adopted from UNDRO (1980) and IPCC
219 (2012) that treats risk as a function of the compounding effects of hazard, exposure
220 and vulnerability as follows:

$$221 \text{ Seismic Risk} = \text{Seismic Hazard} \times \text{Exposure} \times \text{Vulnerability} \quad (1)$$

$$222 \text{ Seismic Risk} = \begin{matrix} \text{Seismic Hazard} \\ \text{(fatality)} \end{matrix} = \begin{pmatrix} \text{ground shaking level} \\ \text{surface rupture} \end{pmatrix} \times \begin{pmatrix} \text{Exposure} \\ \text{population} \\ \text{fragile building} \end{pmatrix} \times \begin{pmatrix} \text{Vulnerability} \\ \text{demographic traits} \\ \text{socioeconomic traits} \end{pmatrix} \quad (2)$$

223

224 In this study, the dependent variable, seismic risk, is defined as the total number
225 of fatalities induced by earthquake. The ground shaking level of the earthquake and
226 surface rupture are taken into account as the imperative factors for seismic hazard.
227 Exposure is defined as the total population exposed to the seismic hazard and fragile
228 buildings. This population-building exposure perspective conceptually views
229 buildings as having an important impact on the degree to which the population is
230 exposed to the seismic hazard. In other words, persons situated in fragile buildings
231 with low seismic resistance would suffer from a higher degree of exposure from the

232 doubling effect of the initial seismic hazard and the potential collapse of buildings.
233 Following this concept, we thus define the exposure dimension as the exposure of
234 population and fragile buildings to the hazard under the recognition that higher
235 density of population and fragile building would increase the effect of exposure.

236

237 Vulnerability is defined as the demographic and socioeconomic factors that are
238 likely to attenuate or aggravate the degree of fatality and injury of the population
239 exposed to an earthquake. This study thus hypothesizes that seismic risk, denoted as
240 fatality, is the combined result of the physical conditions of the seismic hazard,
241 population-building exposure, and vulnerability. The hypothesis, along with the
242 relationships among these factors, is thus examined in the following section using
243 multiple datasets and regressions.

244

245 3. Empirical case: Taiwan's Chi-Chi Earthquake

246 3.1 Background

247 The Chi-Chi Earthquake struck at 1:47 on September 21, 1999 and proved to be
248 the largest and most devastating in Taiwan in decades. It took place in central Taiwan
249 along a 90 km rupture in the Chelungpu Fault (Fig. 1). The M_L 7.3 (M_W 7.6) main
250 shock and following aftershocks killed 2,444 people (included 29 missing) and
251 injured more than 11,000, mostly due to building damage or collapse (Uzarski et al.,
252 2001). According to local governmental statistics, mortality was concentrated in
253 Taichung County (1,138 fatalities) and Nantou county (928), which are relatively
254 rural areas in Taiwan. During the earthquake, the Central Weather Bureau's (CWB)
255 Taiwan Strong Motion Instrumentation Program (TSMIP) monitored around 650 free-
256 field digital accelerograph stations, recording a wealth of digital ground motion data.

257 The data, as compiled by (Lee and Shin, 2001) are used here to verify the proposed
258 risk analysis approach.

259 [Figure 1 HERE]

260

261

262 3.2 Data and Method

263 In order to test our hypothesis, we collected data from different sources,
264 including strong motion records from the Central Weather Bureau, building (tax) data
265 from Ministry of Finance, population data from Ministry of the Interior,
266 socioeconomic data from the Ministry of Finance, and fatality data from Wang (2011).
267 The analytical unit of this study is village, which constitutes the smallest
268 administrative unit in Taiwan. However, demographic characteristics are analyzed at
269 the township level due to the difficulty of collecting sufficient official demographic
270 data at the village scale. Table 1 summarizes descriptive statistics for the selected
271 variables. The simple correlations among the independent variables are provided in
272 Table 2.

273 [Table 1,2 HERE]

274

275 The dependent variable in this study is the death toll in each village (Kahn, 2005;
276 Keefer et al., 2011). This is a count variable, thus the *Poisson* regression model is
277 applied to test the hypothesis. For a nonnegative counted integer, the simplest and
278 most popular applied distribution is the *Poisson* (Agresti 2002, 7), the probability
279 mass function of which is

280

281
$$\Pr(y) = \frac{e^{-\mu}\mu^y}{y!}, y = 0, 1, 2, \dots$$

282 This satisfies $E(Y) = \text{var}(Y) = \mu$. The *Poisson* distribution is used to account for events
283 that occur randomly over time or space, when the outcomes in disjointed periods or
284 regions are independent. If x_j is a vector of p independent variables, and the *Poisson*
285 probability function can be presented as $E(Y|x) = e^{\sum_{j=0}^p \beta_j X_j}$. The model takes the
286 logarithmic form $\log E(Y|x) = \sum_{j=0}^p \beta_j X_j$, which can be estimated by a maximum
287 likelihood method of the General Linear Model (GLM). In our original models, the
288 positive or negative coefficient β_j can be simply understood as the increase or
289 decrease $\log E(Y|x)$ of death (Y) caused by the Chi-Chi earthquake when the
290 independent variable X_j increases by one unit. The statistical result can be transferred
291 back to an exponentiation relationship, which is positive correlation between X_j and
292 the predicted incidence rate ratios $E(Y|x)$, as shown in Table 3.

293

294 The independent variables include measurements from the three perspectives of
295 seismic risk. The seismic hazard perspective comprises two variables: seismic
296 intensity and surface rupture. This study uses spectral acceleration to measure seismic
297 intensity as it is apparently more representative than PGA and PGV from the
298 perspective of seismic risk (Wu et al., 2002, 2004). In seismology engineering,
299 spectral acceleration is the response of a damped structure (i.e., a building) in terms of
300 acceleration under strong motion excitation, and is modeled as a particle mass on a
301 massless vertical rod having the same natural period of vibration as the type of
302 building in question. It can be calculated from the time history of a ground
303 acceleration record given the period of the building (typically with a 5% damping
304 ratio). Here, the seismic records of the spectral acceleration at 0.3 second (denoted as
305 Sa03) are used (Fig. 1). Because the heavily affected areas are mostly suburban and
306 rural areas around the Chelungpu Fault, the majority of buildings are low rise (1-3

307 stories) with a natural period of vibration of around 0.3 seconds. According to the
308 seismic design code, Sa03 of 0.14g is approximately of peak ground acceleration
309 around 0.056g. It is classified as Seismic Intensity IV by Central Weather Bureau,
310 which suggests no damage occur. This study thus considers 4,502 villages with Sa03
311 greater than or equal to 0.14g during the earthquake. As shown in Fig. 2, in the Chi-
312 Chi earthquake, the records of seismic intensity (Sa03) correlated to fatalities, but
313 alone can hardly explain the great variety of fatalities. In terms of fault crossing, the
314 surface rupture of the Chelungpu Fault surveyed by Chen et al. (2002) is overlaid to
315 identify the trail and distribution of the fault rupture. A village is coded 1 if this
316 village is located on the Fault, whereas 0 if not.

317 [Figure 2 Here]

318

319 The population-building exposure perspective includes two variables which aim
320 to measure the extent to which population and fragile buildings in each village are
321 exposed to the hazard. The total township population data is applied to estimate
322 population exposure. Building fragility is measured as the percentage of buildings
323 with low seismic capacity. A village with higher ratio of low seismic capacity
324 buildings indicates higher degree of building fragility. The seismic zonation and
325 design force level can be classified based on the history of seismic design codes for
326 the buildings. Similar to the HAZUS methodology (FEMA, 2010), buildings are
327 categorized into four seismic design levels (high, moderate, low and pre-code)
328 according to the construction year and location. In this study, pre-code and low-code
329 buildings are viewed as having low seismic capacity, and the floor area-based
330 percentage of low seismic capacity buildings of all buildings in each village in the

331 year 2000 is calculated using building tax data. Generally, the average percentage is
332 37% among the studied villages.

333

334 Several components of the vulnerability perspective are considered. The overall
335 sex ratio (i.e., male population divided by female) is a measurement of the
336 vulnerability of females within the population. For this study, the overall sex ratio is
337 1.08 on average, meaning that males outnumber females in the studied townships. The
338 population dependency factor calculates the percentage of the population under the
339 age of 14 and over the age of 65. A larger dependent population, either young or aged,
340 indicates a higher degree of demographic vulnerability. Finally, for the
341 socioeconomic component of vulnerability, the median and standard deviation of
342 household income before tax are used to assess economic development and income
343 inequality (Kahn, 2005; Kellenberg and Mobarak, 2008). This operation is widely
344 applied to represent the conception of socioeconomic vulnerability, using the
345 logarithm of median household income before tax, which indicates the economic
346 development of each village, while the standard deviation of household income before
347 tax reflects the extent of income inequality within a given village. Overall, in the
348 study, the standard deviation of annual household income before tax ranges from
349 TWD 182,000 to TWD 2,370,000 (approx., USD 6,000 to USD 62,000).

350

351

352 **4. Results**

353 Table 3 summarizes the results of the *Poisson* regression analysis for testing the
354 seismic risk hypothesis in the Chi-Chi earthquake. The coefficient has been
355 transformed back to the positive exponential relationship between each independent

356 variable and the predicted incidence rate ratio. According to the *Poisson* function
357 $e^{\beta_j X_j}$, if the coefficient equals 1, the variable is irrelevant to the incidence rate ratio
358 on average. If the coefficient is greater than 1, *certeteris paribus*, each unit of the
359 variable has an exponential impact on the incidence rate ratio. However, *certeteris*
360 *paribus*, if the coefficient is smaller than 1, each unit of the variable reduces the
361 incidence rate ratio in an exponential proportion.

362 [Table 3 here]

363

364 We estimated three regression models to illustrate the impact of the variables from
365 the three perspectives on the death toll. Model 1 estimates the impact of the seismic
366 hazard, including Sa03 and surface-rupture, on the death toll in each village. The
367 result shows that Sa03 and positioning on the fault are positively correlated to the
368 number of fatalities. By adding the variables of population size and building fragility,
369 Model 2 shows significant coefficients for the variables to improve the model's
370 robustness, i.e., the significance of the seismic hazard variable also increases. Based
371 on Model 2, Model 3 further integrates vulnerability variables. Model 3 is our
372 complete model that shows that most of the variables from the three perspectives
373 significantly affect seismic fatality.

374

375 Based on the result of model 3, the seismic hazard is shown to be the most
376 important factor in determining fatalities in the Chi-Chi earthquake. One unit of g
377 increased in Sa03 could result in a 27.39-fold increase in fatalities in a village (mean
378 = .52), *certeteris paribus*. Having the fault cross the village resulted in a 4.92-fold
379 increase. Because the seismic intensity is correlated to proximity to the fault
380 (correlation=.36, please see Table 2), the interaction of the two variables is the major

381 determinant of the fatality rate. Following the results of Model 3, Fig. 3 illustrates the
382 exponential relationships between the seismic hazard variables and the predicted
383 death toll. The result can be presented as the predicted death toll concentrated on two
384 curves, the lower exponential curve without the fault, and the 4.92-fold increased
385 exponential curve of the fault-influenced villages, as the seismic intensity $Sa_{0.3}$
386 increased.

387

388 [Figure 3 HERE]

389 The result of model 3 also demonstrates a profound association between
390 population-building exposure and fatalities. Each increase of 10,000 residents in a
391 township could result in a one percent increase in fatalities, while increasing the ratio
392 of low seismic capacity buildings from 0 to 100% results in a 6.17-fold increase in
393 fatalities.

394

395 Finally the model shows that, although the impact of vulnerability may not be as
396 significant as seismic hazard, it does contribute to earthquake fatalities. In our data set,
397 the sex ratio falls in a range of 0.94~1.35. The coefficient implies that each 10%
398 increase in a village's sex ratio can reduce fatalities by 9.2%. Although the coefficient
399 for the percentage of population under age 14 rises to 284.18, its range is within
400 0.12~0.28 in the data set. That is to say, if the percentage increases from 0.12 to 0.22,
401 it could lead to a 28.4-fold increase in fatalities. The coefficient of the percentage of
402 population over age 65 (124.18) is also large but not significant. The problem of non-
403 significance, however, might be due to the multicollinearity between the percentages
404 of young and aged populations (correlation = -.82, see Table 2).

405

406 The standard of economic development, as measured by the logarithmic median
407 household income before tax, effectively reduces the incidence of fatalities. For
408 example, each unit increase of the variable, namely Log 1000 (Taiwanese dollars),
409 from 1 to 2 could produce a 47% reduction in the death toll. In addition, there is a
410 significant relationship between income inequality and fatalities. Each NTD 100,000
411 increase to the standard deviation of household income before tax (maximum NTD
412 237,350) could double the number of fatalities. Even though the impact of the
413 vulnerability variables is smaller than those of seismic hazard or population and
414 building exposure (and are difficult to express quantitatively), most coefficients are
415 significant and match hypothetical expectations.

416

417 **5. Discussion and conclusions**

418 Integrating research from seismology, seismic engineering, geography and
419 sociology, this study seeks to examine and verify multi-dimensional driving forces
420 (i.e., the physical, demographic, and socioeconomic determinants along with building
421 fragility) which underlie seismic risk using the integrated risk formula (IPCC 2012,
422 2014). Concepts are carefully defined and measurements used in the models are
423 selected based on a systematic literature review of the three perspectives, namely
424 seismic hazard, population-building exposure, and vulnerability. The *Poisson*
425 regression models were applied to the case of the 1999 Chi-Chi earthquake in Taiwan
426 to verify determinants in seismic fatality risk.

427

428 Three statistical models, considering seismic hazard, population exposure, and
429 building fragility, demographic and socioeconomic vulnerability, are built to test the
430 varying determinants for seismic fatality in the Chi-Chi earthquake. Results indicate

431 that all components have an explicit impact on the specific dimension for seismic
432 fatality risk. Thus such risk is regarded as an interactive construction of natural
433 phenomena and social modification (Mileti, 1999).

434

435 Our study finds that seismic risk is increased in areas characterized by more fragile
436 buildings, densely settled populations, a higher percentage of disadvantaged
437 populations (i.e., children, the elderly, and women), reduced economic development
438 and increased income inequality. It is important to reiterate that buildings and social
439 conditions are in place well before the occurrence of any disaster event, thus much of
440 the potential could be managed or alleviated through proactive intervention or disaster
441 mitigation policies to reduce building fragility and vulnerability (Kasperson and
442 Berberian, 2011; Lin et al., 2011). Such policies could include efforts to promote
443 effective land planning and building regulations, strengthen structural resilience,
444 enhance social networks and welfare systems, and reduce socioeconomic inequality.
445 These institutional arrangements are particularly important in communities which
446 consistently face natural hazards.

447

448 This study demonstrates the advantage of adopting an interdisciplinary
449 perspective for the social and physical determinants of seismic risk. Future studies
450 should examine the impact of additional social determinants (e.g., crime, social
451 capital, and health) on seismic or other hazard risks, and geographical information
452 systems can be applied to analyze the socio-spatial effects of seismic risk variables.
453 Understanding disaster risk as an interaction between natural and social factors allows
454 the focus to shift from disaster response toward disaster prevention (Cardona et al,
455 2012; Cardona and Barbet 2000). This implies that seismic risk could potentially be

456 mitigated by an improved understanding of risk determinants along with improved
457 institutional arrangements to reduce the risk.

458

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Table 1. Descriptive statistics of selected variables

N=4,502	Mean	SD	Min.~ Maximum
Dependent Variable			
Fatalities	0.52	3.78	0~87
Seismic Hazard Variables			
Sa03(g)	0.36	0.27	0.14~1.86
Fault-influenced villages (dummy)	0.03	0.17	0~1
Exposure and Building Fragility Variables			
Population (10,000 people)*	11.00	11.63	0.33~52.39
Percentage of low seismic capacity buildings	0.37	0.21	0~1
Vulnerability Variables			
Sex ratio*	1.08	0.07	0.94~1.35
Percentage of population under age 14*	0.21	0.03	0.12~0.28
Percentage of population over age 65*	0.09	0.03	0.04~0.19
ln (Median of Household Income before Tax)	1.63	0.17	0.81~2.66
Standard Deviation of Household Income before Tax	6.68	8.82	1.82~237.35

Note: * Refers to the township level aggregative data.

Table 2 Simple correlations among independent variables

	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
(1) Sa03(g)	1								
(2) Fault-influenced villages	0.36*	1							
(3) Percentage of low seismic capacity buildings	-0.21*	0.02	1						
(4) Population (10,000 people)	-0.26*	-0.03	0.18*	1					
(5) Sex ratio	0.18*	-0.02	-0.09*	-0.63*	1				
(6) Percentage of population under age 14	-0.02	0.05*	0.20*	0.23*	-0.51*	1			
(7) Percentage of population over age 65	0.16*	-0.03*	-0.24*	-0.59*	0.70*	-0.82*	1		
(8) ln (Median of HIT)	-0.14*	-0.03	0.02	0.48*	-0.62*	0.25*	-0.36*	1	
(9) SD of HIT	-0.07*	-0.02	0.01	0.21*	-0.29*	0.05*	-0.11*	0.42*	1

Note: * $p < 0.05$, for the check of multi-collinearity among independent variables.

Table 3 Statistical models to estimate seismic fatalities in the 1999 Chi-Chi Earthquake: the *Poisson* regression

	Model 1	Model 2	Model 3
Seismic Hazard Variables			
Sa03(g)	16.91 ^{***} (0.86)	25.87 ^{***} (1.49)	27.39 ^{***} (1.63)
Fault-influenced	6.33 ^{***} (0.29)	5.21 ^{***} (0.24)	4.92 ^{***} (0.23)
Exposure and Building Fragility Variables			
Population (10,000 people)		1.02 ^{***} (0.003)	1.01 ^{***} (0.004)
Percentage of low seismic capacity buildings		5.88 ^{***} (0.68)	6.17 ^{***} (0.73)
Vulnerability Variables			
Sex ratio			0.08 ^{***} (0.05)
Percentage of population under age 14			284.18 [*] (634.01)
Percentage of population over age 65			124.18 (315.56)
Ln (median household income before tax)			0.53 ^{***} (0.10)
SD of household income before tax			1.01 ^{***} (0.002)
Intercept	0.07 ^{***} (0.003)	0.02 ^{***} (0.002)	0.19 (0.19)
<i>N</i>	4502	4502	4502
Log lik.	-5204.31	-5051.55	-5026.07

Standard errors in parentheses * $p < 0.05$, ** $p < 0.01$, *** $p < 0.001$

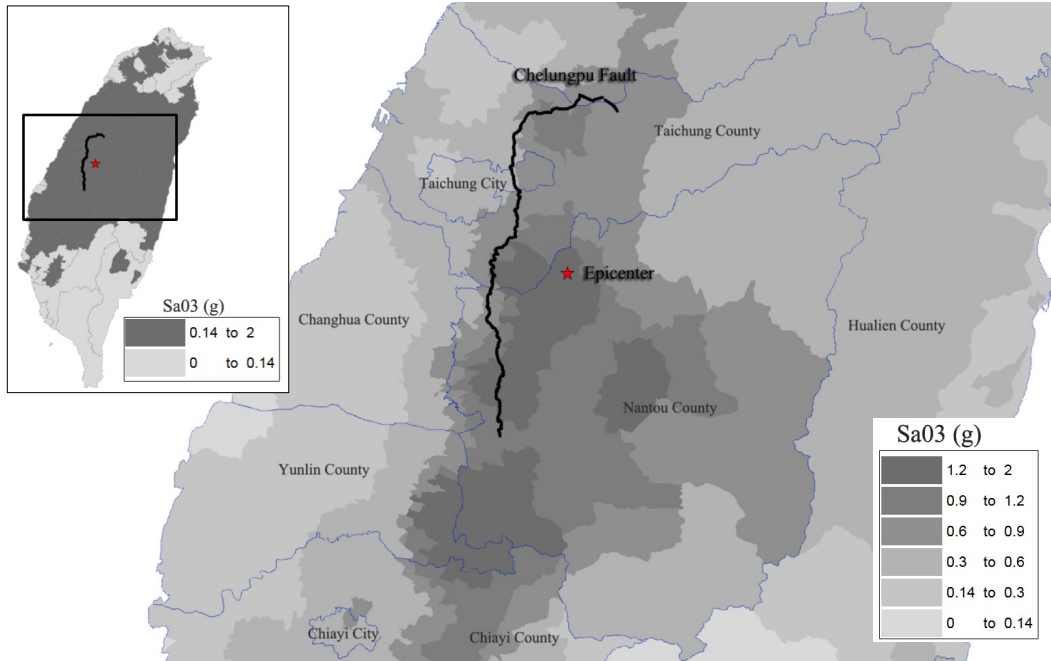


Figure 1. Epicenter, Chelungpu Fault and distribution of seismic intensity of the 1999 Chi-Chi earthquake, Taiwan.

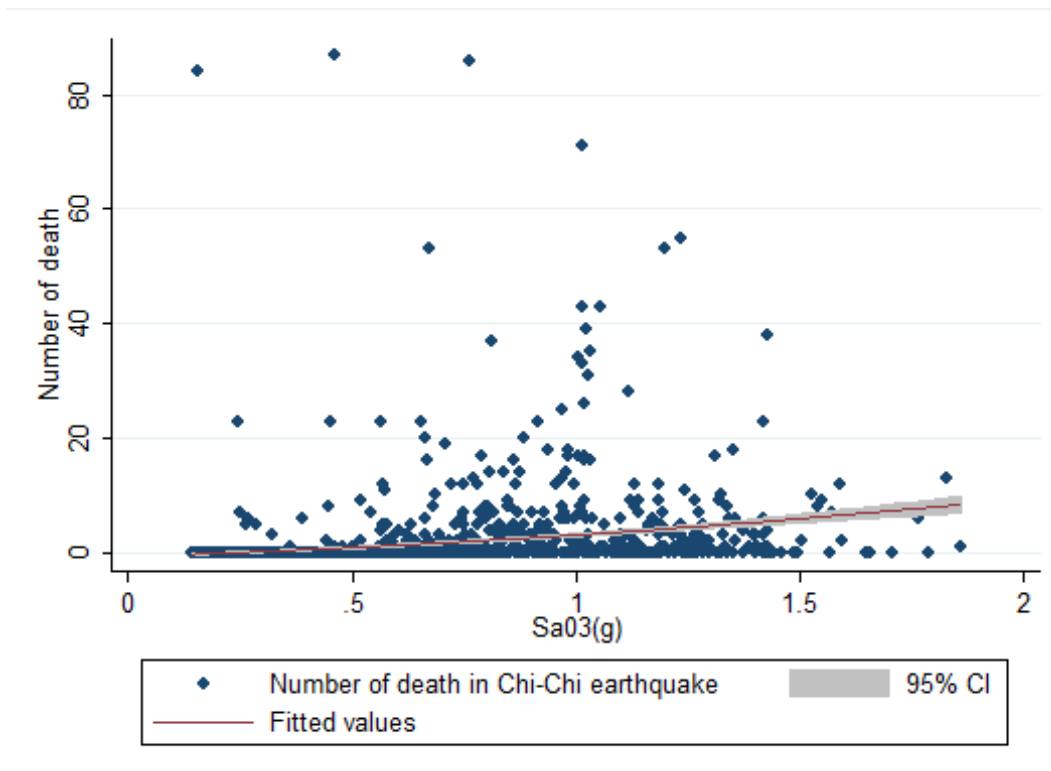


Figure 2. Sa03 and fatalities at the village level, Chi-Chi earthquake 1999. (Fitted in the exponential relationship between Sa03(g) and number of deaths)

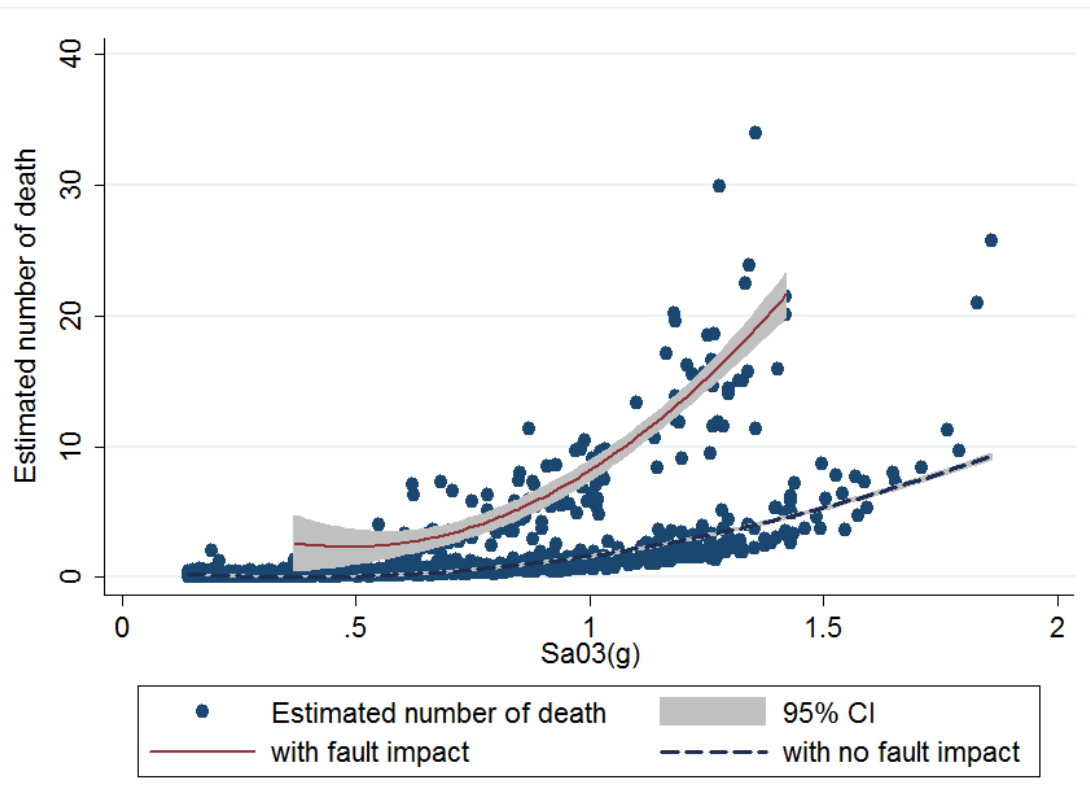


Figure 3. Sa03 and estimated fatalities by fault impact (model 3) (fitted in the exponential relationship between Sa03(g) and the estimated number of deaths by fault impact)