Characterization of soil surface properties using radar remote sensing



<u>scholar.google.com/citations?user=tgPf6rUAAAAJ</u> <u>https://www.researchgate.net/profile/Nicolas_Baghdadi/?ev=hdr_xprf</u>

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- Main field of interest: analysis of remote sensing data (mainly radar and lidar) and the retrieval of environmental parameters (e.g. soil moisture content, soil roughness, canopy height, forest biomass ...).

Main research topics:

- ✓ Soil parameters estimation from SAR data over bare agricultural fields
- ✓ Forest height and aboveground biomass estimation from ICESat/GLAS lidar data
- ✓ SAR data and wetlands mapping
- ✓ Potentiel of SAR for monitoring sugarcane crops
- ✓ Potential of SAR data for mudbank monitoring
- ✓ Surface and subsurface structural mapping using low frequency radar
- $\checkmark\,$ Potential of radar images for wet snow mapping

✓ .



- > The objective of this course is to present:
- (1) the behavior of the C-band radar signal as a function of soil parameters of agricultural plots (mainly moisture and roughness)
- (2) approaches to mapping moisture and roughness by coupling radar et optical images

1. Describe the instrumental parameters of radar sensors that influence the backscattered signal

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- 2. Describe the soil parameters, in particular roughness and moisture
 - 2.1 Roughness

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- 2.2 Soil moisture
- 3. Behavior of the radar signal
 - 3.1 Penetration depth of the radar wave
 - 3.2 Sensitivity of the radar signal to ground parameters

3.2.1 Sensitivity of the radar signal to roughness
3.2.2 Sensitivity of the radar signal to moisture
3.2.3 Sensitivity of the radar signal to salinity
3.2.4 Sensitivity of the radar signal to soil freezing
Modeling the radar signal
4.1 Case of bare soil

- 4.2 Case of soils with vegetation
- 5. Estimation of soil moisture

1. Instrumental parameters of radar sensors

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Active system: provides its own source of electromagnetic energy \rightarrow Images day and night, with or without clouds

R systems

- ERS-1/2 (EU): first global and regular coverage SAR sensors, early 90s: 35day repeatability, formerly paid data
- Since 2016, Sentinel-1A/1B provides an image every 6 days, open and free data \rightarrow Data adapted to agronomic and hydrological applications at local or regional scales (10 m pixel)
- A response to local and global issues:
 - Territorial development \triangleright
 - Manage the environment \geq
 - Understand the effects of climate change / anthropogenic pressure \geq









- A: Illumination, Sun for optical sensors, Antenna for radar sensors
- **B: Interaction between the radiation and the atmosphere**
- **C:** Interaction with the target
- D: Recording of backscatterd energy by the sensor
- **E:** Transmission
- F: Interpretation and analysis
- **G: Applications**

➔ Spatial remote sensing is of vital importance for the mapping and monitoring of environmental problems: global and permanent information

- Instrumental parameters
- Three major instrumental parameters: wavelength, polarization and incidence angle.
- SAR sensors currently operational: TerraSAR-X, Cosmo-SkyMed, Sentinel-1, RADARSAT-2, ALOS/PALSAR-2 ...
- SAR Archive: ERS, ASAR/Envisat, RADARSAT-1, PALSAR/ALOS ...
- The radar signal depends on:
- characteristics of the wave emitted (wavelength, incidence and polarization)
- characteristics of the environment. In the case of soil without vegetation is roughness, soil moisture, soil composition...

Instrumental parameters





Incidence angle (θ): the angle measured between the radar beam and the normal





Polarization: Orientation of the electric field of the electromagnetic wave. Linear polarizations \rightarrow HH, VV, HV and VH

Current SAR sensors

- There are currently many radar sensors in operation: RADARSAT-2, TerraSAR, CosmoSkyMed, PALSAR-2/ALOS and Sentinel-1
- The only one that provides free and open access data is Sentinel-1
- Sentinel-1 (S1): European sensor, C band (λ~6 cm), spatial resolution = 10 m, two satellites 1A and 1B
- A temporal resolution better than the week
- Image download:
- 1- Sentinel-1 hub : <u>https://scihub.copernicus.eu/dhus/#/home</u>
- 2- Peps: <u>https://peps.cnes.fr/rocket/#/home</u>

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Processing of S1 images: <u>https://sentinel.esa.int/web/sentinel/toolboxes</u>

Sentinel-1

PRODUITS IMAGES



Sentinelle 1

Mode d'imagerie	Radar
Bandes spectrales	Bande C (~ 6 cm de longueur d'onde)
Incidence	18°-47°
Polarisation	HH, VV, HH+HV, VV+VH
Résolution spatiale	10 m
Capacité d'observation	Fauchée : 250 km Répétitivité : 12 jours (1 satellite) / 6 jours (2 satellites)
Couverture systématique	Zone : monde Période : 2015 - présent
Produits	Brut
Accès	Tous utilisateurs sur scihub.esa.int Tous utilisateurs sur peps.cnes.fr
Exemple	

Image radar Sentinelle 1A de l'agglomération de Lisbonne (Portugal) © Copernicus data/ESA (2014)

Soil applications

- Soil moisture and surface roughness play an important role in many applications
- Surface runoff occurs when rainfall intensity exceeds the soil infiltration capacity. In addition to vegetation, soil roughness also plays a role of trapping water in agricultural areas, which increases infiltration and in turn reduces downstream runoff.
- Bare soils are most implicated in the considerable risk of runoff and erosion in agricultural areas.



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Definition, in situ measurements

2.1 Soil roughness

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- Several techniques can be used to measure soil roughness: pin profilometer, laser profilometer, and 3D photogrammetry.
- > The use of the laser or 3D photogrammetry allows for the accurate rendering of soil roughness (high spatial resolution) with a precise estimation of the roughness parameters, *Hrms* and *L*.
- > As regards the correct characterization of soil roughness using a pin profilometer, it is necessary to have (1) long roughness profiles or several short profiles and (2) a relatively fine horizontal resolution from the profilometer (small sampling interval, Δx).



2D profile from a laser scanner



1D profile from a pin profilometer (1 m long and $\Delta x = 2$ cm)

> For SAR applications, the description of the surface z(x) is based on the calculation of the autocorrelation function $\rho(u)$, defined as: (1D case)

$$\rho(u) = \langle [z(x+u)-\langle z \rangle] [z(x)-\langle z \rangle] \rangle$$



- $\langle z \rangle$ is the average height of altitudes measured from the roughness profile z(x).
- Generally, two roughness parameters are used and estimated based on the autocorrelation function:
 - The standard deviation of the surface height (root mean square surface height, Hrms), defining the vertical scale of the roughness and computed as:

• The correlation length (*L*), usually defined as the horizontal displacement for which the autocorrelation function of the profile decreases to 1/e.

- When the roughness is weak and the soil is smooth (*Hrms* approximately inferior to 1 cm), the autocorrelation function has a generally exponential shape.
- For higher roughness, the autocorrelation function has a shape close to a Gaussian.
- Zribi [ZRI 98] introduced the fractal dimension to the description of the autocorrelation function's shape for bare soils in agricultural fields. For one-dimensional roughness profiles:

$$o(x) = Hrms^2 e^{-\left(\frac{x}{L}\right)} :$$
exponential
$$= Hrms^2 e^{-\left(\frac{x}{L}\right)^2} :$$
Gaussian
$$= Hrms^2 e^{-\left(\frac{x}{L}\right)^{\alpha}} :$$
fractal

 α = -2D+4, *D* is the fractal dimension between 1.25 and 1.45 \rightarrow autocorrelation function power a between 1.1 and 1.5.

In the case of agricultural surfaces with periodic structures (rows, with P periods), the autocorrelation function could be described by (in the case of a Gaussian shape, for example):

$$\rho(x) = Hrms^2 e^{-\left(\frac{x}{L}\right)^2} + S^2 e^{-\left(\frac{x}{L_s}\right)^2} \cos\left(\frac{2\pi x}{P}\right)$$

> The second term models the directional roughness variations as a narrowband Gaussian random process, centered on a frequency (1/P) and a band length of $2\pi/L_s$. A Fourier transform of this term allows the deduction of the 3 parameters describing the directional structure (the intensity *S*, the periodicity *P*, and the correlation length L_s).

2.2 Soil moisture

• Description of soil moisture

- There are two commonly used techniques for the measurement of soil moisture content: gravimetry and Time-Domain Reflectrometry (TDR) (or Theta Probe analysis).
- The gravimetric method, while destructive and complicated to implement, remains a reference for the calibration of different equipment used to measure soil moisture.
- The gravimetric method consists in using a cylinder to collect soil samples, which are then placed in an oven at 105°C for 24h. This method determines the ponderal water content (*Wp*) of a soil sample by comparing the wet weight (*Ph*) of the sample with its dry weight (*Ps*):

$$Wp(g.g^{-1}) = 100\left(\frac{Ph - Ps}{Ps}\right)$$

The volumetric water content mv (in cm³.cm⁻³ or vol. %) is deduced from the ponderal water content using the soil's apparent density (Da=Ps / volume of the cylinder):

$$mv = Da .Wp$$

Description of soil moisture

The TDR probe consists in emitting an electromagnetic microwave pulse along 2 (sometimes 3) waveguides of a given length, inserted into the soil, and measuring the transit time of the return signal.



- > TDR measurements are not valid for frozen soils
- In-situ soil moisture data is generally collected simultaneously with radar acquisitions.
- The distribution and spatial density of these measurements depend upon the level of heterogeneity of reference plots (intra-plots variations) and their size. A minimum of 20 measurements is generally taken for each reference plot (measuring at least one hectare).

• Description of soil moisture

- Bruckler et al. [BRU 88] found that the penetration depth of the radar signal in C-band for a clay loam soil decreases from 5 to 1 cm when the soil moisture increases from 10 to 30 vol. %.
- The dielectric constant is a physical quantity also known as complex permittivity. The real part ε' affects the moisture content more, while the imaginary part ε" essentially depends on the electrical conductivity of the soil solution.
- The empirical relationship between the volumetric water content of soil and its dielectric constant described by Topp et al. [TOP 80] is also widely used for its simplicity. This relation only allows the derivation of the real component of the dielectric constant:

$$mv = (-530 + 292\varepsilon - 5.5\varepsilon^2 + 0.043\varepsilon^3).10^{-4}$$

3. Behaviour of radar signal

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3.1 Penetration depth of radar wave

Penetration of radar wave

- When performing studies using radar images in L, C, and X bands for the characterization of the soil surface moisture in agricultural areas, in-situ measurements of soil moisture are taken at a depth between 0 and 10 cm.
- > The measurement depth is related to the penetration depth of the radar wave (δ_p) that is generally equal to a few centimeters in C and X bands. In L-band, this depth can reach a few tens of cm for very dry soils.
- The thickness of this surface layer depends on the radar wavelength (λ) (more penetration with greater wavelengths) and the dielectric constant of soil (water content and soil composition) [ULA 78]:



 ϵ' is the real part of the dielectric constant and ϵ'' its imaginary part.

> Longer λ (P and L bands) can penetrate deeper than shorter λ (C and X bands)

Relationship between moisture and dielectric constant

Relationship between soil volumetric water content (mv) and its dielectric constant from Topp et al. (1980). It allows the calculation of the real component of the dielectric constant (ε'):

 $mv = (-530 + 292 \epsilon' - 5.5 \epsilon'^2 + 0.043 \epsilon'^3).10^{-4}$

• A more detailed relationship proposed by Hallikainen et al. (1985):

$$\varepsilon = \varepsilon' - j. \varepsilon''$$

$\epsilon'' = [a_{0i} + a_{1i} \cdot sand + a_{2i} \cdot clay]$
+ $[b_{0i} + b_{1i} \cdot sand + b_{2i} \cdot clay].mv$
+ $[c_{0i} + c_{1i} \cdot sand + c_{2i} \cdot clay].mv^2$

- \checkmark The coefficients $a_{0r_1}a_{1r_2}\dots$, c_{2i} depend on radar frequency
- ✓ Sand = percent of sand in the soil ; Clay = percent of Clay in the soil

Penetration of radar wave

- From Hallikainen et al. (1985):
- Field 1: 52% sand, 13% clay, 35% Silt
- Field 5: 5% sand, 47% clay, 48%
 Silt

Observations:

- ε' et ε'' increase when mv
 increases
- ε' higher for soils with more sand $\rightarrow \delta_{\rho}$ higher
- ε" lower for soils with more sand only if the soil is very wet
 // otherwise ε" changes slightly if mv <20 vol.%



• For radar frequency = 5 GHz (λ =6 cm) and	• For radar frequency = 1.4 GHz (λ =21 cm)
mv=20 vol.%	and mv=20 vol.%
Field 1: ε' = 11 et ε'' = 2 🏓 δp= 2.2 cm	Field 1: ε' = 10 et ε'' = 2.5 → δp= 7 cm
Field 5: ε' = 7 et ε''= 2 → δp= 1.8 cm	Field 5: $\varepsilon' = 7$ et $\varepsilon'' = 2.5 \rightarrow \delta p = 6$ cm
More penetration in the sand Lebanon – Jun	² \mathbf{P}^2 More penetration for high λ

Penetration in arid areas

Since the penetration depth of the radar wave is proportional to the radar wavelength, it is possible in desert region using long wavelengths to highlight hydrographic networks covered by a layer of sand (of several m) and which are invisible on optical images.





Approach for mapping soil parameters



Practical instructions (1/2)

- Perform a bibliographic analysis to identify, for example, the optimal instrumental parameters capable of mapping (1) roughness, (2) soil moisture, etc.
- Choose control agricultural plots on which roughness and moisture measurements are taken → in situ measurements
- Create a vector file with control plots or "AOI: Area Of Interest"
- Processing radar images: radiometric calibration, georeferencing
- Warning: Select control plots of 100 radar pixels and more to have relevant statistics (minimize the speckle effect / noise effect)

Practical instructions (2/2)

- Calculate statistics using the vector file or AOIs: average radar signal
- The images calibrated in linear scale must be used for the calculation of the average radar signal on a given plot or an AOI
- Once the average radar signal has been calculated (in linear scale), the signal is calculated in decibel (dB) scale using the formula:

σ° in dB = 10. log10 (σ° in linear scale)

- Analyze signal behavior based on sensor and ground parameters
- Model the radar signal or validate existing models
- Extract useful information by inverting the radar signal (surface roughness/moisture, etc.)

3.2.1 Sensitivity of radar signal to roughness

Interest of soil roughness

- Soil roughness plays an important role in the runoff/infiltration ratio.
- Runoff occurs when the intensity of precipitation exceeds the infiltration capacity of the soil.
- In addition to vegetation, soil roughness also plays a role in trapping water in agricultural areas, which increases infiltration and in turn reduces downstream runoff.
- In agricultural areas, bare soils are most implicated in the risk of runoff and erosion.
- Watershed-scale monitoring tools are needed to improve flood prediction
 monitoring of surfaces that may contribute runoff.

An application example : Excess runoff and remote sensing



Interest of soil roughness

> Smooth soils have commonly a poor infiltration capacity compared to rough soils


Radar signal and soil roughness

- Smooth surfaces : reflect almost all incident energy away from the radar, are called specular reflectors. They appear dark on radar images (calm water, etc.) → weak radar signal
- Rough surfaces : scatter incident microwave energy in many directions (diffuse reflection). They therefore appear as clear areas on the radar images → strong radar signal

For a given λ , a surface appears smoother as θ increases.



Radar signal and soil roughness

High roughness: ________tillage

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0

6

-10

-15

-20

Low roughness

Each point corresponds to the average radar signal and the associated roughness measurement (N averaged measurements)



Behavior of radar signal as a function of surface roughness (rms)

- > For bare soils, σ° increases and follows exponential function with *rms*.
- Extraction of surface roughness is better at high incidence angle: a good indicator for monitoring surfaces potentially contributing to runoff.
- Dependence of radar signal on surface roughness in agricultural areas is mainly significant for low levels of roughness.

To analyze the sensitivity of the radar signal to soil roughness according to radar wavelength (λ), σ° is ploted according to *k*.*Hrms* with k = wave number= $(2\pi)/\lambda$



We observe a sensitivity of σ° to *k*.*Hrms* only for *k*.*Hrms* < 1:

- In X-band: it corresponds to Hrms < 0.5 cm</p>
- In C-band: it corresponds to Hrms < 1 cm</p>
- In L-band: it corresponds to Hrms< 4 cm</p>

Bande X	Bande C	Bande L
λ = 3 cm	λ = 6 cm	λ = 25 cm
<i>k</i> ~ 2 cm ⁻¹	<i>k</i> ~ 1 cm ⁻¹	<i>k</i> ~ 0,24 cm ⁻¹

→ Better sensitivity of σ° to *Hrms* for sensors at high λ

Lebanon – June 2022

- The best sensitivity of the signal to Hrms is observed at high incidences
 Theoretical and experimental work shows a slightly higher sensitivity of the signal to the signal
- roughness of bare soils in HH polarization
 The radar signal increases with Hrms according to a an exponential/logarithmic law up to a certain threshold



- The sensitivity of σ° to Hrms is significant for low Hrms: at 47°, σ° increases of 5 dB (-18 → -13 dB) when Hrms increases from 0.25 to 1 cm. It increases only of 1 dB (-11 → -10 dB) when Hrms increases from 2 to 4 cm
- Possibility of extracting 2-3 classes of roughness mapping the surfaces contributing to runoff

- Radar signal backscattered by a bare soil increases with Hrms according to a logarithmic or exponential law to then becomes constant after a certain roughness threshold (depends on the wavelength and the radar's incidence angle).
- Several studies show saturation of the radar signal after *k*.*Hrms* below roughly 1. This threshold corresponds to *Hrms* values of 4 cm in Lband, 1 cm in C-band, and around 0.5 cm in X-band.
- ➤ The dynamic of the radar backscattering coefficient is weaker in the case of weak incidence angles (variation of 7 dB for 20^o-25^o) than in the case of strong incidence angles (variation of 10 dB for 45^o-50^o).
- > Theoretical and experimental works show a slightly stronger sensitivity of the signal to the roughness of bare soil in HH polarization.
- > Only large wavelengths (e.g. L-band) and strong incidence angles (e.g. 45°) allow to map three roughness classes (smooth "sowing," rough "great plowed soil," moderately rough "small plowed soil") [BAG 02].

Soil roughness mapping



θ: incidence angle*Hrms*: roughness*mv*: soil moisture

Areas contributing to runoff

Use of radar images for the mapping of surfaces potentially contributing to runoff in an agricultural context:

- Low roughness: High runoff potential
- High roughness: Low runoff potential





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Interest of soil moisture

- Spatio-temporal monitoring of soil moisture in agricultural areas is of great importance for various applications: agriculture, hydrology, risks...
- The use of in situ sensors makes it possible to ensure monitoring, but this technique is very expensive and can only be carried out on a very small agricultural sector, hence the importance of spatial remote sensing, which today allows operational and large-scale mapping of soil moisture, with high spatio-temporal resolution.
- Early work to estimate and map surface moisture with radar imagery was done primarily on bare soils.
- In the presence of vegetation, the coupling of radar and optical data is essential to be able to estimate the soil moisture. Indeed, optical data are complementary to radar data, and their interest lies in their potential to estimate the physical parameters of vegetation, for example the Normalized Difference Vegetation Index (NDVI) or the foliar (Leaf Area Index, LAI)



Soil moisture and radar signal



> Better sensitivity of radar signal to soil moisture at low incidence angle and for low λ (high radar frequencies)

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- ▷ Dry surfaces → weak radar signal
- Wet surfaces
 strong radar signal
- The signal increases with humidity according to a logarithmic law for humidity not exceeding 35-40 vol.% (this value corresponds to a saturated soil)
- This logarithmic function corresponds to a linear function for humidity between 10 and 35 vol.%
- From moistures of 35-40 vol.% (we begin to have water in a free state because the soil is saturated), the radar signal stops increasing and then begins to decrease with increasing moisture. Thus, the estimation of the surface moisture is no longer possible without ambiguity after this moisture threshold of 35-40 vol.%

Soil moisture and radar signal

- The sensitivity of radar signal to soil moisture (S) decreases when the incidence angle or the radar wavelength increases!
 - ✓ Optimal radar configuration radar for a better sensitivity of radar signal to moisture → low incidence (15° -35°)
 - ✓ In C-band (Sentinel-1), S ~ 0.15 dB/vol.% for θ = 35°. For θ = 20° -25°, S ~ 0.2 dB/vol.% → this means that the C-band radar signal increases by about 1 dB if the humidity increases by 5 vol.%
 - ✓ S is twice as high in X band (λ=3 cm) than in C band (~0.35 dB/vol.% in X-band versus 0.15 dB/vol.% in C band)
 - \checkmark S is of the same magnitude in L and C bands
- \succ S is better at low θ or at low λ because the influence of the soil roughness is low

Sensitivity of radar signal to soil moisture

- > Optimal configuration for obtaining the best sensitivity of the radar signal to soil moisture (weak influence of the roughness): HH polarization and a weak radar incidence angle: 15º-35º
- Simulations illustrate an approximately logarithmic law between soil moisture and the radar signal.
- This logarithmic function is generally approximated by a linear function for soil moisture between 10 and 35 vol. %.
- After a soil moisture of around 35 vol. %, the radar signal stabilizes, then starts to decrease with the increase of soil moisture, so the estimation of soil moisture cannot be done without ambiguity after this threshold of around 35 vol. %.
- In C-band, sensitivity of radar signal to soil moisture, approximately between 0.15 dB/vol.% and 0.3 dB/vol. %.
- The signal's sensitivity to soil moisture is twice as high in X-band as in C-band (~0.35 dB/vol. % in X-band vs. 0.15 dB/vol. % in C-band).
- > Observations in L-band have approximately the same range of sensitivity to soil moisture as in C-band.
- The sensitivity of the signal to soil moisture decreases when the incidence angle increases.

3.2.3 Sensitivity of radar signal to soil salinity

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Soil salinity and radar signal

- Salinization is a chemical process that leads to the degradation of arable soil, desertification, and biomass reduction.
- Despite the dominant effect of moisture and roughness on the radar signal, salinity also has a significant effect.
- >The influence of salinity is more pronounced on the imaginary part than on the real part of the dielectric constant ε .
- >In the imaginary part (ϵ "), the influence of soil salinity is coupled with moisture. The higher the moisture content, the stronger the effect of salinity on ϵ ". This is mainly due to the solubility of salts in water leading to an increase in the electrical conductivity of the soil, thus leading to an increase in the imaginary part.



- ➢Few experimental works has been done for the estimation of salinity from radar images.
- Simulations of the radar backscatter coefficient show an increase in the simulated signal with increasing salinity.
- ➤The optimal configurations for salinity estimation from radar data are wet soils, low frequency (e.g. L-band), strong incidence angle and VV polarization (Lasne et al., 2008).

Soil salinity and radar signal

Radar backscatter coefficient simulated by the Integral Equation Model (IEM) in L-, C-, and X-bands (40° incidence) as a function of soil water status for two salinity conditions (S=0 and S=100‰):

→ A potential for salinity estimation only in L-band: The radar signal increases by 2 dB when moving from zero salinity (S=0‰) to saline soil (S=100‰) for moisture > 15 vol.%.





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Soil freezing and radar signal

- ➤The results show that the radar backscatter coefficient decreases when the soil temperature falls below 0° C
- ➢A difference of at least 2 dB is observed in C-band between unfrozen and frozen soils (Baghdadi et al., 2018)
- Both VV and VH polarizations provide good detection of frozen soils but that the sensitivity of VH is about 1.5 dB higher
- Discrimination of frozen soils decreases slightly with decreasing soil moisture
- → The difference between a reference image acquired without frost and an image acquired under frost conditions is a good tool for detecting frozen soils.

Analysis of Sentinel-1 radar signal behavior over a wheat field (C, VV and VH):

- $\checkmark \sigma^{\circ}$ VV decreases by 3-4 dB for dates of heavy frost (soil temperature ~ -3.7° C): between Jan. 18 and 26, 2017.
- ✓ A slight decrease of about 1.5 dB was also found in σ° VV when the ground was slightly frozen (Feb 11, 2017, ground temperature = -0.6° C).
 - The difference between $\sigma^{\circ}VH$ of unfrozen soil and $\sigma^{\circ}VH$ of frozen soil is 1 to 2 dB greater than the results obtained with VV polarization.



4. Modeling of the radar signal

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4.1 Bare soil case

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Modeling of radar backscattering on bare soil

970 97 k-1 (in Bin 40).250.25

Numerous radar backscattering models have been developed to analyze the radar signal's sensitivity to the soil's physical parameters (roughness and water content in particular) and instrumental parameters (frequency, incidence and polarization).

➔ In order to define the best radar configuration for estimating soil parameters: wavelength choice, pertinence of multi-polarization and polarimetric modes as compared to a mono-polarization mode.

- ➤ Different physical analytical models have been developed to simulate radar backscattering of the soil's surface → limited to domains of validity due to the considered physical approximations:
 - the Small Perturbation Model aqdapted to surfaces with a low roughness

k.Hrms < 0.3

 $\sqrt{2}$ Hrms / L < 0.3

the IEM (Integral Equation Model) model developed by Fung et al.

 $kHrms < 3 \qquad \left((k \, Hrms \cos \theta)^2 / \sqrt{0.46k \, L} \right) \exp\left\{ -\sqrt{0.92 \, k \, L(1 - \sin \theta)} \right\} < 0.25$

46k H) mp exp 0.920k 92k-L(in-B)h-A), 250.25

Modeling of radar backscattering on bare soil

- > Semi-empirical models: Dubois, Oh, Baghdadi, ...
- In most semi-empirical models, soil roughness, unlike physical models, is parameterized only by the standard deviation of heights (Hrms)
- These models cover much more important ranges of validity than those of physical models and they are better adapted to an operational use for the inversion of radar data.

Description of the Dubois model

$$\sigma_{HH}^{0} = 10^{-2.75} \left(\frac{\cos^{1.5} \theta}{\sin^{5} \theta} \right) 10^{0.028\varepsilon_{r} \tan \theta} \left(k \, Hrms \sin \theta \right)^{1.4} \lambda^{0.7}$$
$$\sigma_{VV}^{0} = 10^{-2.35} \left(\frac{\cos^{3} \theta}{\sin^{3} \theta} \right) 10^{0.046\varepsilon_{r} \tan \theta} \left(k \, Hrms \sin \theta \right)^{1.1} \lambda^{0.7}$$

k: radar wave number (k), Hrms the soil's volumetric water content (mv)

Domain of validity is:

 $k Hrms \le 2.5$ $mv \le 35 \% \text{ vol.}$ $\theta \ge 30^{\circ}$

Modeling of radar backscattering on bare soil

Description of the Oh model:

> Oh *et al.* developed a semi-empirical backscattering model with numerous versions between 1992 and 2004.

>
$$p = \sigma^{\circ}_{HH} / \sigma^{\circ}_{VV}$$
, $q = \sigma^{\circ}_{HV} / \sigma^{\circ}_{VV}$ and σ°_{HV} are defined as:
 $p = 1 - \left(\frac{\theta}{90^{\circ}}\right)^{0.35 \, mv^{-0.65}} e^{-0.4(k \, Hrms)^{1.4}}$
 $q = 0.095 \left(0.13 + \sin 1.5\theta\right)^{1.4} \left(1 - e^{-1.3(k \, Hrms)^{0.9}}\right)$
 $\sigma^{0}_{HV} = 0.11 \, mv^{0.7} \cos^{2.2} \theta \left(1 - e^{-0.32(k \, Hrms)^{1.8}}\right)$

k: radar wave number (k), Hrms the soil's volumetric water content (mv)

Oh model's domain of validity is: $0.13 < k Hrms \le 6.98$ $4 < mv (\% \text{ vol.}) \le 29.1$ $10^{\circ} \le \theta \le 70^{\circ}$

Modeling of radar backscattering on bare soil

Description of the Baghdadi model

- A new semi-empirical radar backscattering model on bare soil surfaces based on the Dubois model using a wide dataset of backscattering coefficients (in X, C and L bands) extracted from SAR (synthetic aperture radar) images and in situ soil surface parameter measurements (moisture content and surface roughness):
- > The radar signal in polarization pq (=HH, VV and HV) is the product of a function that depends on θ , a function that depends on mv and a third function that depends on the roughness (in linear scale) :

 $\sigma_{pq}^{\circ} = f_{pq}(\theta) g_{pq}(mv, \theta) \Gamma_{pq}(kHrms, \theta)$

0.46k H) may exp 0.920.92(k-1.1in-0), 250.25

Modeling of radar backscattering on bare soil

Description of the Baghdadi model

> After optimizing, we have:

 $\sigma_{HH}^{\circ} = 10^{-1.287} (\cos \theta)^{1.227} \ 10^{0.009 \ cotan \ (\theta) \ mv} \ (kHrms)^{0.86 \ sin(\theta)}$

 $\sigma_{VV}^{\circ} = 10^{-1.138} (\cos \theta)^{1.528} \ 10^{0.008 \ cotan \ (\theta) \ mv} \ (kHrms)^{0.71 \ sin(\theta)}$

 $\sigma_{HV}^{\circ} = 10^{-2.325} (\cos \theta)^{-0.01} \ 10^{0.011 \ cotan \ (\theta) \ mv} \ (kHrms)^{0.44 \ sin(\theta)}$

 θ : incidence angle, expressed in radians and *mv* is in vol.%.

The new model shows that this condition is satisfied when: $20^{\circ} < \theta < 45^{\circ}$ *kHrms* < 6 *mv* < 35 vol.%

Modeling of radar backscattering on bare soil

IEM calibrated by Baghdadi: IEM_B

- IEM is the best known physical model
- Numerous studies have assessed the different radar backscattering models. Most of the time, strong differences have been observed between model simulations and real SAR data able to reach several decibels, making the results of radar signal inversion imprecise. This difficulty of accurately modeling the real radar signal is particularly linked to complexity of describing and measuring the soil's roughness parameters (autocorrelation function, correlation length, and standard deviation of heights) precisely.
- Baghdadi et al. [BAG 06, BAG 11a, BAG 11b, BAG 15] proposed a semi-empirical calibration of the IEM backscattering model with the intention of better reproducing the radar backscattering coefficient of bare soils. This calibration replaced the measured correlation length, which is the least precise roughness parameter, with a forcing parameter. The results showed that the calibration parameter depends on *Hrms*, radar incidence angle (θ), and radar frequency.

Modeling of radar backscattering on bare sol

IEM calibrated by Baghdadi: IEM_B

The calibration parameter *Lopt* obtained with a Gaussian autocorrelation function is described as follows:

In X-band: $\begin{cases} Lopt \ (Hrms, \theta, HH) = 18.102 \ e^{-1.891\theta} \ Hrms^{0.7644 \ e^{0.2005 \ \theta}} \\ Lopt \ (Hrms, \theta, VV) = 18.075 \ e^{-2.1715\theta} \ Hrms^{1.2594 \ e^{-0.8308 \ \theta}} \end{cases}$

In C-band: $\begin{cases} Lopt (Hrms, \theta, HH) = 0.162 + 3.006 (\sin 1.23 \,\theta)^{-1.494} Hrms \\ Lopt (Hrms, \theta, HV) = 0.9157 + 1.2289 (\sin 0.1543 \,\theta)^{-0.3139} Hrms \\ Lopt (Hrms, \theta, VV) = 1.281 + 0.134 (\sin 0.19 \,\theta)^{-1.59} Hrms \end{cases}$

In L-band: $\begin{cases} Lopt (Hrms, \theta, HH) = 2.6590 \ \theta^{-1.4493} + 3.0484 \ Hrms \ \theta^{-0.8044} \\ Lopt (Hrms, \theta, VV) = 5.8735 \ \theta^{-1.0814} + 1.3015 \ Hrms \ \theta^{-1.4498} \end{cases}$

$\boldsymbol{\theta}$ is in radians

Lopt and Hrms are in centimeters.

Lopt was obtained with a Gaussian autocorrelation function

This calibration has been performed using numerous databases, acquired at numerous study sites, with different radar sensors (ERS, JERS, RADARSAT, ASAR, PALSAR, TerraSAR-X, COSMO-SkyMed, SIR-C/X), with incidence angles from 23^o to 57^o, and HH, HV, and VV polarizations.

Estimation of soil parameters: bare soil

Using single SAR configuration : 1 date, 1 polarization, 1 incidence angle

➔ Simple empirical relationships: built using reference data collected on study sites. These reference data refer to in-situ measurements of soil moisture and/or roughness, as well as the mean of the backscattering coefficient on each reference plot calculated using acquired radar images.

- Iinear for the soil moisture $\sigma_{dB}^0 = \alpha \, mv + b_1$
- · logarithmic (or exponential) for soil roughness $\sigma_{dB}^0 = \beta \log (k H rms) + b_2$

➔ Radar backscattering coefficient (in decibels) is defined by a single soil parameter (soil moisture or roughness), while the other soil parameter is assumed to be constant or have little effect on the radar signal (this configuration only allows one soil parameter to be determined at a time).

→ SAR sensors' parameters chosen to increase the signal's sensitivity to the soil parameter to be estimated (e.g. moisture) and to minimize the effect of the other soil parameters (e.g. roughness).

0.46k H) mp exp 0.920.92k + (in-6)h-0).250.25

Estimation of soil parameters: bare soil

<u>Using multi-incidence SAR data</u>: one image with a weak incidence (θ_{weak} ~20°) and one image with a strong incidence (θ_{strong} ~40°).

 $\begin{cases} \sigma^{0}(\theta_{weak}) = \alpha_{1} mv + \beta_{1} \log (k Hrms) + c_{1} \\ \sigma^{0}(\theta_{strong}) = \alpha_{2} mv + \beta_{2} \log (k Hrms) + c_{2} \end{cases}$

By replacing the term $\log(k Hrms)$ in $\sigma^0(\theta_{weak})$ with the one $\sigma^0_{dB}(\theta_{strong})$, the soil moisture can be estimated using the following relation:

$$mv = A\sigma^{0}(\theta_{weak}) + B\sigma^{0}(\theta_{strong}) + C$$

Several studies used the relation $\sigma^{0}(\theta_{weak})/\sigma^{0}(\theta_{strong})$ when formulating the inversion procedure because of this relation's maximum sensitivity to soil roughness [ZRI 03]:

$$mv = A \sigma^{0} \left(\theta_{weak} \text{ or } \theta_{strong} \right) + B \left(\frac{\sigma^{0} \left(\theta_{weak} \right)}{\sigma^{0} \left(\theta_{strong} \right)} \right)_{dB} + C$$

The roughness parameter *Hrms* can be estimated by using the relation:

$$Hrms = \frac{1}{k} 10^{D\sigma^{0}(\theta_{weak}) + E\sigma^{0}(\theta_{strong}) + F}$$

Estimation of soil parameters: bare soil

Using multi-polarization SAR data: 2 polarizations, same date, same sensor, same acquisition

• Two polarizations does not improve the estimation of soil moisture, for example, in comparison with cases where a single polarization is used. In fact, the improvement is less than 1 vol. % [BAG 06].

<u>Using polarimetric SAR data: HH, HV, VH, VV</u>

• Hajnsek et al. [HAJ 03] have shown that entropy and the alpha angle (derived from the Cloude decomposition) in L-band increase with soil moisture and that anisotropy is independent of the soil moisture. Furthermore, it has been shown that entropy increases with *Hrms*, that the alpha angle is independent of *Hrms*, and that when *k*.*Hrms* increases to 1, anisotropy decreases in an almost linear way.

• Contrary to the results obtained in L-band, the results obtained in C-band show that the use of polarimetric parameters (entropy, alpha angle, anisotropy ...) do not significantly improve the estimation of the soil moisture and roughness in comparison with methods that only use the backscattering coefficients in polarizations HH, HV, or VV [BAG 12b].

Estimation of soil parameters: bare soil

<u>Using multi-date SAR data</u>

• Two polarizations does not improve the estimation of soil moisture, for example, in comparison with cases where a single polarization is used. In fact, the improvement is less than 1 vol. % [BAG 06].

• In order to estimate the soil moisture in semi-arid zones, where it can be assumed that the soil roughness is constant throughout the year, the difference $(\Delta\sigma^{\circ})$ between an image from the wet season and an image from the dry season is used (effects of roughness are eliminated):

$$\Delta \sigma^{\circ}_{dB} = \alpha (mv_{wet \, season} - mv_{dry \, season}) = \alpha \Delta mv$$

4.2 Case of agricultural soils with vegetation

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Estimation of soil parameters: soils with vegetation

- Spatial and temporal monitoring of soil moisture on plots with vegetation cover is a key parameter for different applications, especially for irrigation management.
- Different physical and semi-empirical models have been developed to quantify the contribution of the vegetation in the received radar signal in order to extract the soil contribution and estimate its moisture.
 - The most widely used model is the Water Cloud Model (WCM): a very simple but very efficient semi-empirical model developed by Attema and Ulaby (1978).

Water Cloud Model (WCM)

Soil with vegetation

$$\sigma^{0}_{tot} = \sigma^{0}_{veg} + T^{2} \sigma^{0}_{soi}$$

$$\sigma^0_{veg} = A.V_1.Cos \theta (1-T^2)$$

- $T^2 = Exp (-2.B.V_2.sec \theta)$
- $\sigma^0_{soil} = C(\theta) \exp(D.M_v)$

- σ^{0}_{tot} : Total backscattered radar signal (linear unit)
- σ^0_{veg} : Vegetation contribution (linear unit)
- T²: Two-way attenuation
- σ⁰ soil : Soil contribution (linear unit)
- $V_1 = V_2$: Vegetation descriptors (BIO (kg/m²), VWC (kg/m²), HVE (m), LAI (m²/m²), NDVI ...)
- $\boldsymbol{\theta}$: Radar incidence angle; sec ($\boldsymbol{\theta}$) = 1/ cos ($\boldsymbol{\theta}$)
- A et B: Parameters depending on the canopy descriptors and radar configurations
- M_v: Volumetric soil moisture (Vol.%)
- **C**: dependent on roughness and incidence angle
- D: sensibility of radar signal to M_v in the case of bare soils, dependents on radar configurations

Multiple soil-vegetation diffusions (often neglected)

Water Cloud Model (WCM)

The soil contribution can be simulated from a physical model (IEM), by a semi-empirical model (Oh, Dubois, Baghdadi), or by using a simplified expression of the soil contribution that takes into account the soil moisture and roughness (in linear scale):

$$\sigma_{sol}^{o} = C e^{D mv}$$

- C is a parameter that depends on the soil roughness and the radar configuration.
- D is the sensitivity of the radar signal (linear unit) to bare soil moisture (it depends on the radar configuration).
- This expression assumes that the soil signal is the sum of a contribution related to the soil moisture (in dB), and another related to the roughness (in dB).

Water Cloud Model (WCM)

- Data σ° from SAR images, field measurements of soil parameters (moisture and roughness, or moisture alone if the effect of roughness is neglected), and measurements on vegetation descriptors (in situ or from imagery, optical in particular) are needed to fit the WCM model and estimate the A, B, C, and D parameters.
- Baghdadi et al. (Remote Sensing, 2017) calibrated WCM using C-band radar data at two study sites, one in France and one in Tunisia (winter wheat, grassland, and fallow). The soil contribution was modeled using IEM modified by Baghdadi et al. (using Lopt instead of L):

$V_1 = V_2 = NDVI$						
Polarization	Apq	Bpq	\mathbb{R}^{2}_{pq}	RMSE _{pq} (dB)	Bias _{pq} (dB)	Ν
pq = VV	0.0950	0.5513	0.55	1.55	0.18	160
$\mathbf{pq} = \mathbf{VH}$	0.0413	1.1662	0.63	1.30	-0.17	68

Results : Modeling results



Behaviour of WCM components (σ°_{veg} , $T^{2}\sigma^{\circ}_{sol}$, and σ°_{tot}) in HH according to LAI.

Black points represent SAR data (σ°_{tot} : validation dataset) associated to M_v measurements situated at ±5 vol. % of the M_v used in the modelling.

Results : Modeling results



Behaviour of WCM components (σ°_{veg} , $T^2\sigma^{\circ}_{sol}$, and σ°_{tot}) in HH according to M_v .

Black points represent SAR data (σ°_{tot} : validation dataset) associated to LAI measurements situated at $\pm 0.25 \text{ m}^2/\text{m}^2$ of the LAI used in the modelling.

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5. Estimation of soil moisture

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Introduction

- Soil moisture mapping in agricultural areas at plot scale is very usefull for many applications such as hydrology, agriculture and risk assessment.
- Currently, several satellite missions provide surface soil moisture estimations at different spatial resolutions (low to medium spatial resolutions):
 - ✓ SMAP: 36 km x 36 km, 9 km x 9 km, 1 km x 1 km
 - ✓ ASCAT: 25 km x 25 km, 12.5 km x 12.5 km, 1 km x 1 km
 - ✓ SMOS: 25 km x 25 km

 New: Copernicus Land distributes the first soil moisture estimations over the European continent at 1-km using S1 data: algorithm based on the University of Technology Wien Change Detection Model



- Sentinel-1 SAR satellites provide C-band SAR data :
 - ✓ in free open access mode

- \checkmark At high spatial resolution (10 m x 10 m) and high revisit time (6 days)
- → encourage the development of an operational algorithm for soil moisture mapping at high spatial resolution
- An operational approach for mapping soil moisture at high spatial resolution (plot scale) in agricultural areas was developed by coupling S1 and S2 images:
 - based on the inversion of the Water Cloud Model (WCM) combined with the modified IEM, and using the neural networks technique
 - ✓ S²MP: Sentinel-1/Sentinel-2 derived soil Moisture at Plot scale

Estimation of soil moisture

Simple model with one band (= one information from SAR sensors):

The simplest empirical model (1 band = one incidence and one polarization):

$$\sigma_{dB}^0 = \alpha \, mv + b_1$$

- This expression is built on a given site independently of the roughness for one polarization and a range of incidence angles
- Once this expression constructed from a database (some control plots), the moisture can be estimated everywhere on the same radar image with:

$$mv^{est} = [\sigma^{\circ} (dB) - b_1] / \alpha$$





- > Two bands = 2 wavelengths, 2 angles of incidence or 2 polarizations
- One sensor = 1 wavelength
- One sensor, for a given plot, at a given date = 1 angle of incidence
- One sensor = 1, 2 or 4 polarizations

Estimation of soil moisture

Simple model with two bands:

Example of radar images acquired at two angles of incidence: a weak angle~20° and a strong angle~40°:

$$\begin{cases} \sigma^{0}(\theta_{weak}) = \alpha_{1} mv + \beta_{1} \log(k Hrms) + c_{1} \\ \sigma^{0}(\theta_{strong}) = \alpha_{2} mv + \beta_{2} \log(k Hrms) + c_{2} \end{cases}$$

- In this case, the radar signal is written as the sum of a function that describes the dependence of the signal on moisture and a function that describes the dependence of the signal on roughness (in dB).
- > The moisture combining the two images can be written as follows: $mv = A\sigma^{0}(\theta_{weak}) + B\sigma^{0}(\theta_{strong}) + C$
- From a database collected $[\sigma^0(\theta_{weak}), \sigma^0(\theta_{strong}), mv]i=1...n$ on several control plots (n), the parameters A, B and C are estimated and the above equation can be applied to all the agricultural plots of the study site for the estimation of moisture.

Accuracy of mvest from empirical relations

- Case 1: Estimation of mv with a simple linear relationship between σ° at one band and mv: relationship valid only for the study site, at a given date, for a given incidence/polarization \rightarrow unreliable estimate because the effect of roughness is not taken into account (accuracy at best 6 vol.%).
- Case 2: Estimation of mv with a linear relation between σ° at 2 incidences and mv: Unlikely to have 2 images acquired at two incidences with stable humidity conditions \rightarrow If feasible, very good estimate of mv because the effect of roughness is taken into account (accuracy 2 times better than case 1, RMSE on mv ~ 3 vol.%).
- Case 3: Estimation of mv with a linear relationship between σ° at 2 polarizations and mv: Quite possible but the σ° at the different polarizations are strongly correlated \rightarrow configuration not very relevant because the accuracy is better only by about 1 vol.% compared to case 1.

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Estimation of soil moisture: Neural networ

➢Our aim was to develop an operational approach for mapping soil moisture at high spatial resolution (up to the plot scale) in agriculture areas by coupling S1 and S2 images.

➢ The proposed approach is based on the inversion of the Water Cloud Model (WCM) using the neural network (NN) technique.

➤The use of the new S1 and S2 data for operational soil moisture mapping in agricultural areas with high revisit time and <u>at the plot scale</u> is an innovative use of spatial imageries

Estimation of soil moisture: Neural network

- Free access to Sentinel data (radar: Sentinel-1 and optical: Sentinel-2) encourages the development of an operational soil moisture mapping algorithm
- The high spatial resolution of Sentinel data (10 m x 10 m) makes it possible to map at the plot level
- Moreover, the high revisit time of S1 (about 15 images per month) makes the moisture product very interesting for many applications: irrigation for example
- An algorithm called S²MP (Sentinel-1/Sentinel-2 derived soil Moisture at Plot scale) has been developed at UMR TETIS. It reverses WCM combined with IEM modified by Baghdadi (integration Lopt instead of L) and uses neural networks. It has been calibrated on field crop plots (wheat, barley, rape ...) but also on grasslands.
- The code can be downloaded at the reference: El Hajj M., Baghdadi N., Zribi M., 2018. Estimation de l'humidité du sol par couplage d'images radar et optique. Chapitre book: Baghdadi N., Mallet C., et Zribi M. (eds), QGIS et applications en agriculture et forêt, vol. 2, p. 15-58, 2018, ISTE Editions, 374 pp.

S²MP: Description

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S²MP: accuracy with synthetic Data





✓ mv < 25 vol % : bias = 2.7 vol % & RMSE = 5.5 vol %</p>

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✓ mv > 25 vol % : bias = -4.1 vol % & RMSE = 6.9 vol%

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S²MP: accuracy with synthetic Data

 \mathbf{IS}

NN1 : VV + NDVI+ $\theta \rightarrow Mv$



S²MP: accuracy with real Data

NN 1 : VV + NDVI+ $\theta \rightarrow Mv$





- ✓ Inversion was performed using real SAR data and NDVI derived from optical images
- Degradation when NDVI is high (mature crops)
- ✓ For some crops, moisture estimation on agricultural plots is no longer possible when vegetation is well developed (NDVI <0.7)</p>

S²MP: soil moisture maps

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S²MP: soil moisture maps

- Soil moisture maps over many sites in France and in the World (2016-2018, Time : 6 days, plot scale): <u>http://www.theialand.fr/en/thematic-products</u>
- Good coherence observed between the temporal evolution of the soil moisture and the precipitation records
- S1-SM values increases following rainfall event and decreases after a period without rainfall due to evaporation



Bazzi et al., RS, 2018

Soil moisture maps on the Theia website

French Land Data Center Theia : https://www.theia-land.fr/en/product/soil-moisture-with-very-high-spatial-resolution/

theia-land.fr/en/product/soil-moisture-with-very-high-spatial-resolution/

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SOIL MOISTURE AT VERY HIGH SPATIAL RESOLUTION





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