

First-Time Soil Moisture Retrieval Using Single-Frequency Dual-Polarization GNSS-R with Airborne GLORI Data

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Abstract

Abstract—Polarization was once overlooked in GNSS-R studies. However, in recent years it has garnered increasing interest. This paper explores dual polarization for single-frequency data from the airborne GLORI experiment. Building on theoretical analysis, we have applied several retrieval algorithms for soil moisture estimation. Initially, only the surface reflectivity of LR and RR polarizations was examined. As additional surface parameters, such as surface roughness and vegetation, were incorporated into the algorithm, the retrieval accuracy, as indicated by RMSE, improved from around 0.07 to 0.03. The accuracy retrieved by RR polarization appears slightly better than that of LR polarization. However, when both dual polarizations were considered, the retrieval accuracy matched that of using only one polarization. When surface roughness, LAI, and incidence angle are taken into account, the retrieval accuracy, as indicated by RMSE, is 0.0344. This suggests that dual polarization holds great potential for soil moisture estimation. GLORI data is the first publicly available dual polarization GNSS-R data that includes both coherent and noncoherent scattering. This paper also discusses the noncoherent scattering properties of LR and RR polarizations. In the realm of coherent scattering, it is observed that the scattering properties at LR polarization exceed those at RR polarization. However, this trend reverses for noncoherent scattering, wherein the scattering properties at LR polarization are diminished compared to those at RR polarization for corresponding land surface types. The analysis of dual polarizations data will benefit future data mining for more accurate soil moisture retrieval and the design of future polarization GNSS-R payloads. While the retrieval accuracy with the consideration of noncoherent scattering properties indicates that not only coherent scattering but also noncoherent scattering should be included in future GNSS-R data sets, they are comparable for future soil moisture retrieval algorithms. Index Terms—polarization, coherent

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Preamble

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First-Time Soil Moisture Retrieval Using Single-Frequency Dual-Polarization GNSS-R with Airborne GLORI Data

Abstract— Polarization was once overlooked in GNSS-R studies. However, in recent years, it has garnered increasing interest. This paper explores dual polarization for single-frequency data from the airborne GLORI experiment. Building on theoretical analysis, we have applied several retrieval algorithms for soil moisture estimation. Initially, only the surface reflectivity of LR and RR polarizations was examined. As additional surface parameters, such as surface roughness and vegetation, were incorporated into the algorithm, the retrieval accuracy, as indicated by RMSE, improved from around 0.07 to 0.03. The accuracy retrieved by RR polarization appears slightly better than that of LR polarization. However, when both dual polarizations were considered, the retrieval accuracy matched that of using only one polarization. When surface roughness, LAI, and incidence angle are taken into account, the retrieval accuracy, as indicated by RMSE, is 0.0344. This suggests that dual polarization holds great potential for soil moisture estimation. GLORI data is the first publicly available dual polarization GNSS-R data that includes both coherent and noncoherent scattering. This paper also discusses the noncoherent scattering properties of LR and RR polarizations. In the realm of coherent scattering, it is observed that the scattering properties at LR polarization exceed those at RR polarization. However, this trend reverses for noncoherent scattering, wherein the scattering properties at LR polarization are diminished compared to those at RR polarization for corresponding land surface types. The analysis of dual polarizations data will benefit future data mining for more accurate soil moisture retrieval and the design of future polarization GNSS-R payloads. While the retrieval accuracy with the consideration of noncoherent scattering properties indicates that not only coherent scattering but also noncoherent scattering should be included in future GNSS-R data sets, they are comparable for future soil moisture retrieval algorithms.

Index Terms— polarization, coherent scattering, non-coherent scattering, GNSS-R, soil moisture, surface roughness, vegetation.

I. Introduction

GNSS-R has emerged as one of the most crucial and pioneering remote sensing techniques over the past three decades [?, ?, ?, ?, ?]. With an increasing number

of in-orbit GNSS satellites, the availability of incident signal sources has also grown. This expansion is expected to enhance the network of GNSS-R missions, offering significant potential to improve the spatial and temporal resolutions of GNSS-R data.

The United Kingdom Disaster Monitoring Constellation (UK-DMC) marked the inception of GNSS-R missions used to showcase the potential of space-borne GNSS-R missions for Earth remote sensing [?]. Surrey Satellite Technology Ltd (SSTL), the designer of UK-DMC, subsequently launched the UK TDS-1 into space. While the primary objective of TDS-1 was to detect ocean surface parameters, it also collected reflected signals from the land surface, demonstrating its significant potential for detecting Earth surface geophysical parameters [?, ?]. In December 2012, NASA's CYGNSS, comprising eight small GNSS-R satellites, was launched with a spatial coverage of $\pm 38^\circ$ [?]. Initially focused on detecting cyclone status in pan-tropical regions, researchers discovered that the reflected signals from the land surface could be utilized to detect near-surface soil moisture [?, ?, ?, ?, ?, ?], forest biomass [?, ?, ?], flood inundation [?, ?], and near-surface soil freeze/thaw status [?, ?, ?, ?]. Subsequently, other GNSS-R missions such as WINSAT-1R, Bufeng 1-A/B, UK DoT-1, and FSSCat have been successively launched. In July 2021, China's FengYun 3E was launched, featuring the GNOS-R as one of its eleven payloads [?]. This marked the first global coverage GNSS-R payload, showcasing its capability not only in detecting ocean surface parameters, but also in retrieving soil moisture and detecting near-surface freeze/thaw conditions [?, ?]. Additionally, in 2024, the HydroGNSS is scheduled for launch. It's noteworthy that all GNSS-R payloads utilize LHCP (Left Hand Circular Polarization) antennas, with the exception of HydroGNSS, which will feature two antennas—one LHCP and the other RHCP (Right Hand Circular Polarization) [?]. Researchers anticipate using dual polarization to mitigate the impacts of surface roughness and vegetation effects, thereby enhancing the accuracy of soil moisture retrieval.

Based on the aforementioned GNSS-R developments, it is evident that polarization will be a pivotal feature in future GNSS-R advancements [?, ?]. As we know, polarization determines the direction characteristics of the electric field vector in electromagnetic waves, endowing electromagnetic waves with unique properties and applications. Linearly polarized electromagnetic waves perform excellently in communication systems and radars; in the Beidou/GNSS field, they are widely used in satellite communication and radio frequency identification, which can reduce the multipath effect and improve signal reliability and anti-interference ability. In GNSS-R remote sensing research, polarization is also crucial.

The signals usually emitted by GNSS satellites are right-hand circularly polarized, and the polarization state changes after being reflected from the Earth's surface, containing rich information on the characteristics of the Earth's surface. For example, different types of surfaces have large differences in the reflection characteristics of polarized signals. Information coverage such as surface

roughness, vegetation height, and soil moisture can be obtained by analyzing the polarization changes of the reflected signals. It can be seen from the development of GNSS-R that the attention to its polarization characteristics is relatively weak. However, soil moisture can be estimated more accurately by comparing the parameters of the reflected signals under different polarization methods. Polarization can also distinguish different scattering mechanisms in GNSS-R remote sensing. By studying the changes in the polarization state, the signal scattering process can be better understood, providing a basis for establishing a more accurate scattering model of the Earth's surface.

In GNSS-R soil moisture remote sensing studies, specular reflection signals are frequently employed for inversion. Specifically, the effective reflectivity is identified within the DDM waveform, which is regarded as the specular scattering from the mirror reflection point and is subsequently utilized for inversion. However, on complex terrestrial surfaces, the direct signal incident from the navigation satellite is reflected by the ground, scattering energy in all directions. The rougher the surface, the less energy is reflected in a specular direction, with diffuse contribution. Nevertheless, research has indicated that in the process of soil moisture retrieval, the existing specular or backscattering energy that is optimal for inversion is not always available. Instead, employing noncoherent scattering under different observational geometries can effectively retrieve soil moisture. However, due to the initial limitations on GNSS-R observation data, effectively separating the noncoherent terms from the existing space-borne observed DDM waveform data seems to be challenging.

Therefore, it is important to focus on the polarization properties in GNSS-R soil moisture study, and there is a need to develop retrieval algorithms for single-frequency dual polarization with considerations of non-coherent scattering properties. The value of these properties for the final retrieval accuracy will also be provided in this paper. Due to the limited availability of spaceborne GNSS-R dual-polarization data, this paper aims to utilize airborne GNSS-R data from GLORI to conduct a preliminary study demonstrating the potential for soil moisture retrieval using dual polarizations [?]. To the best of our knowledge, GLORI represents the first instance in which a comprehensive dataset of GNSS-R observables, including reflectivity, incoherent component relative to the total scattering signal-to-noise ratio (SNR) for copolarized (right-right) and cross-polarized (right-left) measurements, has been made accessible.

II. Theoretical Methods and Data Description

A. Dual Polarization Reflectivity

For an ideal smooth surface, reflectivity is determined by the Fresnel reflection coefficient and the polarization mode of the incident signals. The Fresnel reflection coefficients for horizontal and vertical polarizations are as follows [?]:

While θ is the incidence angle, ε_r is the complex dielectric constant, and the subscripts h and v demonstrate the polarization state.

For perfectly smooth surfaces, the cross-polarization term can be disregarded. In the case of GNSS signals, the satellite transmission signal is RHCP, which can be interpreted as a linear combination of horizontal and vertical polarization components [?]. The equations for LR polarization reflectivity, provided below, demonstrate that it is a linear combination of the Fresnel reflectivity for vertical and horizontal polarizations [?].

As for bare soil, the surface reflectivity (SR) can be demonstrated as the following [?]:

While SR is the surface reflectivity, θ is the incidence angle, and ε_r is the dielectric constant. Meanwhile, Wu et al. have also developed random rough surface models for GNSS-R polarization study [?, ?]. For example, they proposed the LAGRS models for land surface parameters study, and one of the important components of the models is for bare soil study [?, ?]. In order to support future polarization GNSS-R payloads, random surface scattering models including RR polarization have also been proposed in their model. The scattering models in LAGRS-Soil have the ability to calculate the scattering properties at various polarizations, as shown in Figure 1 [Figure 1: see original paper] [?]. From the figure, we can see that the scattering properties vary at different polarizations. While SR is the specular reflectivity that is encompassed within the calculation capabilities of LAGRS-Soil (BRCS). For the retrieval algorithm development in this paper, we will use the scattering properties calculated from both Equations 1-4 and the LAGRS-Soil scattering properties [?].

For surfaces covered with vegetation, the ultimate surface reflectivity should be reduced by the vegetation layer, and the corresponding equations are provided below [?]:

where SR is the surface reflectivity, Γ is the Fresnel reflectivity, τ is the vegetation opacity depth, k is the free wavenumber, s is the rms height, and θ is the incidence angles at the specular directions.

B. Data Description

To the best of our knowledge, this marks the first instance in which a comprehensive dataset of GNSS-R observables (encompassing reflectivity, incoherent component relative to the total scattering signal-to-noise ratio (SNR) for copolarized (right-right) and cross-polarized (right-left) measurements) has been made accessible [?]. The GLORI campaigns were carried out in Catalonia, Spain, specifically over the Urgell region, which includes an agricultural area with two distinct components. The first segment relies on intensive irrigation, drawing water from the Pyrenees via the Urgell canal. The second segment comprises rain-fed agriculture and grassland. The specific locations of the land cover dataset and the in situ measurement dataset are illustrated in Figure 2 [Figure 2: see original paper].

The airborne dataset was derived from raw data collected during three flights

carried out using the French research ATR-42 aircraft in July 2021 (specifically, flights 45, 46, and 47, conducted on July 22nd, 27th, and 28th, respectively) over the Urgell site.

From the demonstration of Figure 3 [Figure 3: see original paper], it is evident that the surface reflectivity at LR polarization is slightly higher than that at RR polarization, with mean values of -11.98 and -18.83 dB, respectively. The dynamic range for surface reflectivity at LR polarization and RR polarization are -21.19 dB and -30.13 dB, respectively. Histograms for RMS height, LAI, and soil moisture content are depicted in Figure 4 [Figure 4: see original paper]. Given that RMS height is a crucial factor for soil moisture content correction and LAI offers insights into vegetation parameters, both will require correction during soil moisture retrieval. Statistical information for these three parameters is detailed in Table 1. The mean value for RMS height is 0.84 cm, with a mode value of 0.91 cm. As for LAI, the mean and mode values are 1.34 and 0.49, respectively. Both the mean and mode values for soil moisture content (smc) are 0.23.

III. Soil Moisture Retrieval

Since space-borne GNSS-R payloads are typically single-polarized, meaning that the GNSS-R receiver uses an LHCP antenna to capture Earth's surface-reflected signals, LR polarization has been used to extract geophysical parameters. Consequently, the retrieval algorithm for single-frequency single polarization is presented in this section. In the next section, the retrieval algorithm for single-frequency dual polarizations will be presented, along with a comparison between these two algorithms.

Artificial intelligence (AI) techniques offer new perspectives and solutions for addressing complex issues in the Earth system, thanks to their exceptional data processing capabilities and pattern recognition abilities. Neural networks have demonstrated remarkable capabilities in soil moisture retrieval with remote sensing data. In this section, ANN (Artificial Neural Networks) will be employed for the evaluations of the soil moisture retrieval algorithms, and the development of ANN algorithms are based on the equations provided in Section 2. The GLORI experiment encompasses a total of three airborne flight tests, namely Flight 45, 46, and 47. The available sample numbers obtained were 564, 622, and 760 respectively, totaling 1,946 data points. When using the following ANN algorithm for learning, 100 non-repeated numbers were randomly selected from them as the test set data, and the remaining 1,846 data were used for the training set.

A. Single Frequency and Single Polarization Retrieval

Equation 1-7 clearly shows that surface reflectivity is influenced by several factors, including soil moisture, surface roughness, and vegetation optical depth. These factors are crucial parameters that must be taken into account in the final retrieval. The quantitative analysis results are illustrated in the following

figures.

In Figure 5(a) [Figure 5: see original paper], it is evident that as the incidence angle (ranging from 0° to 30°) increases, the vegetation attenuation factor also increases. However, when the incidence angle exceeds 30° , the vegetation optical depth exhibits minimal impact on the incidence angle. Nevertheless, the effects of vegetation optical depth on the final attenuation factors are notably pronounced, with attenuation decreasing as the optical depth increases. The combined effects of soil moisture and vegetation optical depth are demonstrated in subfigures 5(b) and 5(c). From the aforementioned simulations, it is clear that the influences of soil moisture, vegetation optical depth, and surface roughness should all be taken into consideration in the subsequent development of the retrieval algorithm.

Figure 6 [Figure 6: see original paper] depicts single-frequency, single-polarization soil moisture retrieval using GLORI data. In the first row, retrieval is performed using the surface reflectivity of LR polarization, while in the second row, retrieval is conducted using RR polarization. In the first column, only surface reflectivity information is utilized, while in the second column, incidence angle is incorporated. In the third and fourth columns, surface roughness (rms height) and vegetation parameters (LAI) are employed for the retrieval.

The retrieval flowchart for the first line is presented in Figure 7(A) [Figure 7: see original paper], while that for the second line is displayed in Figure 7(B). In other words, the input layers for the different retrieval algorithms vary, and detailed information is provided in Table II. The table illustrates that as the input layers for training vary, the retrieval accuracy differs significantly. When surface roughness information and vegetation parameters are included in the training process, the root mean square error (RMSE) decreases. If only the surface reflectivity of LR polarization is used for training, the RMSE is 0.0700 (compared to 0.0681 for RR polarization, which is slightly better than using only LR polarization). However, when all the parameters mentioned above are employed, the retrieval accuracy (RMSE) for both polarizations can be as good as approximately 0.03.

B. Dual Polarization Retrieval

From the development of space-borne GNSS-R payloads, it is obvious that the properties of polarization for the surface reflected signals must be considered. With the theoretical equations, we simulate the properties of Fresnel reflectivity (square), bare soil surface reflectivity, and the total surface reflectivity. The detailed information is provided in Figure 8 [Figure 8: see original paper].

Figure 8 illustrates the relationship between the surface reflectivity of LR and RR polarizations. It is evident that for Fresnel reflectivity and bare soil conditions, the surface reflectivity of LR and RR polarizations is nearly identical. However, when vegetation is factored in, their relationship undergoes a signifi-

cant change compared to the previous scenarios. In the subsequent study, we will incorporate the theoretical simulations mentioned above.

The retrieval schematic for dual polarization is demonstrated in Figure 9 [Figure 9: see original paper]. The retrieval results for four cases utilizing two polarizations are shown. In the first case, only the surface reflectivity of LR polarization and RR polarization are taken into consideration, while the ratio of surface reflectivity for the two polarizations is considered for the second case. The root mean square error (RMSE) has not improved, with RMSE for Case 1 and Case 2 being 0.0695 and 0.0731, respectively. In the third case, as mentioned in our simulations, the observation geometry (incidence angles) is considered for the final retrieval, resulting in an improved retrieval accuracy with an RMSE of 0.0710. However, when the surface roughness (rms height) and vegetation parameters (LAI) are considered, their retrieval accuracy, as presented by RMSE, is 0.0556 and 0.0344, respectively. The detailed information for the soil moisture retrieval results are demonstrated in Figure 10 [Figure 10: see original paper] and the final retrieval accuracy was provided in Table II .

IV. Discussions

Although most of the present works related to soil moisture with GNSS-R techniques believed that the coherent scattering (that is, the surface reflectivity) dominates the GNSS-R scattering on land surface, noncoherent scattering properties have also gained increased interest in recent years for retrieval study. While GLORI is the first publicly available airborne dual polarization GNSS-R with the record of not only coherent scattering but also noncoherent scattering [?, ?], the corresponding information will be analyzed in this section.

Figure 11 [Figure 11: see original paper] presents the histogram of coherent scattering properties for airborne GLORI data, while the corresponding noncoherent scattering properties are shown in Figure 12 [Figure 12: see original paper]. Light colors in each subfigure indicate the LR polarization, while dark colors are the RR polarizations.

From Figure 11 and Figure 12, we can see that as for coherent scattering, the scattering properties at LR polarization are larger than those at RR polarization. However, this phenomenon is reversed for noncoherent scattering: the scattering properties at LR polarization are lower than those at RR polarization for the corresponding land surface types.

Utilizing the noncoherent scattering properties of GLORI data, soil moisture retrieval has been conducted, as presented in Table III . Each case corresponds to a different training layer. “NonCoh” signifies the non-coherent scattering properties, with respective subscripts “LR” or “RR” indicating their polarizations. θ represents the incidence angle, while LAI denotes vegetation information. Root Mean Square Error (RMSE) serves as an indicator of retrieval accuracy. The results reveal that as the input layers for training expand from solely surface reflectivity to include surface roughness and vegetation parameters, the accuracy

improves from an initial value of approximately 0.08 to about 0.03.

Initially, it was believed that the RR polarization of the reflected signals from the Earth's surface was too weak to be received. Therefore, LHCP polarizations of the antenna were employed and designed to isolate the direct signals of the GNSS constellation, whose signals were RHCP polarized, to reduce the effects of multipath signals. Meanwhile, the reflected signals from the Earth's surface were assumed to be from specular points, and the non-coherent scattering information was ignored. However, with the analysis of GLORI experiment data in this paper, we can observe that the reflected signals of RR polarization were indeed weaker than those of LR polarization. Nevertheless, they can be received. With the data of RR polarization and dual polarization (LR and RR), we carried out retrieval algorithms. The results showed that the retrieval accuracy with RR and dual polarization (LR and RR) was comparable to that of single polarization (LR polarization). This finding is significant for the future design of GNSS-R payloads. It suggests that the consideration of RR polarization, and potentially other polarizations, can improve the performance of GNSS-R soil moisture retrieval.

The retrieval with the non-coherent scattering properties also indicates that the non-coherent scattering energy should not be ignored. It should be received and utilized for soil moisture retrieval. The retrieval accuracy with the consideration of both coherent specular scattering and non-coherent scattering, which is recorded as the ratio of non-coherent scattering to total scattering energy, was comparable to that of algorithms that only considered specular scattering. These analysis results indicate that the scattering energy of non-coherent scattering should not be ignored in GNSS-R soil moisture retrieval. Future space-borne GNSS-R payloads should take this information into consideration.

With the increasing availability of polarization and scattering energy information, the hardware of GNSS-R payloads should be improved. This opens up new research avenues, and the corresponding retrieval algorithms are also suitable for deep learning approaches.

V. Conclusion

In recent years, the field of GNSS-R (Global Navigation Satellite System Reflectometry) has witnessed substantial progress, with a particular emphasis on polarization. Initially overlooked in GNSS-R research, polarization has now emerged as a critical area of exploration. Researchers are increasingly recognizing the potential of polarization to enhance the precision and accuracy of remote sensing measurements.

The application of dual polarization for single-frequency data, as demonstrated by airborne experiments such as GLORI, has opened up new avenues for investigation. Theoretical analyses have laid the groundwork for the development of sophisticated retrieval algorithms, leading to improved soil moisture estimation capabilities. By incorporating additional surface parameters, including surface

roughness and vegetation characteristics, researchers have observed a significant improvement in retrieval accuracy, as indicated by reduced RMSE (Root Mean Square Error) values.

Furthermore, comparative analyses of the retrieval accuracies between LR (Left-Right) and RR (Right-Right) polarizations have yielded promising results, suggesting potential for further refinement. Notably, the exploration of dual polarizations (LR and RR) has shown retrieval accuracies comparable to those achieved using a single polarization approach. This suggests that the consideration of dual polarization, in conjunction with factors such as surface roughness, LAI (Leaf Area Index), and incidence angle, holds significant promise for advancing soil moisture estimation within the GNSS-R framework.

These advancements underscore the growing importance of polarization in GNSS-R studies and point towards a promising future trajectory for research and practical applications.

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Note: Figure translations are in progress. See original paper for figures.

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