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## Scale transformation of Leaf Area Index product retrieved from multiresolution remotely sensed data: analysis and case studies

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Climate and land–atmosphere models rely on accurate land–surface parameters, such as Leaf Area Index (LAI). It is crucial that the estimation of LAI represents actual ground truth. Yet it is known that the LAI values retrieved from remote sensing images suffer from scaling effects. The values retrieved from coarse resolution images are generally smaller. Scale transformations aim to derive accurate leaf area index values at a specific scale from values at other scales. In this paper, we study the scaling effect and the scale transformation algorithm of LAI in regions with different vegetation distribution characteristics, and analyse the factors that can affect the scale transformation algorithm, so that the LAI values derived from a low resolution dataset match the average LAI values of higher resolution images. Using our hybrid reflectance model and the scale transformation algorithm for continuous vegetation, we have successfully calculated the LAI values at different scales, from reflectance images of 2.5 m and 10 m spatial resolution SPOT-5 data as well as 250 m and 500 m spatial resolution MODIS data. The scaling algorithm was validated in two geographic regions and the results agreed well with the actual values. This scale transformation algorithm will allow researchers to extend the size of their study regions and eliminate the impact of remote sensing image resolution.

### 1. Introduction

Leaf Area Index (LAI), used globally to monitor plant density and quality, serves as an important input parameter in many climate and land–atmosphere models (Bonan *et al.* 1993). Yet it has been widely reported that differences in image resolution influence LAI calculations (Rastetter *et al.* 1992, Friedl 1997, Walsh *et al.* 1997). The values retrieved from coarse spatial resolution images are generally smaller than those based on higher spatial resolution images. This scaling phenomenon results from the nonlinearity of the retrieving functions as well as spatial heterogeneity (Li and Strahler 1986, Chen 1999, Liang 2000, Tian *et al.* 2002, Garrigues *et al.* 2006, Tao *et al.* 2008, Xu *et al.* 2009).

The LAI can be derived directly from reflectance data or from vegetation indices. Because most vegetation indices suffer from scaling effects (Friedl 1997, Walsh *et al.* 1997), parameters based on these vegetation indices suffer from multiple scaling

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effects and any subsequent interactions. In order to avoid such complications, we retrieve LAI values directly from reflectance data. The calculations of LAI for discrete and continuous vegetation differ, so they have different scaling effects. In this paper, we focus on continuous vegetation, which is horizontally homogeneous, and has indistinct individual texture (Liang 2004, Xu 2005). Using remote sensing images of various resolutions, we study scaling effects and apply the algorithm proposed by Xu *et al.* (2009) for transforming values derived from remote sensing images at different scales. We are able to map LAI from low resolution data so that model results match the mean values from higher resolution images. This method is validated in two geographic regions with different vegetation distribution characteristics. The validation results indicate very good matches with ground measurements. Using this algorithm, we can map LAI over large areas more accurately using low resolution data (Townshend *et al.* 1988).

## 2. LAI retrieval and scaling analysis

### 2.1 LAI retrieval formulas

The reflectance of continuous vegetation is the sum of single scattering and multiple scattering,  $\rho = \rho^1 + \rho^m$ , where  $\rho^1$  means the contribution of single scattering, and  $\rho^m$  represents the contribution of multiple scattering. The contribution of multiple scattering can be expressed by Hapke's model (Hapke 1981, Lacaze and Roujean 2001, Lacaze *et al.* 2002, Xu *et al.* 2009). The formula for calculating  $\rho^1$  is (Nilson and Kuusk 1989, Xu 2005, Jin *et al.* 2007a, 2007b):

$$\rho^1 = \rho_g \left\{ e^{-\lambda_0 \left[ \frac{G_s}{\mu_s} + \frac{G_v}{\mu_v} - \frac{G_v}{\mu_v} \Gamma(\phi) \right] LAI} + \left[ e^{-\lambda_0 \frac{G_v}{\mu_v} LAI} - e^{-\lambda_0 \left[ \frac{G_s}{\mu_s} + \frac{G_v}{\mu_v} - \frac{G_v}{\mu_v} \Gamma(\phi) \right] LAI} \right] \frac{E_d}{\mu_0 F_0 + E_d} \right\} + \rho_v \left\{ \left( 1 - e^{-\lambda_0 \frac{G_v}{\mu_v} LAI \Gamma(\phi)} \right) + \left[ e^{-\lambda_0 \frac{G_v}{\mu_v} LAI \Gamma(\phi)} - e^{-\lambda_0 \frac{G_v}{\mu_v} LAI} \right] \frac{E_d}{\mu_0 F_0 + E_d} \right\}, \quad (1)$$

where  $\rho_g$  and  $\rho_v$  are the hemispherical albedos of the soil background and the vegetation respectively;  $\lambda_0$  is the Nilson parameter accounting for the vegetation clumping effect;  $\mu_s$  and  $\mu_v$  are cosine values of the solar and viewing zenith angle;  $G_s$  and  $G_v$  are the mean projection of a unit foliage area along the solar and viewing direction respectively.  $G_{s,v} = \frac{1}{2\pi} \int_{2\pi} g_L(\Omega_L) |\Omega_L \cdot \Omega_{s,v}| d\Omega_L$ , where  $1/2\pi \cdot g_L(\Omega_L)$  is the probability density of the distribution of the leaf normals with respect to the upper hemisphere, i.e. Leaf Angle Distribution (LAD) (Liang 2004). The empirical function  $\Gamma(\phi)$  describes the hot-spot phenomenon, where the symbol  $\phi$  accounts for the sun-target-sensor position and depends on the angle between the solar and viewing direction and the LAD of canopy. When  $0 \leq \phi \leq \pi$ ,  $\Gamma(\phi) = 1 - \phi/\pi$ .  $E_d$  is the diffuse irradiance from sky scattering;  $\mu_0 F_0$  is the direct irradiance from solar illumination.

This equation includes reflective anisotropic characteristics caused by sun-target-sensor geometry and neglects reflective anisotropic characteristics caused by soil background and leaf canopy. Field validation shows that the model can simulate the canopy BRDF accurately (Liu *et al.* 2008). In the hot-spot direction, the variable  $\phi=0$  and  $\Gamma(0) = 1$ , so that the equation can be reduced to

$$\rho^1 = \rho_g e^{-\lambda_0 \frac{G_v}{\mu_v} LAI} + \rho_v \left( 1 - e^{-\lambda_0 \frac{G_v}{\mu_v} LAI} \right). \quad (2)$$

Substituting  $b$  for  $\lambda_0 \frac{G_v}{\mu_v}$ ,

$$\rho^1 = \rho_g e^{-b \cdot LAI} + \rho_v (1 - e^{-b \cdot LAI}) \quad (3)$$

According to the analysis of Xu *et al.* (2009), equation (3) can be used to study the LAI scaling effect.

## 2.2 Definition of scale

In remote sensing applications, spatial scale corresponds to the pixel resolution. The concepts of relative scale and scale order were proposed by Xu *et al.* 2009. The concept of relative scale  $r_R$  is expressed as

$$r_R = r/r_0, \quad (4)$$

where  $r$  is the pixel resolution and  $r_0$  is the spatial resolution of a zero-order scale pixel. Within a zero-order scale pixel the spatial distribution of components is approximately homogenous. The proportion of mixed pixels can be neglected in an image totally constituted of zero-order scale pixels. We call this image zero-order scale image. If the ratio of two adjacent order scales is a constant  $d$ , called scale base, then

$$r_R = d^n (\text{or } n = \log_d r_R). \quad (5)$$

Leaf area index is defined as one half the total green leaf area per unit horizontal ground surface area (Chen and Black 1992). In equation (5), when scale order  $n = 0$ , pixel resolution  $r = r_0$ , the retrieved LAI at this scale order is denoted by  $LAI_0$ . At this order of scale, almost no mixed pixels exist, vegetation in the pixel is homogenous, and the LAI measured on this scale can represent the true condition of vegetation growth. When  $n \geq 1$ ,  $LAI_n$  denotes the value of LAI at  $n$ -order scale. If there is heterogeneity, such as soil in the pixel, the retrieved LAI fails to characterize the vegetation growth condition exactly (Xu *et al.* 2009).

## 2.3 Scaling formulas for LAI

Suppose an  $n$ -order scale pixel is comprised of  $M$  pixels at zero-order scale, and the number of the fully-covered vegetation pixels is  $m$  (see figure 1 where  $M = 9$  and  $m = 8$ ). Ignoring the growth difference among the vegetation pixels, the projected proportion of vegetation area for the  $n$ -order scale pixel is  $\frac{m}{M} (1 - e^{-b \cdot LAI_0})$  according to the Boolean projection principle. The projected proportion of vegetation area can be remotely sensed. When we observe the pixel at  $n$ -order scale, we can only assume that vegetation is homogeneous in it, and calculate the LAI at this scale, thus

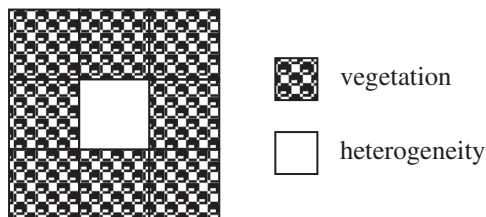


Figure 1. The composition of an  $n$ -order scale pixel by several zero-order scale pixels.

$$1 - e^{-b \cdot \text{LAI}_n} = \frac{m}{M} (1 - e^{-b \cdot \text{LAI}_0}). \quad (6)$$

If the vegetation proportion is denoted by  $a_v(n)$ , we obtain the relationship between  $\text{LAI}_n$  and  $\text{LAI}_0$

$$b \cdot \text{LAI}_n = -\ln\{1 - a_v(n)[1 - e^{-b \cdot \text{LAI}_{0,a}}]\}, \quad (7)$$

where  $a_v(n)$  is actually the proportion of vegetation in the target vegetation pixel at  $n$ -order scale.  $\text{LAI}_{0,a}$  represents the corresponding true LAI value averaged in the extent of the target  $n$ -order scale vegetation pixel. It is exactly the same as the formula derived from the relationships between adjacent order scales (Xu *et al.* 2009), in which  $a_v(n)$  is expressed as:

$$a_v(n) = a_{v,n} a_{v,n-1,a} \cdots a_{v,1,a}. \quad (8)$$

The symbol  $a_{v,n}$  is the vegetation pixel proportion at  $n-1$ -order scale included in the target  $n$ -order scale pixel. The symbol  $a_{v,i,a}$ ,  $i = 1, \dots, n-1$ , represents the value averaged in the extent of the target  $n$ -order scale pixel, of vegetation pixel proportion at the  $i-1$ -order scale included in the  $i$ -order scale pixel. The function of  $a_v(n)$  can be calculated using (Xu *et al.* 2009):

$$a_v(n) = \frac{1 - c}{e^{pn}} + c, \quad (9)$$

where  $c$  and  $p$  are empirically determined constants,  $0 \leq c \leq 1$  and  $p \geq 0$ . These two constants determine the range and rate of the scaling effect.

## 2.4 Scaling analysis

In order to study the determinants of constants  $c$  and  $p$ , numerical simulations were conducted. In a synthetic image, the number of heterogeneity patches is gradually increased from 300 to 700 to 1000, as shown in figures 2(b)–2(d). The relationships between  $a_v(n)$  and scale are shown in figure 2(a), where ‘heterogeneity num’ denotes the number of heterogeneity patches. With the increase of heterogeneity, the descending of  $a_v(n)$  is more obvious, and the  $c$  value decreases from 0.92, 0.82 to 0.73. It is understandable that since  $c$  has a positive relationship with  $a_v(n)$ , representing the proportion of vegetation, it also has a positive relationship with the vegetation cover. On the other hand, it is obvious that the descending rate of  $a_v(n)$  accelerates with the increase of heterogeneity patches, but calculations show that the three curves all share the same  $p$  value, 0.1165. It is concluded that  $c$  depends on the total area of heterogeneity while  $p$  depends on some element other than the number of heterogeneity patches.

In another synthetic image with a size of  $1024 \times 1024$ , we broke the heterogeneity patches in it into smaller ones, from  $32 \times 32$ , to  $16 \times 16$ , to  $8 \times 8$ , as shown in figures 3(b)–3(d). We obtained similar relationships between  $a_v(n)$  and scale, as shown in figure 3(a), where the heterogeneity size denotes the size of heterogeneity patches. With the decrease of heterogeneity patch sizes, the descending rate of  $a_v(n)$  gradually accelerates, and  $p$  increases from 0.0619, 0.1165, to 0.1863. As  $a_v(n)$  converges at a smaller scale, the decreasing rate of  $a_v(n)$  is faster, and the value of  $p$  becomes bigger. It is concluded that  $p$  depends on the size of heterogeneity. If the total area of heterogeneity is fixed, then the smaller the heterogeneity patch, the larger the  $p$  value. In the real world, different sizes of heterogeneity coexist and the dominant size determines the value of  $p$ .

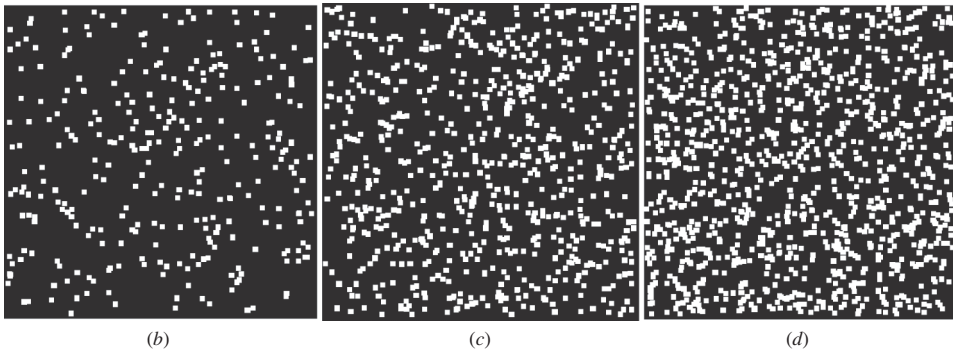
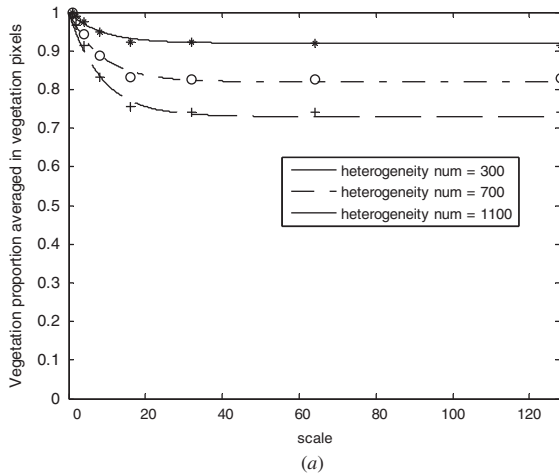


Figure 2. (a) The curves of  $a_v$  descending with scale when heterogeneity patches gradually increase; (b) synthetic image where heterogeneity number is 300; (c) synthetic image where heterogeneity number is 700; (d) synthetic image where heterogeneity number is 1100.

We now need to add the factor of vegetation growth, which contributes to LAI variance. This allows us to calculate the final value of acquired  $LAI^*_{0,a}$  using (Xu *et al.* 2009):

$$LAI^*_{0,a} = LAI_{0,a} + m \cdot V_{LAI,0}, \tag{10}$$

where  $LAI_{0,a}$  is derived from equation (7) and represents the mean value of the true LAIs,  $m$  is empirically determined and equals 0.3589 in our experiments, and  $V_{LAI,0}$  is the variance of  $LAI_{0,i}$  at zero-order scale. The LAI variance can be derived from the first and the second order scales (Xu *et al.* 2009):

$$V_{LAI,0} = \frac{V^2_{LAI,1}}{V_{LAI,2}}. \tag{11}$$

Equation (7) can be rewritten as:

$$e^{-b \cdot LAI_n} = 1 - [e^{-pm}(1 - c) + c] (1 - e^{-b \cdot LAI_{0,a}}). \tag{12}$$

For a specific region, vegetation proportion and distribution are determinant, so equation (12) can be further rewritten as:

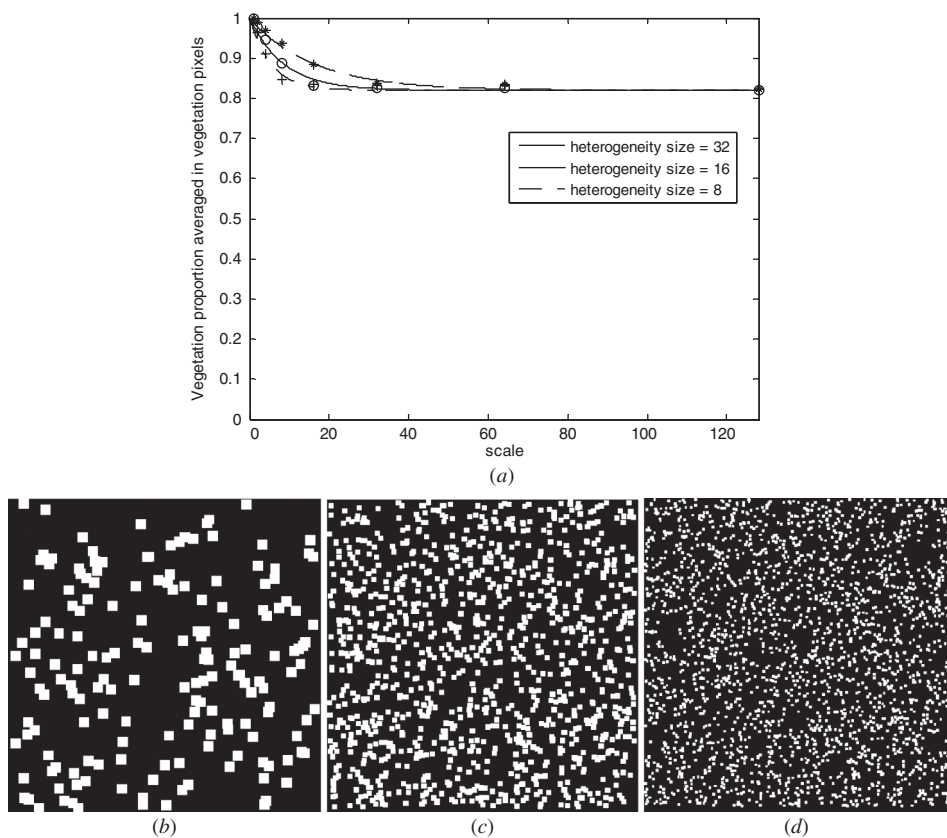


Figure 3. (a) The curves of  $a_n$  descending with scale when heterogeneity patches are broken up; (b) synthetic image where heterogeneity size is  $32 \times 32$ ; (c) synthetic image where heterogeneity size is  $16 \times 16$ ; (d) synthetic image where heterogeneity size is  $8 \times 8$ .

$$e^{-b \cdot \text{LAI}_n} = (1 - D) - B \cdot e^{-pn} \quad (13)$$

$$B = (1 - c)(1 - e^{-b \cdot \text{LAI}_{0,a}}) \quad (14)$$

$$D = c(1 - e^{-b \cdot \text{LAI}_{0,a}}) \quad (15)$$

The relationship between  $\text{LAI}_n$  and scale order  $n$  is approximately negatively linear (Xu *et al.* 2009).

### 3. Case studies of scaling transform applications

#### 3.1 Remote sensing images of the study regions

In order to analyse the mechanism of the LAI scaling effect in actual remote sensing images, we chose two study regions with different characteristics of vegetation distribution. The first region is of  $60 \text{ km} \times 34 \text{ km}$  in Jining City, Shandong Province, northern China, within the geographic region of  $115^\circ 52' \text{ E} - 117^\circ 52' \text{ E}$ ,  $34^\circ 26' \text{ N} - 35^\circ 57' \text{ N}$ . The images were acquired on 6 May 2005. The vegetation is mostly winter wheat, which has a continuous spatial distribution in the region, and the vegetation patch is large. The

second is a region of 17 km  $\times$  13 km, located at Putian City, Fujian Province, southern China, within the geographic region of 118°27' E–119°40' E, 24°59' N–25°46' N. The images were acquired on 9 November 2006. Vegetation is primarily rice which is scattered in the region and the vegetation patch is small. We used remote sensing images at four spatial resolutions in these two regions. Two SPOT-5 images for each region were purchased from Spot Image Corporation: a panchromatic image at a resolution of 2.5 m and a multispectral image at 10 m. Two MODIS multispectral images, at 250 m and 500 m resolutions, were downloaded from the MODIS website.

The SPOT-5 images were preprocessed for radiometric calibration, atmospheric correction and geometric correction. Atmospheric correction was handled by 6S (the Second Simulation of Satellite Signal in the Solar Spectrum), version 4.1 (Vermote *et al.* 1997). We chose a mid-latitude atmospheric model and continental aerosols model. The visibility for the aerosol model concentration was 20 km, from meteorological data. In addition, cross-radiation correction was performed on both SPOT-5 images to eliminate interactions among adjacent pixels. This was done using the edge method, and the point spread function (PSF) was directly obtained from the image (Liu *et al.* 2004). Finally, another image at 50 m resolution was generated by linearly resampling the pixels of the 10 m SPOT-5 image. Geometric corrections were applied to the MODIS reflectance products using MRT software. The final reflectance images of the two study regions at five scales are shown in figure 4.

The next process applied is supervised classification using the maximum likelihood method on these images at different scales. The main land cover categories in the study regions are continuous vegetation (primarily winter wheat in Jining and rice in Putian), towns, roads, water bodies and aqueducts. The classification was performed so that vegetation and heterogeneity pixels were separated from remote sensing images.

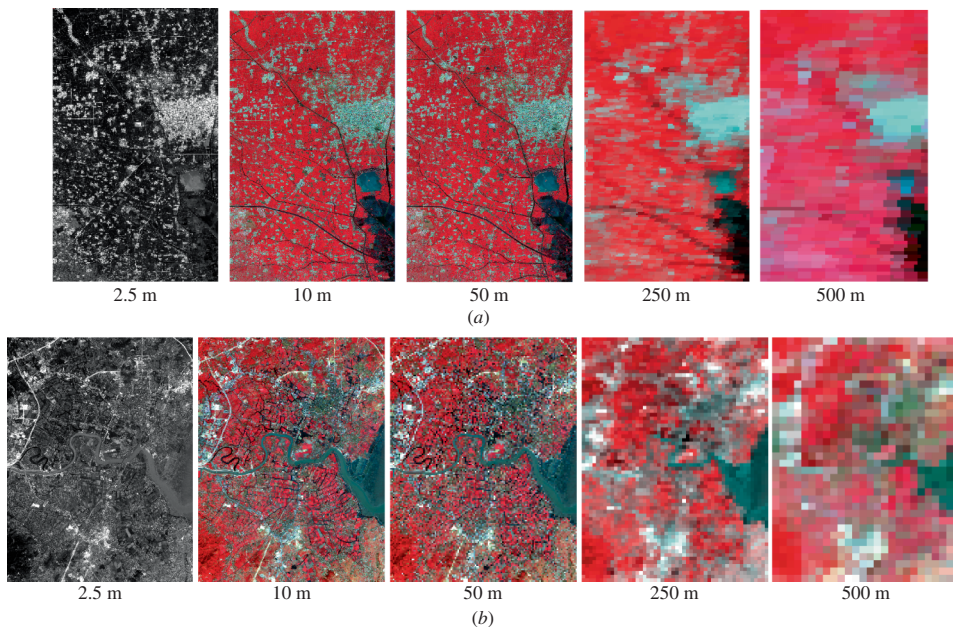


Figure 4. Reflectance images of the two study regions at five scales, in (a) Jining; (b) Putian (R: infrared, G: red, B: green).



### 3.2 LAI retrieval and scaling effects

Considering the differences of sun-target-sensor geometries both among pixels and images, equation (1) and the Hapke model were used to calculate LAI in vegetation pixels at each scale for the two regions.

These formulas require the recognition of pure vegetation and pure background reflectance. They were read out from the John Hopkins University spectral library. We need to solve for three values:  $\lambda_0$ ,  $\phi$  and LAI. To solve the equations, we applied the least square method to the band data of each multispectral image. Accordingly we obtained LAI distributions at four scales. Since the values of  $\phi$  and  $\lambda_0$  are similar in corresponding sites, we use every  $\phi$  and  $\lambda_0$  derived above to describe relevant 2.5 m resolution panchromatic pixels (Jin *et al.* 2007a, 2007b), and finally succeeded in calculating LAI values of 2.5 m resolution panchromatic pixels. The LAI distribution maps at five scales in Jining are shown in figure 5. In these images, the region showing a strong red hue has a relatively higher LAI value and the black region represents non-vegetation. Clearly, the LAI value derived from remote sensing images decreases as the scale increases.

Considering the 2.5 m SPOT-5 LAI distribution image to be a zero-order scale image, let scale base  $d = 3$ , then the scale orders of 10 m, 50 m, 250 m and 500 m resolution images are calculated to be 1.26, 2.73, 4.19 and 4.82, respectively. Beginning with the region included in the 500 m spatial resolution vegetation pixel, we calculated the mean of LAI at each scale order. The LAI mean value at 4.82-order scale is simply the retrieval LAI value calculated using formula (1) and the Hapke model. The mean value at any other scale order is the average of the retrieval LAI values of vegetation pixels at corresponding resolution. As shown in figure 6, with the increase of  $n$ , the LAI mean at  $n$ -order scale gradually decreases, approximating a negative correlation relationship.

Studying the region included in the whole image, we calculated the mean LAI at each scale order. These analogous calculations produced the same results. Again we observed a negative correlation relationship (the two grey lines in figure 6). The relationship between  $LAI_n$  and scale order  $n$  is approximately negatively linear, which matches our former mathematical analysis. Because the function of  $a_v(n)$  is based on the statistical mean, and the values of  $c$  vary with pixels, some of the curves in figure 6 depart from negative linearity.

We note that the range of scaling effects, i.e. the decrease of LAI from 0-order scale to 4.82-order scale, is smaller in Jining than that in Putian. As we discussed above, this

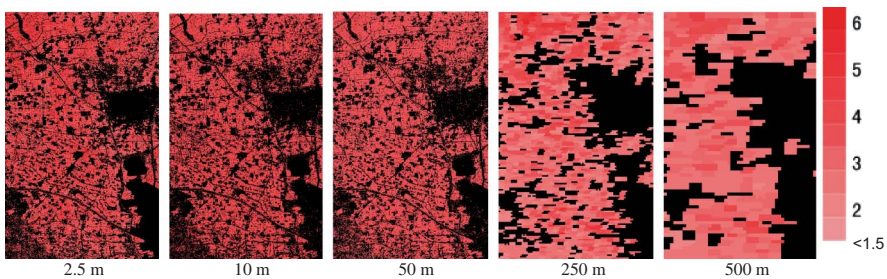


Figure 5. LAI distributions at five scales in Jining. The black region represents non-vegetation.

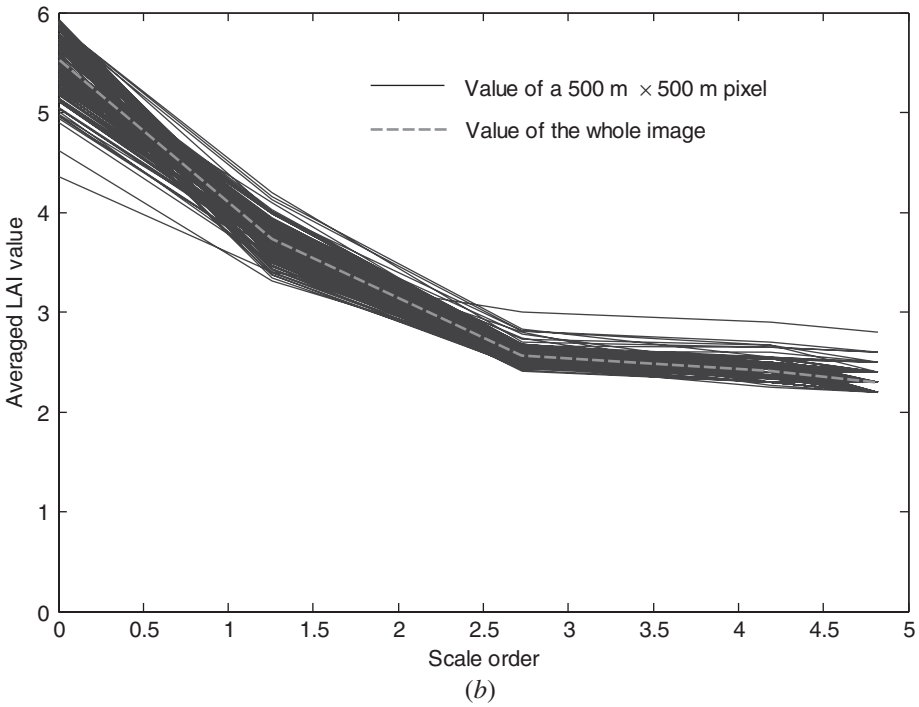
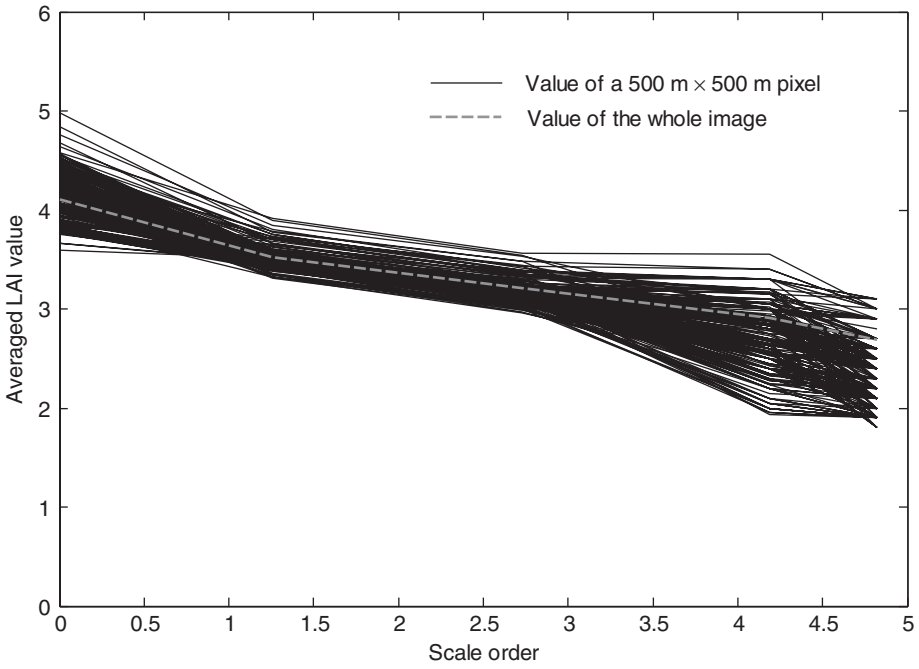


Figure 6. The mean value of LAI at each scale order in (a) Jining; (b) Putian.

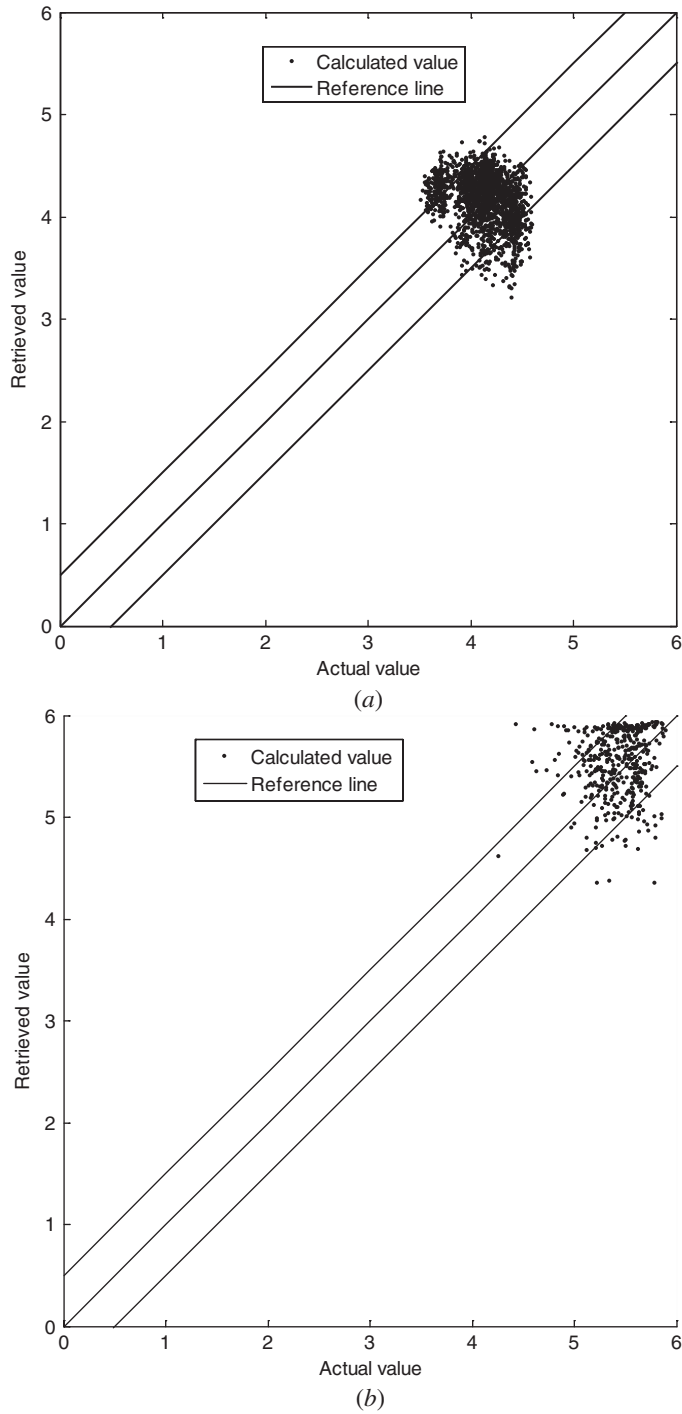


Figure 7. Comparisons of retrieval LAI and ground truth in (a) Jining; (b) Putian. The three reference lines in the figure have a slope of  $45^\circ$ . The middle line in the figure passes through the origin, meaning that points along it have no error. The other two lines are shifted up and down 0.5 units, points on it indicating some error with an absolute value of 0.5.

Table 1. The absolute errors for scaling transform of LAI.

	Average error	Maximum error	Minimum error	Standard deviation of errors
Jining	0.4426	1.2921	0	0.3319
Putian	0.4581	1.6687	0.0001	0.4723

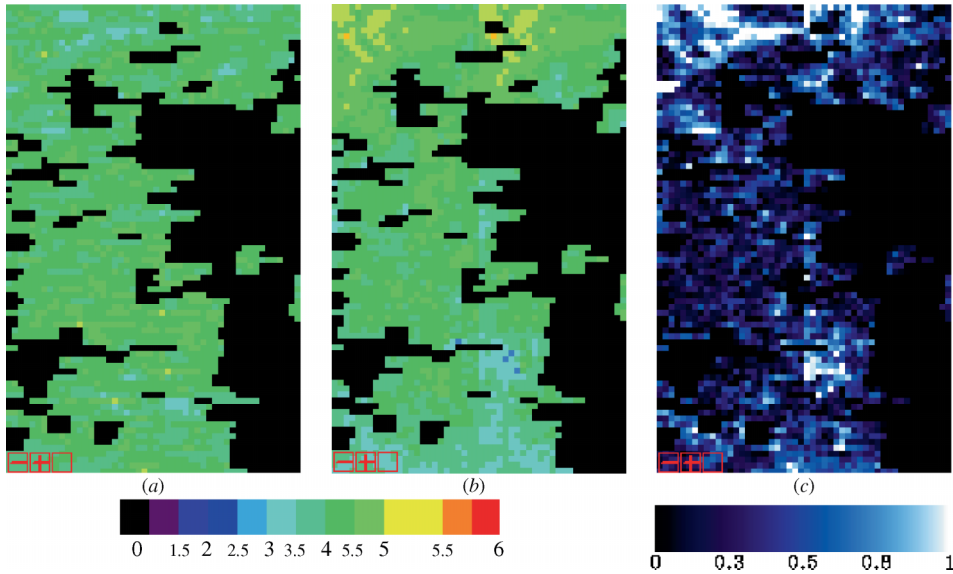


Figure 8. Comparison of LAI scaling transform value and actual value in Jining. The black represents non-vegetation. (a) The distribution of LAI calculated using scaling transform formula; (b) the distribution of LAI calculated from 0-order scale image; (c) the distribution of error.

is caused by the larger vegetation proportion in Jining. The decrease of LAI with scale is slower in Jining than that in Putian, and this can be explained by less heterogeneity.

### 3.3 Scale transformation applications

Again we consider 2.5 m spatial resolution to be zero-order scale, and suppose LAI at this scale to be unknown. We aim to derive the LAI mean value at this scale for each  $500 \text{ m} \times 500 \text{ m}$  vegetation pixel, from LAI values at four scales: 10 m and 50 m SPOT-5 as well as 250 m and 500 m MODIS. Looking at equations (7) and (8), or equation (12), we need to solve for three values,  $\text{LAI}_{0,a}$ ,  $c$  and  $p$ , where  $c$  and  $p$  are constants. To solve these equations, we applied the least square method to the data at the four scales. Comparisons of retrieved values and actual values of LAI at zero-order scale are shown in figure 7.

Referring to figure 7, most points are constrained between the two lines shifted up and down 0.5 units from the origin, showing that the calculations match well with the actual LAI values that represent ground truth. Retrieval errors are shown in table 1.

For further comparison, we put three images together: the distribution of LAI calculated using scale transformation formula, the distribution of LAI calculated from zero-order scale image, and the distribution of error. They are shown in figure 8.

#### 4. Conclusions

LAI scaling effects produce differences in the retrieval values at various scales. The purpose of scale transformation is to derive accurate average LAI values of zero-order scale from values at other scales. Zero-order scale of a remote sensing image indicates that inhomogeneous vegetation can be ignored within each pixel; the LAI value at this scale is considered to be the true LAI.

Both mathematical deduction and remote sensing image experiments show that LAI at  $n$ -order scale ( $LAI_n$ ) decreases with scale  $n$ . This result agrees with the analyses of some other research (Chen 1999, Liang 2000, Garrigues *et al.* 2006). The range and rate of the scaling effect of LAI is determined by the vegetation area proportion as well as the size of the heterogeneity patch. The range of the scaling effect is large if the vegetation area proportion is low. When the vegetation area proportion is fixed, the decreasing rate of the scaling effect accelerates if the size of the heterogeneity patch becomes smaller.

With the scale transformation formula of LAI, we have succeeded in deriving the average LAI value at zero-order scale from LAI values at other scales. The calculation agrees well with actual LAI values. The scaling formula is derived for continuous cover vegetation. Researchers studying such vegetation may expand the size of the region they study by using lower resolution images and still produce valid results.

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