

Identifying Vulnerable Population in the Urban Society: A Case Study in a Flood-prone District of Wuhan, China

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Abstract. In the context of unprecedented extreme weather and climatic events, the internal structural factors of society play a decisive role in determining the extent to which human beings are affected by disasters and their ability to respond to them. In the past few decades, rapid urbanization in developing countries, such as China, has greatly increased social vulnerability. This process has generated uneven living conditions and created many vulnerable groups, including urban poverty, migrants, and socially and geographically marginalized groups. These groups face difficulties in living conditions, education, livelihood stability, and more.

This study sets up indicators from a micro perspective: three indicators of exposure, four indicators of sensitivity, and eight indicators of adaptive capacity. Based on this evaluation index system, this study conducted a social vulnerability assessment of the population in Hongshan District, Wuhan City, China, through individual questionnaire surveys. K-means cluster analysis was used to determine high, medium, and low levels of social vulnerability, which were used to compare different community types and identify of vulnerable groups.

The results showed close interrelationships between different types of communities in terms of physical and built environments as well as varying levels of social vulnerability to disasters. The high vulnerability group accounted for 12.9 percent of the 599 samples, the medium vulnerability group accounted for 48.4 percent, and the low vulnerability group accounted for 38.7 percent. The higher vulnerability groups exhibited characteristics such as low education, poor health, low annual income, unstable work, and insufficient social security. Quantitatively understanding of the degree of dissimilarity in social vulnerability among different communities and populations is significant in reducing social vulnerability and disaster risk specifically and effectively.

Keywords: Social vulnerability; Vulnerability index; K-means cluster analysis; Vulnerable groups; Urban mosaic

1 Introduction

1.1 Urbanization, Disaster risks and Social Vulnerability

Warming has become a predominant feature of the Earth's climate system resulting in changes in precipitation patterns and an increase in the frequency of extreme weather events such as heatwaves, droughts, forest fires, heavy rains, and floods. In recent years, extreme weather events have continued to affect vulnerable sections of society, leading to severe disaster losses worldwide. By analyzing the potential socio-factors that contribute to these losses, it is possible to predict the extent to which future disasters will impact society (Vincent 2004). To reduce disaster losses and improve disaster prevention capabilities, vulnerability has formed an important research since the 1960s. It has been studied in various programs such as in the International Biological Program (IBP), the International Geosphere-Biosphere Programme (IGBP), the International Human Dimensions Programme on Global Environmental Change (IHDP), and the Intergovernmental Panel on Climate Change (IPCC) (Zhang et al. 2008).

In urban areas, social vulnerability is primarily determined by the instability of the local society, especially in the context of rapid urbanization. The continuous increase in population mobility poses significant challenges to local infrastructure, the environment, and social structures. Socio-economic inequalities among inhabitants manifest as a "mosaic" in the geographical space due to urban transformation. This "mosaic" results in social spatial isolation and leads to a redistribution of risk. Numerous studies on extreme events show that disastrous consequences are not only dependent on the hazard risk itself but are also closely related to physical environments, social structures, and demographic characteristics of a geographic location (Perrow 2007; Bolin 2007). If one place is physically exposed to a hazard risk, it will impact the population living there in uneven ways (Huang et al. 2020). Although urban population mobility itself does not lead to vulnerability (Donner and Rodriguez 2008), the population becomes marginalized when the market and/or government fail to provide adequate employment, water and sanitation facilities, housing, or medical services.

The result of population dynamics and diverse demands for locations, has led to a gradual decrease in the availability of safer lands, making it almost inevitable for human endeavors to be located in potentially dangerous places (Lavell 2003). For example, in Jakarta many migrants, Indonesia live in informal settlements called "Kampung" that are prone to flooding (Alzamil 2018). In Ghana's capital, Accra 92 percent of migrants live in Old Fadama, a slum area that lacks tap water or sanitation facilities (Awumbila 2014). In China, the push to commercialize urban housing over the past 40 years of urbanization has widened disparities in living conditions. While existing old communities with poor living environments has not seen much improvement, the living quality in newly developed gated communities has significantly increased. This process has also created many marginal places, which are a hybrid of rural and urban systems characterized by high building density, unclear management rights and duties, and insufficient social infrastructure. People living in these areas bear the brunt of many urban disasters. The spatial and social differentiations in cities results in the formation of new socially vulnerable groups based on various types of local communities.

China is currently one of the most disaster-plagued countries in the world, experiencing various types of disasters. In recent years, the frequency, intensity, spatial scope, and duration of these disasters have further expanded. Rapid urbanization in China has led to land expansion and creation of different types of communities within and around the cities. This, coupled with the structural changes in population,

1 economy, and society has made the society unstable. It is crucial to mitigate the impact of disasters on
2 urban populations and communities, and case studies can provide the policy bases for disaster risk
3 reduction. The main purpose of this study was to determine the degree of social vulnerability at the
4 local level and identify the most vulnerable groups by focusing on the characteristics of social
5 vulnerability within Chinese urban society from a micro perspective.

6 This paper aims to solve the following three questions:

7 What are the differences in vulnerabilities among different types of urban communities?

8 What types of mosaics are observed in urban areas? in other words, how are vulnerable populations
9 distributed across communities and what are the underlying reasons for this distribution?

10 Who are the most vulnerable groups in the city, and what characteristics do they have?

13 1.2 Indicator-based Researches on Social Vulnerability

15 Social vulnerability is a crucial indicator for evaluating uneven regional developments. It refers to the
16 ability to withstand adverse effects, the possibility of damage, and the degree of loss caused by
17 disasters (Timmerman 1981; Tunner et al. 2003; Cutter 1996). Meanwhile, a disaster is not solely
18 caused by a hazardous event but also by its combination with social vulnerability, a widely accepted
19 argument by disaster researchers (Alexander 2006; Cannon 2008). Although there is no universally
20 approved definition of social it has gradually developed into a widely accepted concept that includes
21 several dimensions such as exposure, sensitivity, and adaptive capacity (IPCC 2007; IPCC 2014; Adger
22 2006), or exposure, resistance, and resilience (Pelling 2003).

23 Currently, there is an increasing attention being paid to vulnerability in the context of climate change
24 and urbanization. In quantitative terms, a significant goal is to create an overall index using a range of
25 indicators (Rygel et al. 2006). Parris and Kates (2003), state that numerous attempts have been made to
26 develop such indicators, with Cutter et al. (2003) providing important guidance through their research
27 on Georgetown County, South Carolina. They used county-level socio-economic and geographic
28 statistics at the county level to divide the Social Vulnerability Index (SoVI) into multiple dimensions,
29 including gender, race, age, occupation, family structure, and educational level. This revealed the
30 vulnerability of people residing in high-risk areas. The following year, Vincent (2004) created an index
31 to assess the relative vulnerability of social systems to climate change-induced variations on a
32 cross-national scale, using a weighted average of five sub-indices. ,

33 In recent years, there has been a growing focus on quantitative assessment of vulnerability due to social
34 and environmental changes in cities. Research including Rygel et al. (2006), Flanagan et al. (2011),
35 Zhang and You (2014), Rufat et al. (2015), Teng et al. (2018), and Xu et al. (2019), have evaluated
36 social vulnerability from various perspectives, in different areas and scopes, taking into account the
37 diverse ecological environments and sociopolitical structures. During their research, these scholars
38 explored the relationships between vulnerability and disasters and testing potential risks by examining
39 the impact of hazards on local populations. Over the past two decades, other vulnerability indicators
40 have been developed, including the Environmental Vulnerability Index (EVI) (Sopac 2004), Coastal
41 Vulnerability Index (CVI) (Hegde and Reju 2007), Oil Vulnerability Index (OVI) (Gupta 2008), and
42 Flood Vulnerability Index (FVI) (Balica 2007; Balica et al. 2012) among others. Unlike previous
43 studies that mainly focused on disaster losses, these studies aimed to assess social vulnerability before
44 a disaster to identify the underlying causes of loss. By constructing indicators to quantify vulnerability,

1 they have improved communication efficiency with non-expert decision makers. Their key findings
2 align with disaster reduction measures providing a stronger foundation for policy recommendations
3 regarding disaster mitigation and preparedness.

4 However, most current social vulnerability assessments rely on official statistics, typical at the
5 administrative territory. Although this macroscopic indicators of vulnerability are significant for
6 regional level disaster risk reduction, they often fail to capture the specific conditions of communities
7 or individuals (You and Zhang 2013). Barnett et al. (2008) argued that vulnerability indices lose their
8 meaning when applied to large-scale systems and should instead focus on smaller scales. In the current
9 Chinese society, which is still controlled by the household registration (*hukou*) system, the large-scale
10 floating population is not adequately represented in macro-level data. Even though existing
11 macro-level findings have been fruitful (Teng et al. 2018), future research should prioritize micro-level
12 indicators of urban vulnerability, expanding beyond traditional scopes to obtain more comprehensive
13 and in-depth results (Mao et al. 2017). Therefore, based on previous research, this study selects
14 indicators from a micro perspective to identify the characteristics of urban social vulnerability and to
15 evaluate specific groups of social vulnerability.

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17 The remaining parts of this paper are organized as follows. Section Two provides an overview of the
18 study area including its geographic location, urban development, and historical disasters. This is
19 followed by section three, which outlines the methodology used to that constructs social vulnerability
20 indicators, employing the expert scoring method and the Analytic Hierarchy Process (AHP). *K*-means
21 cluster analysis is then used to analyze the social vulnerability of the target communities. Section four
22 presents the results and discussion including a comparison of different communities and the
23 identification of vulnerable groups. Some of the findings might not align exactly with previous research
24 highlighting the importance of specific social structural factors in shaping social vulnerability. Finally,
25 section five concludes the paper with suggestions for reducing social vulnerability and addressing
26 inequality in urban China resulting from urbanization.

29 2 Study area

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31 Wuhan is a city in central China that serves as an important economic, scientific, and educational center,
32 as well as a national transportation hub for canals, trains, highways, and flights (Figure 1). Originally, it
33 was divided into three towns: Wuchang, Hankou, and Hanyang. After 1949, the three towns were
34 united in Wuhan City, which became the capital of Hubei Province in 1954. Later, to accommodate the
35 city's growing development and population inflow, Wuhan expanded into the surrounding rural areas,
36 and was then divided into 13 districts (Figure 2).

37 Wuhan's urban population has risen steadily over the last 40 years, with the urbanization rate
38 increasing from 47.4 percent in 1978 to 80.04 percent in 2017. Thus the potential for population
39 absorption continues to increase. The city's permanent population has steadily increased in recent years,
40 from 9.8 million in 2010 to 12.3 million in 2020, an average yearly increase of 250 thousand (Wuhan
41 Municipal Bureau of Statistics 2018).

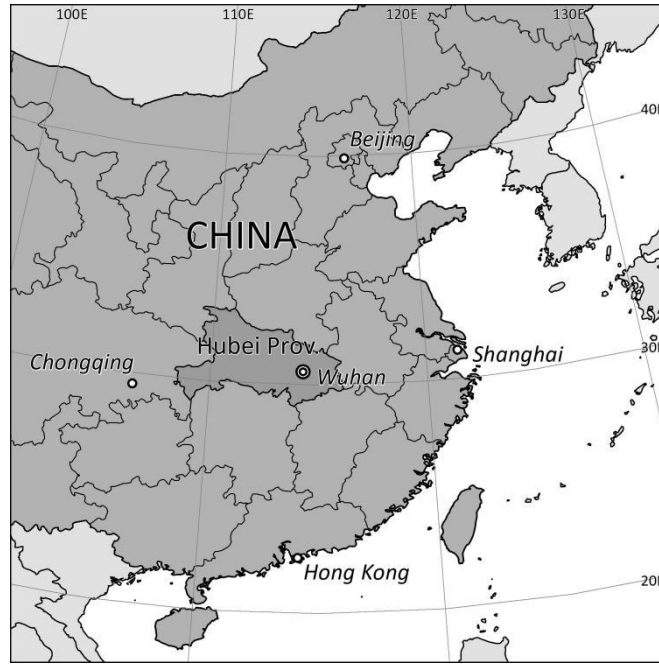
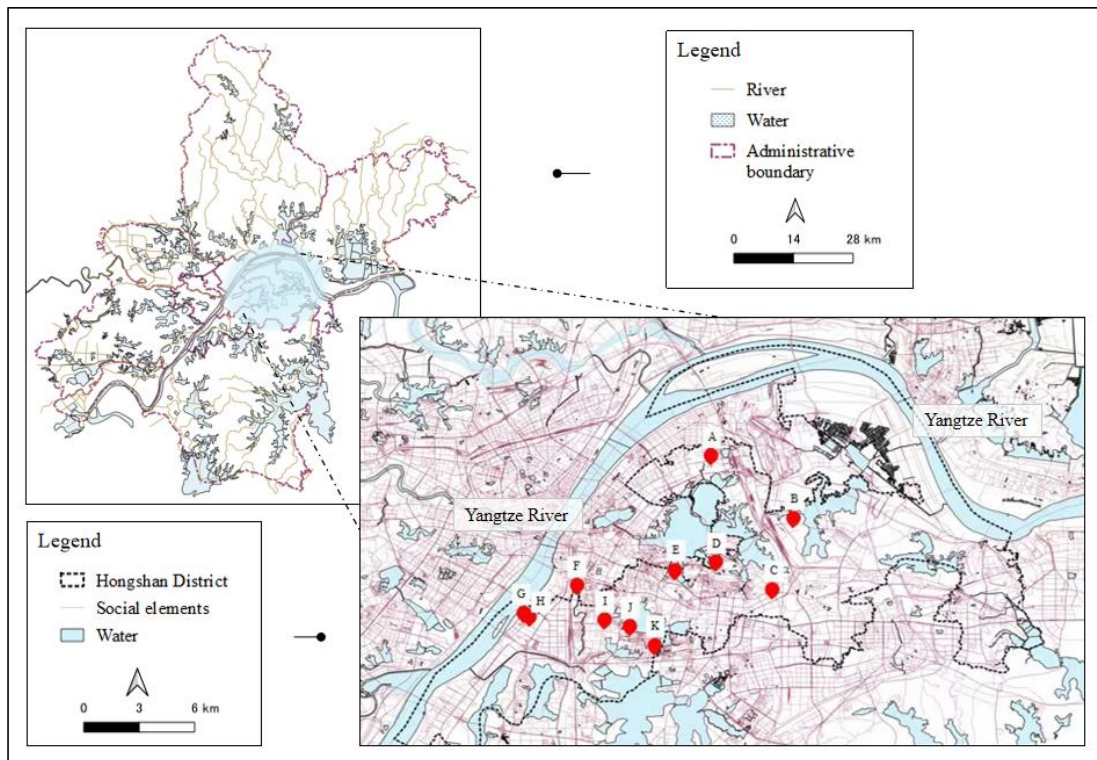


Figure 1. The geographical location of Wuhan

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Wuhan is also one of the **cities** most vulnerable to natural disasters. High temperatures, drought, heavy rain, waterlogging, freezing damage from cold temperatures, and strong winds are the most common natural catastrophes. Wuhan is **particularly** prone to extreme rain and flooding because it has a complex internal river network, a low and flat core region, and a subtropical monsoon climate.



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10 **Figure 2.** Geographical features and administrative boundaries of Wuhan City and Hongshan District.
11 The points of A-K show the locations of the communities where the questionnaire surveys were

1 conducted.

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3 Hongshan District, the target area of this study, is one of the six districts that constitute Wuhan's major
4 metropolitan area. The longest river of China, the Yangtze River, passes through Hongshan District to
5 the southwest, flowing 75 kilometers across the district, with a water level of 14.57-20.05 meters most
6 of the time. Prior to 2000, floods caused by the Yangtze River burst were common hazards to human
7 lives and property. Hongshan District experienced 114 severe rainstorms between 1951 and 1980.
8 Floods in 1931, 1949, 1954, 1983, 1998, and 1999 were among the most severe ever recorded (Records
9 of Hongshan District 2009). On July 21, 1998, the region was hit by unprecedented and severe rain.
10 The catastrophic flooding breach in Hongshan District interrupted production and caused the collapse
11 of homes. There were 526 households and 103,800 people affected, with a direct economic loss of 182
12 million yuan for the district (Records of Hongshan District 2009).

13 In addition to the Yangtze River, Hongshan District is surrounded by several lakes (Fig. 2), with 14
14 lakes covering 113 square kilometers and accounting for 22.2 percent of the district's total area. Each
15 year, the number of rainy days gradually increased from March to August. The lake level increased
16 rapidly when the rainy season began in May and culminated in July and August. Changes in lake water
17 levels have had a weaker relationship with the Yangtze River since 2000, when the dam was completed.
18 However, the main effects were precipitation and industrial, agricultural, and household water use. As a
19 result, the flooding induced by the rising water level of the inner lakes was the primary hazard risk in
20 Hongshan District.

21 The targeted communities were chosen to represent geographical and social distinctions. In terms of
22 geographic location, all target communities were close to lakes and rivers and were exposed to
23 potential flood risks. Furthermore, within China's metropolitan regions, the housing reform policy has
24 brought about a spatial division of labor in terms of the community's socioeconomic status. Based on
25 explanations of the district housing plan of Wuhan City, we divided the target communities into four
26 categories (Table 1): the communities with high-grade residences (Type I), the newly demolished and
27 rebuilt communities (Type II), the old demolished and reconstructed communities (Type III), and the
28 urban villages (Type IV). Additionally, because of urbanization and land expansion, many communities
29 are at different stages of development, resulting in spatial differentiation in scenery, public facilities,
30 and administrative management levels.

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Table 1 The types of communities

Type	Communities	Number of respondents	Descriptions
I	G, K	86	Communities with high-grade residences, well-developed infrastructure, pleasant living environment, and high housing prices and rentals
II	A, H	108	Newly demolished and rebuilt communities, with the overall reasonable community planning, and higher housing prices and rents
III	B, C, J, I	235	Old demolished and reconstructed communities, with, for the most part, low-rise buildings, inadequate

			infrastructure, lower house prices and rents, and higher population mobility
IV	D, E, F	170	Urban villages, with poor environmental facilities, cheap rent, and a large number of migrants

Sources: Records of Wuhan 1980-2000; Records of Hongshan District 2009.

3 Methodology

Identifying indicators is the first step in a quantitative analysis of vulnerability. In many previous studies, as mentioned above, it is common to select indicators based on external criteria, such as regional economic level and infrastructure supply level. However, there is a certain limitation that it is quite difficult if not impossible for such external criteria to grasp all aspects of the individual characteristics in any given groups. Therefore, this study focuses primarily on the individual ability and/or capacity to withstand and recover from disasters to create a more accurate analysis of the entire spectrum of characteristics of the community.

After identifying the indicators, the next step was to weigh the indicators while analyzing the vulnerable population using the data acquired from the questionnaire survey with sampled households, calculating the proportion of the high, medium, and low vulnerability populations in each type of community. Vulnerable populations often interact with dangers in their places of residence. Finally, we discuss the relationships between the vulnerabilities at the community level that are induced through the calculated 3-group proportions in each of the community types and their social characteristics that are provided by the explanations of the community typology to obtain the distribution characteristics of the vulnerable population and to examine the new urban mosaic in Wuhan (see Figure 3).

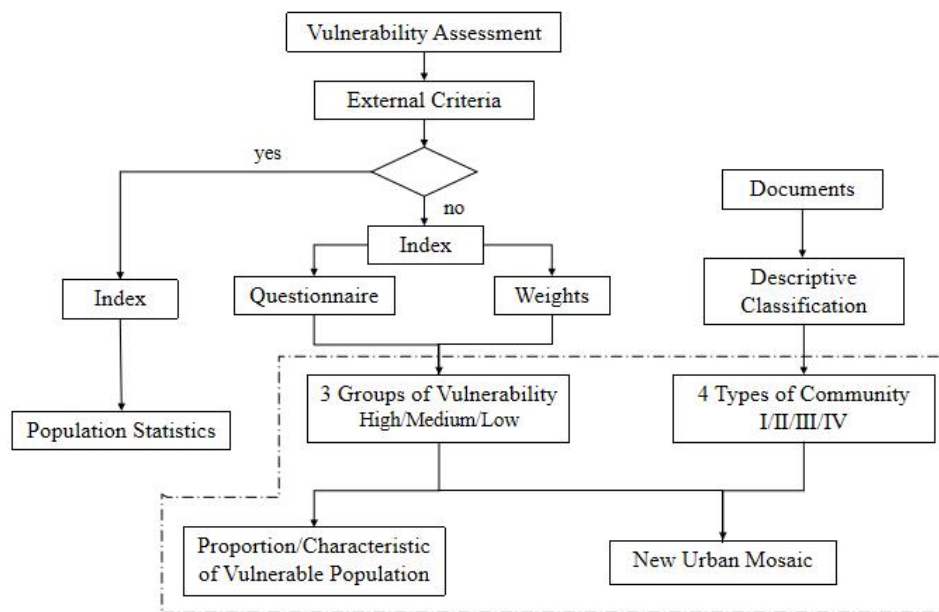


Figure 3. The framework for vulnerability assessment

3.1 Selection and description of indicators

This study **selected** indicators based on the concept of vulnerability, partly following historical disaster cases and the specific conditions of China's urban development. It adopts the IPCC's "exposure - sensitivity - adaptive capacity" conceptual framework (IPCC 2007) as exemplified by Füssel and Klein (2006), Füssel (2007), O'Brien et al. (2008), Coulibaly et al. (2015), Weis et al. (2016), Fischer and Frazier (2018), to construct an evaluation index system (Table 2) and to design the questionnaire. Although recent vulnerability assessments following **the** IPCC 2014 framework have adopted a new paradigm of vulnerability that excludes exposure, this **study** argues that some factors of exposure are related to the internal state of the social system.

According to previous studies, social vulnerability exists in certain **areas** prior to **a** disaster (Adger 2006; Bolin 2007). This status is closely related to **a** lack of resources, poverty, and marginalization (Hewitt 1983), **as well as** to the adaptability of human beings to cope with immediate or anticipated disaster pressures (Cutter 2003). As such, **the** vulnerability index parameters **vary** depending on the object and region of evaluation.

Exposure is primarily determined by physical location as well as the characteristics of the surrounding built and natural environments (Pelling 2003; Perrow 2007). This **study** discards **certain** factors when choosing exposure indicators, such as the frequency of natural disasters and disaster losses, and instead concentrates on the **locations** of houses, buildings, and infrastructure. **This is because** locations and built environments are interconnected **with** social attributes, such as social class **and** income.

Previous studies have shown that the poor may be driven to reside in hazardous regions owing to a lack of options for location and construction, **because** such places are less expensive (McEntire 2011). For example, tens of thousands of low-income African Americans who lived near Lake Pontchartrain were forced to fend for themselves when Hurricane Katrina attacked the Gulf Coast of the United States in 2005 and flooded the city of New Orleans due to breached levees (Bolin 2007). The experts indicated that strengthening **the** dike and flood control systems could have lessened economic losses and saved many lives, as mentioned later. It can be seen that living in unsafe geographical locations and buildings **and the** lack of **a** complete public facility will increase potential exposure.

Sensitivity is the degree to which a system or species is affected **by climate variability or change**, either adversely or beneficially according to **the** IPCC (2014). In **summary**, sensitivity refers to the degree to which the evaluated item or human is sensitive to risk, and indicates the likelihood of harm. It is dependent on the inherent characteristics **the** targets (Huang et al. 2014), particularly **those** related to livelihood and health (Pelling 2003). Hence, to illustrate the sensitivity of the urban population, we primarily **employed** population structure and economic characteristics. Previous case studies (Adger 1999; Xu and Takahashi 2021) also showed that unstable **livelihoods** and poor health **are** more sensitive to external disturbances or changes.

Adaptive capacity is the ability of systems, institutions, **and** humans to anticipate or reduce risk, adjust to potential damage, to take advantage of opportunities, or to respond to consequences (McCarthy et al. 2001). It is the result of the amount of intentional preparation done in light of prospective danger, as well as spontaneous or premeditated adjustments performed in response to perceived threats (Pelling 2003). It also represents the social system, through **the** continuous adjustment of coping strategies and

1 measures to adapt to the surrounding environment (Klein et al. 2003). **They are** often influenced by
 2 **educational** attainment, social capital, and social networks (Hahn et al, 2009; Huang et al. 2014;
 3 Aldrich 2019). Individuals or groups with poor adaptability are more likely to suffer damage and **find**
 4 **recovery difficult**.

5 In the current Chinese urban society, due to the influx of large numbers of migrants, social integration,
 6 including social identity and self-identification, has become a key indication of rights, opportunities,
 7 and participation. It determines individual opportunities access to resources and information. At the
 8 same time, disaster awareness and education are required to build disaster resilience, as evidenced by
 9 past disasters.

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Table 2 The Evaluation Index of Social Vulnerability

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Index	Indicator	Description	Source	Positive correlation (+) or negative correlation (-) to vulnerability
Exposure	Geographical location	Proximity to dangerous areas such as steep slope, riverbank, sea-shore, etc.	Pelling 2003, Moss et al. 2001.	Geographical location (+)
	Building	Flimsy constructions unable to withstand hazard impacts.	Wisner et al. 2004	Building fragility (+)
	Public infrastructure	Unavailability of critical public infrastructure.	Moss et al. 2001, Cutter et al. 2003, Vincent 2004	Access to public facilities (-)
Sensitivity	Health/physical ability	Physical ability of an individual or a group of people to withstand hazard impacts.	McCarthy et al. 2001, Pelling 2003, Moss et al. 2001, Hahn et al. 2009	Bad physical condition (+) Good physical condition (-)
	Livelihood stability	Unstable livelihoods not conducive to increasing income, easily leading to poverty.	Marshall et al. 2007	Unstable livelihood (+)
	Debt	Ways of life beyond mere subsistence level and lacks of long-term investment in disaster reduction.	Ramprasad 2019	Debt (+)
	Renters	Lacks of access to costly housings and of sufficient shelter options.	Cutter et al. 2003	Renters (+)
Adaptive capacity	Social inclusion	No participation in local decision-making leading to social marginalization concerning social identity, self-identification, rights, opportunities, participation, etc.	Yang 2015	Social inclusion (-)
	Education	Ability to understand warning	Cutter et al.	Low education (+)

	information and access to recovery information.	2003, Coulibaly et al. 2015	High education (-)
Family structure	A large number of people under the age of 18 and over 65 depending on more energy and resources to adapt to disasters.	Vincent 2004 Hahn et al. 2009, Coulibaly et al. 2015	With the family member under the age of 18 and/or over 65 (+) Without the family member under the age of 18 and/or over 65 (-)
Social capital	Access to information and resources, building trust and cohesion to reduce vulnerability.	Mpanje et al. 2018, Hahn et al. 2009	Social capital (-)
Social insurance	Normal hedge against losses caused by risks, lacking the ability to overcome adverse effects.	Burton et al. 1993, McCarthy et al. 2001, IPCC 2014	Social security (-)
Social security	Sufficient social welfare to improve living conditions, thereby enhancing disaster resilience, for example pensions or allowance increasing future expectations for the younger and guarantee subsistence of the elderly.	Vincent 2004, Wisner et al. 2004, Adger and Vincent 2005	Social welfare (-)
Disaster awareness	Lack of disaster awareness and experience which may impair the basic skills needed to protect oneself.	Wisner et al. 2004	Awareness of disaster (-)
Disaster preparedness	Inadequate disaster preparedness, for example food, water, rope etc., to reduce the ability to respond to disasters.	Wisner et al. 2004	Disaster preparedness (-)

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3 3.2 Determination of weight

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5 **The weight** is the relative importance of each indicator in the overall evaluation. Currently, **methods for**
6 determining **weights** can be roughly divided into subjective methods, including **the** expert scoring
7 method, analytic hierarchy process (AHP), **and** fuzzy comprehensive evaluation (FCE), and objective
8 methods, including **the** entropy method, principal component analysis (PCA), **and** factor analysis.
9 Given the uncertainty **of** system dynamics (Villa and McLeod 2002; Vincent 2004), vulnerability
10 **indices** cannot be genuinely tested because they aim to provide information about the **risks** of future
11 events. To be credible, the vulnerability index must either match what people actually observe in some
12 way, or at least have some intuitive resonance with experts (Sagar and Najam 1998). Therefore, this
13 study **adopted** a combination of the expert scoring method and AHP to determine the weight of each

1 indicator.
 2 Specifically, using snowball sampling, we firstly invited ten experts who are out of our research group
 3 from three countries (China, Japan, and Indonesia) through email, including local people with disaster
 4 experience, local scholars with disaster experience, and/or researchers on related issues in sociology
 5 and geography. By sending Table 2 (including explanations for each indicator) in a word file and
 6 specifying the steps for scoring 15 variables related to social vulnerability according to the degree of
 7 importance (very important=5, more important=4, generally important=3, less important=2, not
 8 important=1), we received feedback via email from all experts. There were no other prompts and the
 9 expert response rate was 100%. We then computed the weight using AHP with the following steps:

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 11 (1) Use the judgment matrix to calculate the weight of each indicator (including the first-level and
 12 second-level indices), and check the consistency of the judgment matrix.

13 In the consistency test (Saaty 1980; Lane and Verdini 1989; Lin et al. 2013), the random consistency

14 ratio in the judgment matrix is $CR = \frac{CI}{RI}$ ¹

15 And the results of CR in all the matrices are less than 0.10.

16 (2) The final weight of each indicator was then calculated. To obtain a more scientific result, we used
 17 the arithmetic average, geometric average, and eigenvalue to calculate the weights, and then regarded
 18 the average as the final weight of each indicator (Table 3).

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Table 3 The weight of Indicators

Index	Weight	Indicator	Weight	Final weight
Exposure	0.5394	Geographical location	0.3334	0.179836
		Building	0.5689	0.306865
		Critical infrastructure	0.0977	0.052699
Sensitivity	0.1635	Health/physical ability	0.491	0.080279
		Livelihood stability	0.3056	0.049966
		Debt	0.1254	0.020503
		Renters	0.078	0.012753
Adaptive capacity	0.2971	Social inclusion	0.0454	0.013488
		Education	0.0454	0.013488
		Family structure	0.0454	0.013488
		Social capital	0.1887	0.056063
		Social insurance	0.075	0.022283
		Social security	0.1189	0.035325
		Disaster awareness	0.2925	0.086902

¹ Consistency ratio (CR); Consistency index (CI); Random consistency index (RI)

3.3 Data collection and analysis

Preliminary interviews and questionnaire surveys were conducted in June and July 2021, respectively. First, we designed questionnaires using the social vulnerability index (Table 4) and conducted preliminary interviews with local residents. In addition, when selecting the sampling method, it was taken into account that many urban migrants, especially low-skilled and low-secured representatives of migrant workers, were not fully included in the urban population list. Therefore, we adopted a quota-sampling method to determine the sample size for each community based on official data, preliminary research, and interview data. Then, the required quantity for each community was determined in advance through mutual control quota analysis of the age, gender, and household registration characteristics of the surveyed samples, and then distributed face-to-face until the target quantity was collected. A total of 620 questionnaires (including 599 valid responses, an effective rate of 96.6%) were collected from 11 communities (A to K) in eight streets of Hongshan District, Wuhan City (see Table 1).

To eliminate the influence of different dimensions and orders of magnitude, we adopted normalization for each index. Min-max normalization was used to obtain the numerical values of all indices between 0 and 1.

Normalization for positive indicators:

$$x'_{ij} = \frac{x_{ij} - \min \{x_j\}}{\max \{x_j\} - \min \{x_j\}}$$

Normalization for negative indicators:

$$x'_{ij} = \frac{\max \{x_j\} - x_{ij}}{\max \{x_j\} - \min \{x_j\}}$$

x_{ij} represents the value of the j th index of the i th surveyed object and $\min \{x_j\}$ and $\max \{x_j\}$ represent the minimum and maximum values of the j th index of all surveyed objects, respectively. The vulnerability value was calculated after normalization.

Table 4 The determined and normalized variables

Serial number	Variable	Description of Questions	Max	Min	Mean value	SD
1	Geographical location	Respondent's perception of the safety of his/her living place	1	0	0.4372	0.1982
2	Building	Respondent's evaluation of the safety of his/her housing	1	0	0.4265	0.2103
3	Critical infrastructure	a. Respondent's evaluation of the complete of his/her surrounding disaster prevention facilities	1	0	0.5245	0.2063

		(shelters, drainage facilities, embankments)				
		b. Respondent's evaluation of the convenience of his/her surrounding facilities				
4	Health/ Physical ability	Respondent's perception of his/her physical condition	1	0	0.2872	0.2594
5	Livelihood stability	Respondent's perception of the stability of his/her occupation (income)	1	0	0.3863	0.2852
6	Debt	Respondent whether he/she has loans	1	0	0.1957	0.5076
7	Renters	Respondent whether he/she owns or rents the house	1	0	0.4599	0.5402
8	Social inclusion	Respondent's perception of integration into local society	1	0	0.2772	0.1788
9	Education	Respondent's education level	1	0	0.6064	0.2819
10	Family structure	In the respondent's family, the proportion of children to be supported and the elderly to the total family population	1	0	0.3871	0.2877
		a. Respondent's evaluation about whether quickly get help from his/her family, relatives or friends after he/she has suffered disaster losses				
11	Social capital	b. Respondent's evaluation about whether quickly get help from the community, government or NGOs after he/she suffers from disaster losses	1	0	0.4526	0.2078
		Respondent's evaluation of the sufficient of his/her insurance (such as personal safety insurance, housing insurance, other family property insurance, etc.)				
12	Social insurance	Respondent's evaluation of the sufficient of his/her social security (such as medical security, pension, etc.)	1	0	0.6614	0.3023
13	Social security	a. Respondent's evaluation of his/her disaster knowledge and experience	1	0	0.4603	0.2578
14	Disaster awareness	b. Respondent's awareness about	1	0	0.5004	0.1647

		disasters in their living place				
		a. Respondent's preparedness for disaster prevention and escape				
15	Disaster preparedness	b. Respondent's experience about participated in disaster drills	1	0	0.7051	0.2973

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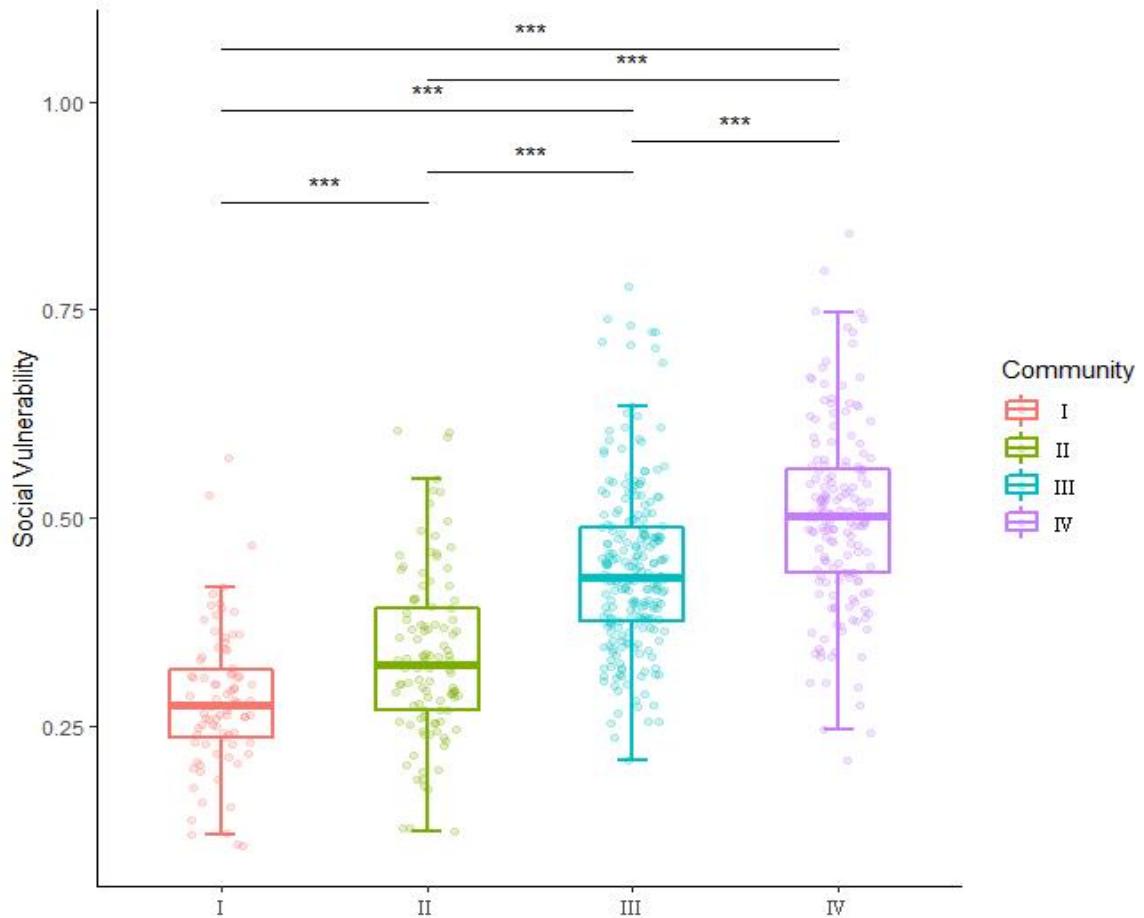
To compare the social vulnerability of target communities and identify the characteristics of vulnerable groups, *K*-means cluster analysis was adopted to divide vulnerability values into three categories: high, medium, and low. Cluster analysis is a statistical method that divides research objects into homogeneous groups. The same cluster of levels of social vulnerability **reflects** of the similar ability of individuals and communities to withstand risks, and its level directly **indicates** the possibility of individuals or communities succumbing to disasters. Quantitative (discrete and continuous) variables reveal the current vulnerability of Wuhan communities as well as the probability that they may be affected by disasters in the future.

4 Results and Discussion

4.1 Comparison of Different Communities' Social Vulnerability

Eleven communities from A to K **were** divided into four categories Types I to IV, based on their states of development in terms of built environments, demographic compositions, housing prices, and other features (Table 1). The social vulnerability of these four types of communities **was** calculated, and it **was found** that there were significant disparities in vulnerability between them (**Figure 4**).

Type I communities **had** the lowest social vulnerability, followed by Types II and III, **whereas** Type IV communities **had** the highest. Moreover, the four **community types showed** statistically significant differences in their vulnerability **levels** (see **Figure 4**).



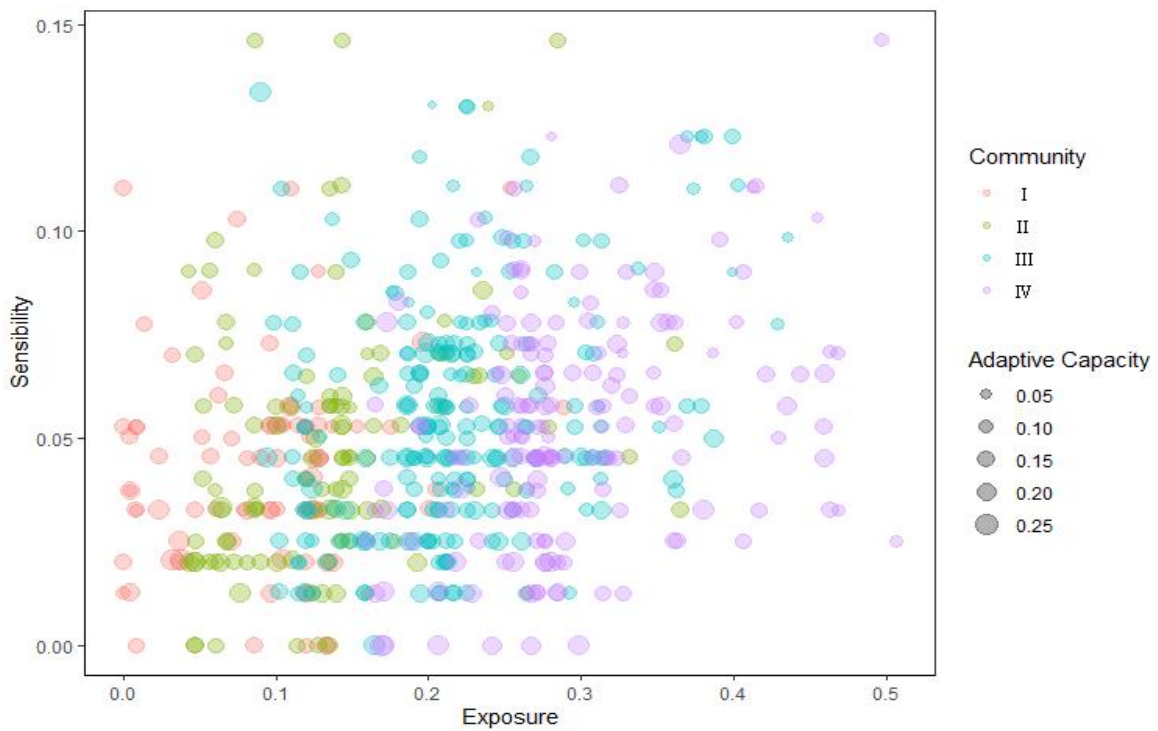
1
2
3 **Figure 4.** Social Vulnerability Box Plot of 4 type communities. The boxplot in is used to represent the
4 central location and distribution range of vulnerability data for the four types of communities, and to
5 compare them. The four colors represented in the legend represent four different community types,
6 each consisting of multiple communities (see Table 1). There is a line in the middle of the box,
7 representing the median of the data; The top and bottom of the box are respectively the upper quartile
8 (Q3) and the lower quartile (Q1) of the data; The top and bottom lines represent the maximum and
9 minimum values of the group of data, respectively. Some points distributed outside represent outlier in
10 the data. This figure can not only show the distribution, outlier, fluctuation and stability of each type of
11 community vulnerability, but also compare the difference of distribution and value of different types of
12 community vulnerability. *Note:* $p < .01^{***}$ ($= .000$)

13
14 **Figure 4** also shows that Type I communities had the most concentrated distribution of vulnerability,
15 implying that the vulnerability gap among individuals in each Type I community was the smallest.
16 According to the survey data, residents are homogeneous in socioeconomic traits such as educational
17 attainment and income stability.

18 The most dispersed data of Type IV communities indicate that the disparity of individuals'
19 vulnerabilities in Type IV communities is relatively large, and this is related to the high rate of floating
20 populations in urban villages, as well as the heterogeneity of population attributes and social
21 characteristics. Type II and III communities were rebuilt after demolition and relocation and are
22 referred to as *Huanjianfang* in Chinese. *Huanjianfang* refers to the government's demolition of the

1 original houses of farmers in suburban areas for municipal construction and accommodating new
 2 houses. New dwellings were reallocated to residents who demolished their original houses as
 3 compensation. It is a unique process of dwelling in China's urbanization process and is subject to
 4 restrictions related to circulation. Furthermore, developers frequently use inferior building materials to
 5 reduce the costs. The main difference between the two was that Type II communities were superior to
 6 Type III communities in terms of housing density, construction quality, infrastructure, and greenery. As
 7 a result, despite the fact that both types were rebuilt following the renewal of former villages in the
 8 rural-urban fringes, there was still a significant disparity in the characteristics and vulnerabilities of the
 9 people between the two types.

10



11

12 **Figure 5.** Exposure, sensitivity, and adaptive capacity of four types community. The bubble chart
 13 shows three variables (exposure, sensitivity, and adaptability) for four types of communities. Exposure
 14 and sensitivity correspond to values on the X-axis and Y-axis, respectively, and adaptability is
 15 represented by the size of the bubble. The four different colors in the legend represent four types of
 16 communities, and the dot size is used to explain the size of adaptability. Through Figure 5, not only can
 17 the overall exposure, sensitivity, and adaptability of the study area be displayed, but also the differences
 18 in exposure, sensitivity, and adaptability of different types of communities can be compared.

19

20 Compared with sensitivity and adaptability, which are dimensions of vulnerability, exposure fluctuated
 21 the most. Types I and II communities were significantly less exposed than Types III and IV, with the
 22 fourth type seeing the most exposure, namely, in dangerous geographical and physical conditions. The
 23 difference in sensitivity across four types is minor, with most of the people in Types I and II being
 24 somewhat less sensitive than those in Types III and IV; but individuals within each group, on the other
 25 hand, differ significantly. A previous study (Turner et al. 2003) found that not only do social
 26 vulnerabilities vary between societies, communities, and groups, but also among residents in the same
 27 area or community. We have verified that using quantitative analysis receives similar findings (see

1 Figure5).
 2 Although the majority of highly exposed and highly sensitive individuals also showed poor adaptive
 3 capacity, the four types of communities showed very little variation in individual adaptability, and the
 4 aggregate values were not all high, according to the bubble chart. Furthermore, Figure 5 shows that
 5 overall sensitivity and adaptability have a negative relationship. Individuals who were more sensitive
 6 were less adaptive. Adaptability, on the other hand, improves when sensitivity decreases.

7
 8

9 **4.2 Social vulnerability and residential segregation**

10

11 As a result of the cluster analysis three categories of high, medium, and low groups for individual
 12 vulnerabilities were obtained. The group with high vulnerability accounted for 12.9 percent of the 599
 13 samples investigated, medium vulnerability for 48.4 percent, and low vulnerability for 38.7 percent,
 14 respectively. Eventually, the social vulnerability in the study area was moderate for almost half, with a
 15 much lower proportion of high vulnerability.

16
 17

18 **Table 5** The distribution of individuals social vulnerability

19

Level of vulnerability	Percentage of individuals in 4 type communities					Numerical range
	I	II	III	IV	Total	
High-vulnerability	1 (11)	3 (14)	26 (30)	47 (22)	77	[0.5488, 0.8416]
	1.3%	3.9%	33.8%	61.0%	100%	
Medium-vulnerability	10 (42)	28 (52)	150 (114)	102 (82)	290	[0.3772, 0.5478]
	3.4%	9.7%	51.7%	35.2%	100%	
Low-vulnerability	75 (33)	77 (42)	59 (91)	21 (66)	232	[0.1055, 0.3767]
	32.3%	33.2%	25.4%	9.1%	100%	
Total	86	108	235	170	599	
	14.4%	18.0%	39.2%	28.4%	100%	

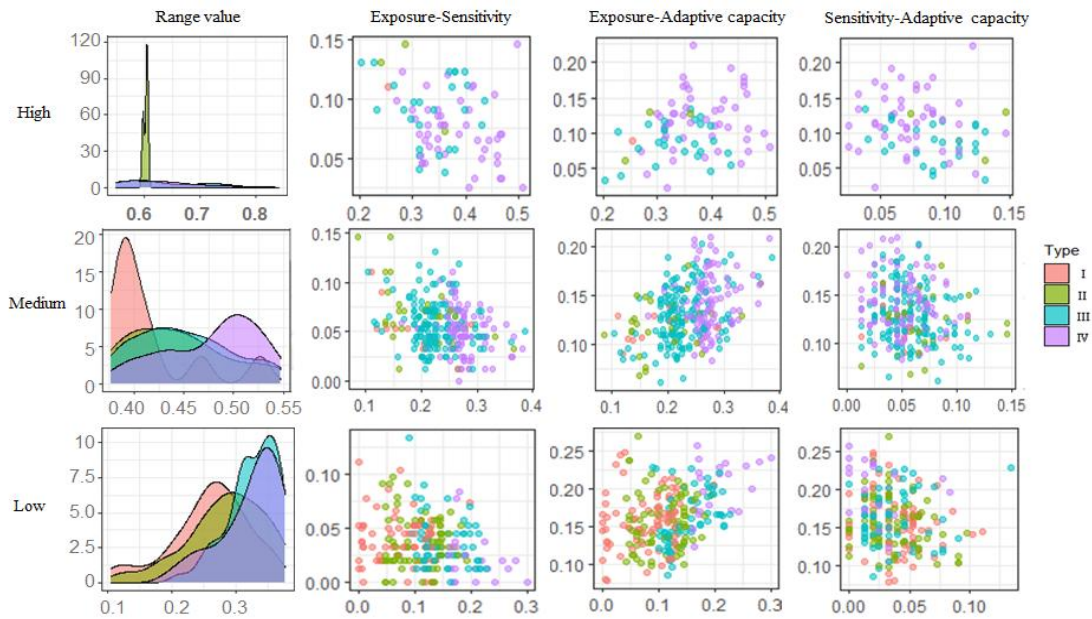
$\chi^2 (6, N =599) =222, p < .01*** (= .000)$; the figures in () are expected values.

20
 21

22 Table 5 shows that there were a few individuals classified into high- and medium-vulnerability groups
 23 in the communities of Types I and II. More than 90 percent of the highly vulnerable groups and more
 24 than 85 percent of the moderately vulnerable groups were concentrated in type III or IV communities .
 25 Almost half of the moderately vulnerable groups are in Type III; the communities of Type IV, thought
 26 of as urban villages, are mainly composed of individuals classified into the high vulnerability group
 27 and a few individuals in the low-vulnerability group.

28 Furthermore, when comparing the vulnerability characteristics between the community types (Fig. 6), it
 29 is not difficult to see that, while communities of Type III have lower scores than those of Type IV in

1 terms of exposure and adaptive capacity, they are more sensitive. Type III communities are
 2 transitioning from urban villages to communities. The population here is confronted with many
 3 unpredictable circumstances, and changes in expectations for the future may affect their ability and
 4 stability, leading to an increase in sensitivity and loss of potential for adaptation (Figure 6). Moreover,
 5 when a twilight district, such as an urban village, is demolished, its communities quickly lose their
 6 relative geographical and environmental advantages, and the people are compelled to relocate. Their
 7 low income will not provide many options for where to reside, thus being forced into more exposed
 8 neighborhoods with a high likelihood of becoming a high-vulnerability population.
 9



10

11 **Figure 6.** The distribution and characteristics of high, medium and low-level vulnerability. The figure
 12 horizontally represents the distribution of high, medium, and low vulnerability populations in the four
 13 types of communities. Vertically, a) Range value is the nuclear density curve of the vulnerable
 14 population, with a higher peak indicating a more concentrated level of vulnerability (with smaller
 15 differences in vulnerability). Conversely, a lower peak indicating a more dispersed level of
 16 vulnerability (with larger differences in vulnerability). At the same time, the concentration range of its
 17 vulnerability values can be determined; b) Exposure-Sensitivity represents the correlation between the
 18 exposure and sensitivity of vulnerable populations in the four types of communities, with the X-axis
 19 indicating exposure and the Y-axis indicating sensitivity; c) Exposure-Adaptive Capacity represents the
 20 correlation between the exposure and adaptability of highly vulnerable populations in the four types of
 21 communities, with the X-axis indicating exposure and the Y-axis indicating adaptability; d)
 22 Sensitivity-Adaptive capacity represents the correlation between sensitivity and adaptability of
 23 vulnerable populations in the four types of communities, with the X-axis indicating sensitivity and the
 24 Y-axis indicating adaptability.

25

26 The disparity in social vulnerability among inhabitants in various neighborhoods implies “residential
 27 segregation” in the metropolitan environments. An urban community is not just a “geographic location”
 28 but also a physical and social environment. Urban residents’ occupations, incomes, household
 29 registrations (*hukou*), and educational backgrounds differ accordingly, as do the affordability and need

1 for living space and supporting public service facilities.
 2 The rapid urbanization of Chinese cities over the past four decades has generated new sociospatial
 3 **disparities**. This sociospatial disparity shattered the initial social homogeneity that existed before the
 4 reform and opening of the 1980s. There is a growing tendency to polarize urban districts **and** increase
 5 **the** degree of intra- and inter-neighborhood segregation. Low-income groups and **the** floating
 6 population frequently relocate **to** cities to find better jobs and affordable housing. Only when they can
 7 gain access to economically favorable environments with lower rent by moving to dangerous places
 8 **can** they relocate to such places, regardless of disaster risks (Hardoy and Satterthwaite 1989).
 9 Households or individuals **the** financial capacity to afford minimum standard housing are forced to
 10 make compromises, often with **a** preference for food for the family and education for children (Hardoy
 11 and Satterthwaite 1987).

12 Even though **Types I and II communities** are geographically close to lakes and rivers, these types of
 13 communities outperform other communities in terms of the built environment, which also influences
 14 vulnerability (Pelling 2003). On one hand, a high-quality building environment, comprising solid
 15 housing, appropriate provisions for waste collection and sanitary disposal, **and** a full fire protection
 16 system, results in expensive housing prices, which exclude the majority of low-income groups. The
 17 increase in rent caused by the successive demolition and reconstruction of twilight urban districts in
 18 municipal planning forced them to find affordable housing. This is why high- and
 19 medium-vulnerability residents are concentrated in **Type III and IV communities**. **However,**
 20 unfavorable conditions in housing, medical care, job opportunities, and public services may hinder or
 21 limit residents' access to high-quality resources and opportunities, exacerbate their precarious situation,
 22 and weaken their **ability** to withstand disasters. This is why the overall social vulnerability of residents
 23 in the third and fourth **community types was** higher than that of **residents in the other community types**.
 24 In this sense, such social segregation is projected onto space (Cassiers and Kesteloot 2012) and implies
 25 an overlap of dual marginalization in spatial and social terms. Social vulnerability develops through
 26 process of socio-spatial and intraurban heterogeneity. Many factors such as poverty, poor housing, and
 27 infrastructure **have** led to disparities in the social vulnerability of diverse communities and groups.
 28 They may suffer different of shocks and losses in the **event** of future calamity.

29

30 **4.3 Identification of vulnerable populations**

31

32 The difference in the social vulnerability of different communities is an indirect reflection of
 33 socio-spatial divergence and a manifestation of the polarization between **the** urban affluent and poor
 34 groups. **The social vulnerabilities of differentiated groups** are caused by structural factors in society
 35 derived from the features of the system (Clark et al. 2000). Residents in cities **belong to** different
 36 groups, **owing** to their different economic statuses, cultural backgrounds, living conditions, and other
 37 comprehensive factors. The relevant factors of social vulnerability are helpful in **identifying** vulnerable
 38 groups and **implementing** particular attention and protective strategies.

39

40

41 **Table 6** Social characteristics of individuals with different vulnerabilities

42

43

Trait	Description	Mean	Low	Medium	High
-------	-------------	------	-----	--------	------

		value				
Personal factors	Age	-	45.2037	43.4353	46.5828	45.3377
	Education	1 Elementary school and below				
		2 Junior high school				
		3 Senior high school	2.9666	3.3276	2.7586	2.6623
		4 Junior college				
		5 Undergraduate				
		6 Postgraduate and above				
	Health	1 Very poor				
		2 Poor				
		3 General	3.8531	4.2500	3.7621	3.0779
4 Well						
5 Very well						
Economic factors	Personal annual income	1 Under 25000				
		2 25000-50000				
		3 50000-75000	2.2337	2.4483	2.1276	1.9870
		4 75000-100000				
		5 Over 100000				
	Livelihood stability	1 Very low stable				
		2 Low stable				
		3 Stable	3.4558	3.8060	3.3586	2.7662
		4 High stable				
		5 Very high stable				
Social factors	Social inclusion	1 Be excluded completely				
		2 Be excluded				
		3 General	3.8932	4.0862	3.8483	3.4675
		4 Be involved				
		5 Be fully involved				
	Social Security	1 None				
		2 Insufficient				
		3 General	3.1569	3.4871	3.0207	2.6364
		4 Sufficient				
		5 High sufficient				
Social insurance	1 None					
	2 Insufficient					
	3 General	2.3539	2.9224	2.0724	1.8182	
	4 Sufficient					
	5 High sufficient					

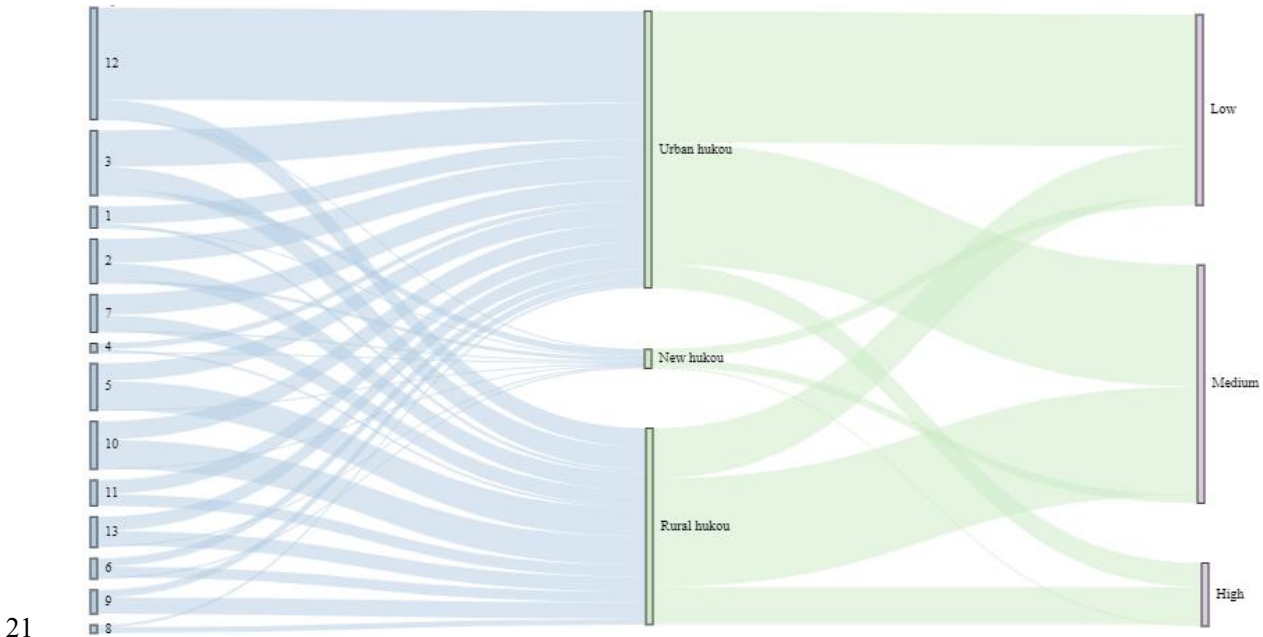
1
2 Judging from the mean values of the characteristics in Table 6, individuals with high-vulnerability have
3 traits such as low levels of education and health, low annual income, and unstable work. In particular,
4 there were substantial discrepancies between the high- and low-vulnerability groups in terms of health
5 status, job stability, and social insurance .

1 There is a **small** gap between **the** medium- and **high-vulnerability groups** in terms of education, annual
 2 income, and social insurance; **however, there is** a large discrepancy in health status and employment
 3 stability. This indicates **a relatively** high sensitivity **for** medium-vulnerability **populations**. They are
 4 more prone to high-vulnerability if their physical health and livelihood security **are** jeopardized by
 5 external pressure.

6 The average age of the low-vulnerability group **was** lower than the sample average, but **was** somewhat
 7 higher than that of the medium-vulnerability group, showing **no** clear interrelationships. Despite the
 8 disadvantages of the elderly in terms of their physical condition, we can argue that they often have a
 9 relatively high level of social security as well as other aspects such as wealth accumulation, income
 10 stability, and living conditions that are superior to **those of most** younger people in urban China, the
 11 situations of which may be different from **those in** rural China. **Consequently** even if previous research
 12 **has** pointed out that higher vulnerability is **observed** in older groups, the findings of this study differ. It
 13 is indispensable to **make judgments based on the** social backdrop and development level when
 14 developing indices of vulnerability assessment **indices**.

15 **There are other categorical factors such as occupation, household registration, gender, and debt in**
 16 **addition to the continuous variables listed above. As the values of these variables cannot reflect**
 17 **variations in individual social vulnerability, they must be examined independently (See Figure 7). In**
 18 **addition, the results did not reflect a correlation between gender, debt, and vulnerability. Therefore, this**
 19 **aspect is not discussed in this article.**

20



21

22 $X^2 (24, N =599) =98.63, p < .01*** (= .000)$ $X^2 (4, N =599) =34.370, p$
 23 $< .01*** (= .000)$

24 **Figure 7.** Correspondence between occupation (on the left bar), household registration (*hukou*) (on the
 25 middle bar) and social vulnerability level (on the right bar). Occupation (on the left bar): 1=Staff of
 26 governmental departments and institutions, 2=Professional and technical personnel, 3=Company
 27 employees, 4=Businessmen, 5=Service personnel in the tertiary sector, 6=Industrial workers,
 28 7=Students, 8=Agricultural workers, 9=Housewives, 10=Private business owner, 11=Unemployed,
 29 12=Retired person, and 13=Other.

1 From Figure 7, in terms of the type of *hukou*, the high vulnerability can be seen more frequently in the
2 group of rural *hukou* holders than in the group of urban *hukou*. Among the high-vulnerability groups,
3 approximately 60% held rural *hukou*, accounting for half of the medium-vulnerability group. People
4 primarily employed in service industries, the self-employed, and low-skilled workers make up the
5 majority of rural to urban migrants seeking better employment prospects. Low-skilled workers lack
6 adequate social security, and their income stability has always been in jeopardy. As for the
7 self-employed and those in the service industry, such as receptionists, waiters, and call-center
8 employees, it is likely that their livelihoods have also fallen into instability, as seen in the impacts of
9 the recent pandemics and the following city lockdowns in Wuhan. Most have low incomes, live in
10 densely populated poor communities or urban villages, and lack comprehensive social welfare
11 programs. This is the main reason for their higher vulnerability.

12 Although there are also some low-vulnerability individuals with rural household registration, an
13 analysis of their occupational types reveals that they are mainly engaged in state-owned enterprises,
14 including public service units. These jobs are highly stable in terms of income and social security.
15 Enterprises and units with better social welfare may provide opportunities for urban *hukou* holders
16 (called *Luohu* in Chinese). Moreover, higher education, stable wealth accumulation, social status, and
17 so on can contribute to the transformation from rural *hukou* to urban *hukou* as the origin of the urban
18 *hukou* of a new citizen. Following the acquisition of a local urban *hukou*, they benefit in the same
19 manner as local urban residents.

20 China's household registration system, *hukou*, an institution controlling population movement, to a
21 certain extent represents social and economic outcomes at the individual level (Liu 2005). Entitlements
22 to state-supplied social benefits and opportunities including education and medical services, and social
23 security benefits, including unemployment, endowment, and housing security, are still rationed based
24 on household registration. Therefore, migrants without local urban *hukou* usually face difficulties in
25 accessing local public services and social security benefits in a city. Thus, megacities present a
26 particular challenge. However, a decline in *hukou*'s influence on career choices can also be seen in
27 Figure 7. Indeed, many rural-to-urban migrants with rural *hukou* are no longer engaged in low-end
28 labor and temporary jobs, as they came approximately 20 years ago (see Chan and Zhang 1999), and
29 now they have more career choices. However, there remains a problem that they are still unable to enter
30 high-paying and stable industries, and the impact of *hukou* on individual social vulnerability cannot be
31 ignored.

32 The results also show that approximately 50% of urban registration holders are at high and medium
33 levels of social vulnerability. Many studies have argued that China has an unequal distribution of
34 resources between urban and rural areas at the national level and that urban residents have advantages
35 in the acquisition and utilization of various resources (Sicular et al. 2007; Liu et al. 2019). Relatively,
36 inequality within urban populations has received little attention. In fact, for various reasons resulting in
37 poverty and lack of opportunity, a large part of the urban population exhibits insufficient resilience and
38 resistance to disasters when facing dangers, shocks, and pressures. Although social vulnerability cannot
39 be read directly from poverty (Chambers and Conway 1992), the former is often highly interrelated with
40 the latter (Wisner et al. 2004), causing such inequality.

41 At present, most of the urban poor in China are relatively poor, and the gap between the rich and poor
42 is constantly widening. China's Gini Coefficient² from 2003 to 2017 was between 0.462 and 0.491

² It is generally believed that the income of residents is very average when the Gini coefficient is less than 0.2, It is generally believed that the income of residents is very average when the Gini coefficient is less than 0.2, average

1 (National Bureau of Statistics 2018), indicating increasing income **inequality**. In addition to the income
2 gap, **the** differences in assets **create greater** inequality. With the development of urbanization, the poor
3 will **become** poorer in urban areas, and the rich will **become** richer. There is no opportunity for upward
4 mobility in the lower classes of the city, and mobility between various strata of Chinese society has
5 significantly reduced, implying hierarchical **social** consolidation. With the widening income gap,
6 poverty **and vulnerability** may spread rapidly throughout cities. Some **societal** systems have inherent
7 forces **that create** inequalities (Mehretu et al. 2002), **and** macro data may hide these inequalities,
8 **underestimating** the scale and depth of urban vulnerability.

9 10 **5 Conclusion**

11
12 Through the development of micro-individual social vulnerability indicators and cluster analysis, this
13 **study** assessed the level of social vulnerability of 599 residents **from** 11 communities in **the** Hongshan
14 District of Wuhan. The findings **reveal** three levels of social vulnerability: high, medium, and low.
15 Quantitative assessments offer **specific** comparisons between distinct units and the results indicate that
16 different types of communities have **significant** differences in social vulnerability. Residents of
17 favorable communities have more resources and opportunities; **therefore, they have the** option of living
18 in areas with comparably superior conditions. Therefore, they have lower exposure and sensitivity
19 and higher adaptability to disaster risks. **However, the inhabitants of urban villages face** different
20 **scenarios**. Residential segregation is an important **factor in** assessing social vulnerability. Another main
21 finding **was** that higher vulnerability groups have the characteristics of low education, poor health, low
22 annual income, unstable work, and insufficient social security. Improving the stability of livelihoods,
23 wealth accumulation, social security, and so on, contributes positively to reducing individual social
24 vulnerability.

25 The aforementioned socio-spatial differences are not confined to Wuhan or Chinese cities, but also
26 exist in other parts of the world, in developed cities **such as** New York, or emerging cities like Jakarta.
27 When inequality reaches a certain level, **a social crisis is triggered. Regardless of whether** we live in
28 nations with robust or weak economies, structural inequality reveals itself during crises, harming those
29 who are already impaired and defenseless (Kalpana Sharma 2020). **Although** climate change and
30 urbanization are **global** phenomena, impoverished people and disadvantaged groups are
31 disproportionately affected **by** factors such as poverty, excessive reliance on natural resources, and
32 inadequate infrastructure. **In China, underlying inequalities within the city must be addressed** to
33 minimize the social vulnerability generated by the urbanization process. First, measures should be
34 implemented to ensure housing and social security; **for example,** by controlling housing prices and
35 constructing public housing. Solving the *hukou* problem, which causes a disparity in benefits between
36 residents with and without urban *hukou*, could achieve social security justice. Second, to effectively
37 manage hazard risks and decrease disaster losses, different groups **must be considered** when developing
38 climate adaptation and urban development policies, particularly disadvantaged individuals at the
39 bottom of society who have no voice.

40 The importance of this research in terms of practical application is twofold. **First,** it constructs
41 individual-scale indexes and analyzes vulnerability using existing indicators for different spatial scales
42 and groups, which contributes to the research on micro-vulnerability indicators in China's cities lacking

between 0.2 and 0.3, more reasonable between 0.3 and 0.4, and the gap between 0.4 and 0.5 is too large, and when the gap is greater than 0.5, the gap is huge.

1 basic micro-level statistics. The second quantitative analysis properly **assessed** and **comprehended** the
 2 most vulnerable groups, allowing for community comparisons. This **will** help policies support the most
 3 vulnerable communities **and populations**.

4 **This study examines collective vulnerability at the community level. It compares the differences in**
 5 **vulnerability among different communities. However, the communities referred to were limited to**
 6 **administrative institutions with Chinese characteristics (*Shequ*). Although it also includes geographical**
 7 **and social meanings to some extent, it is more inclined towards administrative dominion in the Chinese**
 8 **context. Therefore, the discussion is mainly based on administrative jurisdiction and does not involve**
 9 **the discussion of social networks or social capital.**

10 **The second limitation is indicator selection and weight determination. The selection of different**
 11 **indicators and the adoption of different methods to calculate weights produce different vulnerability**
 12 **results. Because there is still a lack of unified standards in the academic community, this study,**
 13 **although the selection is based on previous studies, cannot avoid adding subjective judgments. Future**
 14 **studies should explore suitable methods for determining the indicators and weights.**

15 **We must acknowledge that social vulnerability in the context of urbanization is a complex issue that is**
 16 **results from** numerous variables **that** interact **with** and impact one another. It is also a major
 17 development issue that affects economic and social progress as well as human security and well-being.
 18 More microscopic social vulnerability indicators **representing** reality **should** be explored in future
 19 studies. **Therefore, it** is equally important to investigate how social vulnerability is (re)produced. The
 20 most essential **aspect of** humanistic care is to focus on poor neighborhoods and vulnerable populations.
 21 Passive avoidance is not an option for regular people **or** the government. **Actions** must be taken to
 22 safeguard them **and** reduce their **vulnerability**.
 23

24 **Appendix A: Detailed Calculation for correspondence between occupation, household**
 25 **registration (*hukou*), and social vulnerability level (See Figure 7)**

26
 27 **Table A1** *Hukou* and Social Vulnerability
 28

Hukou and Social Vulnerability

		High	Medium	Low	Total
<i>Hukou</i>	Urban <i>hukou</i>	160 (131)	148 (163)	29 (43)	337
	Rural <i>hukou</i>	61 (93)	132 (116)	46 (31)	239
	New <i>hukou</i>	11 (9)	10 (11)	2 (3)	23
Total		232	290	77	599

$\chi^2(4, N=599) = 34.370, p < .01^{***} (= .000)$

29
 30
 31 **Table A2** Occupation and *Hukou*

Occupation and *Hukou*

		Urban <i>hukou</i>	Rural <i>hukou</i>	New <i>hukou</i>	Total
Occupation	1	21 (15)	4 (10)	1 (1)	26
	2	29 (30)	21 (22)	4 (2)	54
	3	44 (44)	27 (32)	8 (3)	79
	4	7 (6)	3 (4)	1 (0)	11
	5	21 (32)	35 (23)	1 (2)	57
	6	10 (14)	13 (10)	2 (1)	25
	7	25 (26)	19 (18)	2 (2)	46
	8	3 (6)	7 (4)	0 (0)	10
	9	9 (16)	20 (12)	0 (1)	29
	10	22 (33)	35 (23)	1 (2)	58
	11	17 (17)	14 (12)	0 (1)	31
	12	112 (77)	23 (54)	1 (5)	136
	13	17 (21)	18 (15)	2 (1)	37
Total		337	239	23	599

$\chi^2 (24, N = 599) = 98.63, p < .01^{***} (= .000)$

2

3

Notes:

4

1=Staff of governmental departments and institutions 2=Professional and technical personnel

5

3=Company employees 4=Businessmen 5=Service personnel in the tertiary sector 6=Industrial

6

workers 7=Students 8=Agricultural workers 9=Housewives 10=Private business owner

7

11=Unemployed 12=Retired person 13=Other

8

9

10

11

Data availability: The data and analysis code are available by contacting the corresponding author.

12

13

Author Contributions: JX and MT conceptualized the work. JX, MT, WFL developed the model.

14

WFL, JX organized the questionnaire survey and conducted the quantitative analysis. The project

15

administration and funding acquisition from MT. JX provided original draft preparation. JX and MT

16

reviewed and edited the paper. All authors visualized the data.

17

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