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# Combination of an adaptive metamodel and a coherent polarimetric backscattering simulator for the characterization of forested areas at low frequencies

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## ► To cite this version:

Andras Vasko, Laetitia Thirion-Lefèvre, Sandór Bilicz, Isabelle Champion, Marc Lambert, et al.. Combination of an adaptive metamodel and a coherent polarimetric backscattering simulator for the characterization of forested areas at low frequencies. *Interférence d'ondes*, Oct 2011, Nice, France. n.p., 2011. hal-02806342

**HAL Id: hal-02806342**

**<https://hal.inrae.fr/hal-02806342>**

Submitted on 6 Jun 2020

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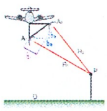
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## ABSTRACT

A new method for forest characteristics inversion, based on a surrogate model derived from a full wave electromagnetic simulator using kriging techniques, is proposed. The feasibility of the method, is illustrated on a simple configuration for the forest where the polarimetric backscattering coefficients are used to retrieve both the age of the trunks and the ground moisture with different frequency bands. The benefit of polarimetry in this retrieval process is then studied.

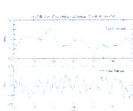
## 1 MODEL DESCRIPTION

### Radar parameters (illustration from CCT)



- frequency
- radar height
- baseline components:  $b_x, b_z$
- resolution
- incidence angle

### Soil parameters



- Root mean square height:  $h_{RMS}$
- Correlation length:  $L_c$
- Relative dielectric permittivity  $\epsilon_r$  (via ground moisture  $m$ )

### Vegetation parameters



- Forest = a multi-layer environment with canonical elements:
- cylinders for trunks and branches
  - ellipsoids for leaves
  - Each layer described by:
    - its height
    - its number of trunk, branche and leave types
  - Each type of scatterer defined by:
    - its size
    - its density
    - its eulerian angles distribution
    - its permittivity

### Forest configuration – only 2 descriptive parameters

- Assumption: at low frequencies, trunks are the main scatterers.
- Allometric equations established for Nezer forest to determine the dimensions of the trunks ( $d$  and  $h$ ):  $d = 0.169 \times \log(a) - 0.257$ ,  $h = 56.618 \times d + 0.646$  with  $a \in [10, 50]$  years
- Assumption: the vegetation moisture  $m_v$  is constant: 54%
- The  $m$  ground moisture varies in [20 – 70]% (related to the relative dielectric permittivity)
- Consider that the density is constant (managed forest)

### Radar configuration

- Frequency  $f \in [0.3, 2]$  GHz
- Incidence angle  $\theta \in [20, 70]$  degree.
- Study of  $\sigma_{qp}^0$  for all polarimetric channels.

## 2 METAMODEL BY KRIGING

### Black-box model of the simulator

Model parameters  $\mathbf{t} = [t_1, t_2, \dots, t_M]$  (can be controlled) ... radar frequency ( $f$ ) and incidence angle ( $\theta$ )  
 Input parameters  $\mathbf{x} = [x_1, x_2, \dots, x_N]$  (to be retrieved) ... (forest age ( $a$ ) and ground moisture ( $m$ ))  
 Output data  $y_{\mathbf{x}}(\mathbf{t})$  (can be measured or simulated) ... (backscattering coefficients ( $\sigma_{qp}^0(f, \theta)$ ))  
 Forward operator  $\mathcal{F}\{\mathbf{x}\} = y_{\mathbf{x}}(\mathbf{t})$  – representation of the COSMO simulator, i.e., a function of the input and the model parameters (and, e.g.,  $y_{\mathbf{x}}(\mathbf{t}) = \sigma_{qp}^0(f, \theta)$ )

### Approximation of $\mathcal{F}$ in two steps

1. Sampling: computation of  $n$  samples:  $\mathcal{F}\{\mathbf{x}_i\} = y_{\mathbf{x}_i}(\mathbf{t}), i = 1, 2, \dots, n$  time-consuming but done only once
2. Interpolation by kriging:  $\hat{\mathcal{F}}\{\mathbf{x}\} = \sum_{i=1}^n \lambda_i(\mathbf{x}) \mathcal{F}\{\mathbf{x}_i\}$  fast, it is performed as many times as needed

### Kriging for functional data

$$\hat{\mathcal{F}}\{\mathbf{x}\} = \sum_{i=1}^n \lambda_i(\mathbf{x}) \mathcal{F}\{\mathbf{x}_i\} = \sum_{i=1}^n \lambda_i(\mathbf{x}) y_{\mathbf{x}_i}(\mathbf{t})$$

Two-level sampling:

"Upper" level: Choose  $\mathbf{x}_{n-1}$  by the adaptive strategy

"Lower" level: Sample  $y_{\mathbf{x}_{n-1}}(\mathbf{t})$ , by using the same approach:

$$\hat{y}_{\mathbf{x}_{n-1}}(\mathbf{t}) = \sum_{i=1}^k \mu_i(\mathbf{t}) y_{\mathbf{x}_{n-1}}(\mathbf{t}_i) \quad \text{scalar kriging model}$$

Final database:  $n \times k$  scalar samples:

$$\begin{aligned} & y_{\mathbf{x}_1}(\mathbf{t}_{11}), y_{\mathbf{x}_1}(\mathbf{t}_{12}), \dots, y_{\mathbf{x}_1}(\mathbf{t}_{1k}) \\ & y_{\mathbf{x}_2}(\mathbf{t}_{21}), y_{\mathbf{x}_2}(\mathbf{t}_{22}), \dots, y_{\mathbf{x}_2}(\mathbf{t}_{2k}) \\ & \vdots \\ & y_{\mathbf{x}_n}(\mathbf{t}_{n1}), y_{\mathbf{x}_n}(\mathbf{t}_{n2}), \dots, y_{\mathbf{x}_n}(\mathbf{t}_{nk}) \end{aligned}$$

### A simple illustration of kriging: one-variate polynomial function

$$\hat{f}(x) = \sum_{i=1}^n \lambda_i(x) f(x_i)$$

- $f(x)$  modeled by a Gaussian random process
- $n$  samples of  $f$  are needed
- Coefficients  $\lambda_i$  optimally chosen based on the covariance of the process
- $\hat{f}$  interpolates  $f$ , i.e.,  $\hat{f}(x_i) \equiv f(x_i)$

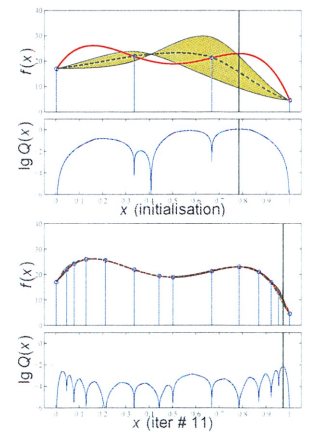
### How to choose the sampling points

$x_1, x_2, \dots, x_n$ ?

- Adaptive incremental sampling
- Next sample: the largest "improvement" of  $\hat{f}$
- Auxiliary function  $Q(x)$ : space-filling + uncertainty reduction

$$x_{n-1} = \arg \max_{x \in X} Q(x)$$

— : original function  
 - - - : kriging interpolation  
 filled area: "uncertainty"



## 3 OBJECTIVE: TO RETRIEVE THE AGE OF THE FOREST AND THE GROUND MOISTURE

### Numerical configuration

- Age = 40;
- $m_v = 25\%$ ,
- $f \in [1, 2]$  GHz,
- $\theta \in [59 - 61]$  degree.

### Interpolation error & Model of the "uncertainty"

$$\|\hat{\mathcal{F}}\{\mathbf{x}\} - \mathcal{F}\{\mathbf{x}\}\| = \sqrt{\frac{1}{(f_{\max} - f_{\min})(\theta_{\max} - \theta_{\min})} \int \int (\hat{\sigma}^0(\mathbf{x}) - \sigma^0(\mathbf{x}))^2 d\theta df}$$

where  $\hat{\sigma}^0(\mathbf{x})$  the interpolated value and  $\sigma^0(\mathbf{x})$  the exact one.  
 $\Delta \sigma_{qp}^0 = \sqrt{\frac{1}{(f_{\max} - f_{\min})(\theta_{\max} - \theta_{\min})} \int \int (\hat{\sigma}_{qp}^0 - \sigma_{qp}^0)^2 d\theta df}$   
 with  $\delta$  the noise level and  $\hat{\sigma}_{qp}^0$  the measurement

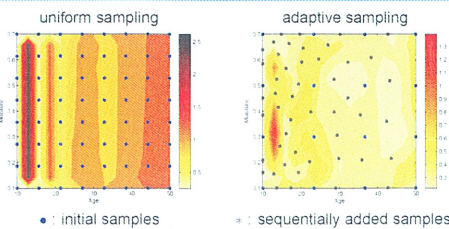
### Caption

- $\Delta \sigma_{qp}^0 < 1$  dB (Black),
- $\Delta \sigma_{qp}^0 \in [1, 2]$  dB (Dark grey),
- $\Delta \sigma_{qp}^0 \in [2, 3]$  dB (Light grey),
- $\Delta \sigma_{qp}^0 > 3$  dB (White)

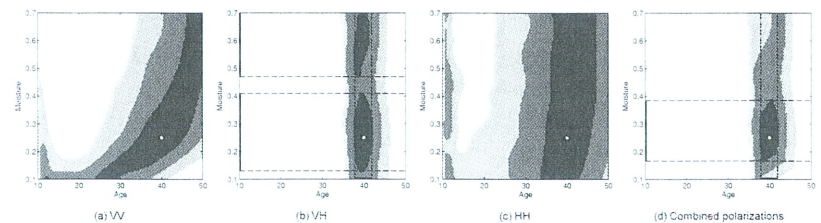
### Results with $\Delta \sigma_{qp}^0 < 1$ dB

- Age in [37, 41] year
- $m_v$  in [17, 39]% (combined polarizations)

### Kriging interpolation example



### Inversion using kriging metamodel (Error map)



## 4 CONCLUSION & PERSPECTIVES

### Conclusions

- The two-level adaptive sampling + kriging interpolator
  - provides acceptable accuracy
  - considerably reduces the computation time by replacing the simulator
- The surrogate model appears to be effective, as it can take into account:
  - the diversity of radar configurations (frequency, polarization, incidence angle)
  - the uncertainty on radar measurements

### Perspectives

- This work has been illustrated using  $\sigma_{qp}^0$  and a simple forest of trunks
- the whole forest should be considered (more input parameters)
- additional outputs should be simulated
- the uncertainty on the forest parameters should also be taken into account