

CONTENT

List of Figures.....	11
List of Tables	13
List of Abbreviations	15
1 Introduction	19
1.1 Background and problem description.....	19
1.1.1 Urbanization trends: Chile in a worldwide context.....	19
1.1.2 The influence of urban expansion on flood risk.....	20
1.1.3 Floods in Santiago de Chile.....	22
1.2 Research goals and research questions.....	27
1.3 Methodology and structure of the thesis	27
1.3.1 Development of a conceptual risk framework.....	27
1.3.2 The choice of an appropriate study area.....	28
1.3.3 The methodologies applied in this research	29
1.3.4 Exchange with stakeholders	31
2 Disaster risk related terms and concept development	33
2.1 A conceptual flood risk framework for a complex urban setting	33
2.1.1 Identification of the components of risk.....	33
2.1.2 Relation between the components of risk.....	35
2.2 Hazard.....	36
2.3 Elements at risk	36
2.4 Vulnerability	37
2.4.1 Exposure and its role in the vulnerability concept	40
2.4.2 Resilience and coping capacities in the vulnerability concept	40
2.5 Risk management	41
2.6 General approaches to face flood risk	42
3 Existing flood risk-related research.....	45
3.1 State of research: RS in flood risk analysis.....	45
3.2 State of research: GIS in flood risk analysis	48
3.3 State of research: Hydrological modeling for flood risk analysis	49
3.4 Land-use/land-cover changes for flood risk reduction.....	51
3.5 Empirical methods.....	52
3.6 Conclusion from the current states of research	53
4 Description of the study area.....	55
4.1 Human-geographic description	55
4.1.1 Overview about location and administrative boundaries	55
4.1.2 Social structure	57
4.1.3 Urban development	57
4.2 Planning institutions, instruments & processes relevant for flood risk	62
4.2.1 Institutions, laws, and instruments in the prevention stage.....	62
4.2.2 Institutions, laws, and instruments in the mitigation stage.....	64

4.3	Physio-geographic description	65
4.3.1	Geology, Geomorphology, and Soil	66
4.3.2	Climate	68
4.3.3	Hydrology	71
4.3.4	Vegetation and urban green spaces	73
4.3.5	In-depth study area: <i>Quebrada San Ramón</i>	74
5	Definition of a case specific indicator set for the risk analysis	77
5.1	Function and characteristics of indicators	77
5.2	Selection of variables relevant for the analysis of flood hazard	77
5.3	Selection of variables referring to the elements at risk	79
5.4	Selection of vulnerability-related variables	79
5.5	Bringing together the relevant variables	81
5.6	From descriptive variables to indicators	84
6	Data base and data processing	87
6.1	Hydro-meteorological data base	88
6.2	Processing of the hydro-meteorological data	89
6.3	GIS and remote sensing data base	91
6.4	Pre-processing of the GIS data	92
6.5	Pre-processing of the remote sensing data	93
6.5.1	Geometric correction and co-registration	93
6.5.2	Data coverage and data gaps	93
6.6	Socio-economic data base	94
6.7	Pre-processing of the socio-economic data	95
6.8	Expert interviews, household surveys, and questionnaires	96
6.8.1	Expert interviews	96
6.8.2	Household surveys	96
6.8.3	Questionnaires	97
6.9	Processing of the empirical data	98
6.9.1	Expert interviews	98
6.9.2	Household surveys	99
6.9.3	Questionnaires	99
7	Remote sensing data analysis	101
7.1	The theory of remote sensing-based land-use classifications	101
7.1.1	Pixel-based classification	102
7.1.2	Object-oriented classification	103
7.2	Classification of the ASTER images	107
7.2.1	Classification process	108
7.2.2	Classification results	110
7.2.3	Accuracy assessment	111
7.3	Classification of the Quickbird image	113
7.3.1	Classification process	113
7.3.2	Classification results	117
7.3.3	Accuracy assessment	117

8 Hydrologic modeling.....	119
8.1 Theoretical background and selection of methods	119
8.1.1 Relevant processes with respect to LULC changes.....	119
8.1.2 Theoretical background of hydrological models.....	120
8.1.3 Selection of model and methods.....	122
8.2 Data preparation with HEC-GeoHMS.....	126
8.2.1 Terrain pre-processing	128
8.2.2 Hydrologic processing.....	128
8.2.3 Delineation of Hydrological Soil Groups (HSG).....	130
8.2.4 Creation of a gridfile matching the SHG.....	131
8.2.5 HMS Project Setup	133
8.3 Hydrological modeling using HEC-HMS	134
8.3.1 Model description.....	134
8.3.2 Parameterization	135
8.3.3 Simulation.....	139
8.3.4 Sensitivity analysis	140
8.3.5 Model optimization	143
8.4 Modeling alternative land-use/land-cover scenarios	146
8.4.1 The characteristics and functions of scenarios	146
8.4.2 Land-use/land-cover scenarios for the San Ramón basin.....	147
9 Flood risk analysis and assessment	153
9.1 Delineation of information to feed the indicators.....	153
9.2 Flood hazard assessment	155
9.2.1 The relation between runoff and flood extents.....	155
9.2.2 Quantification of the hazard	157
9.2.3 Analysis of the hazard maps	158
9.3 Assessment of the elements at risk	159
9.3.1 Quantification of the elements at risk.....	159
9.3.2 Analysis of the map of elements at risk.....	160
9.4 Flood vulnerability assessment.....	161
9.4.1 Evaluation of the vulnerability-related variables	161
9.4.2 Quantification of vulnerability	165
9.4.3 Analysis of the vulnerability maps	166
9.4.4 Sensitivity analysis for the weighting.....	168
9.5 Comprehensive risk analysis	169
9.6 The development and assessment of flood risk.....	171
9.6.1 Number of new residential sites in flood-prone areas	171
9.6.2 Number of people living in flood-prone areas	172
9.6.3 Development of the components of risk in the future	173
10 Prevention and mitigation measures.....	177
10.1 Analysis of the previous deficits.....	177
10.2 Flood risk scenarios	180
10.2.1 Scenario I – Increasing aridity	180
10.2.2 Scenario II – Afforestation	182
10.2.3 Scenario III – Construction activities.....	183

10.3 Recommendations	185
10.3.1 Prevention measures	185
10.3.2 Mitigation measures	189
10.4 Taking action	192
11 Discussion and conclusions	193
11.1 Discussion.....	193
11.1.1 Vulnerability	193
11.1.2 Hazard.....	195
11.1.3 Elements at risk	197
11.1.4 Risk	198
11.1.5 The applicability of the concept for multi-hazard studies	199
11.1.6 The spatial transferability of the concept.....	200
11.1.7 The role of flood risk and flood risk awareness	201
11.1.8 Further ecological consequences of urban growth	202
11.2 Conclusions	203
References	207
Appendix 1 – Additional Tables and Charts	221
Appendix 2 – Coloured Figures	235