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# Discrimination of crop types with TerraSAR-X-derived information

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## Abstract

Although classification maps are required for management and for the estimation of agricultural disaster compensation, those techniques have yet to be established. This paper describes the comparison of three different classification algorithms for mapping crops in Hokkaido, Japan, using TerraSAR-X (including TanDEM-X) dual-polarimetric data. In the study area, beans, beets, grasslands, maize, potatoes and winter wheat were cultivated. In this study, classification using TerraSAR-X-derived information was performed. Coherence values, polarimetric parameters and

gamma nought values were also obtained and evaluated regarding their usefulness in crop classification. Accurate classification may be possible with currently existing supervised learning models. A comparison between the classification and regression tree (CART), support vector machine (SVM) and random forests (RF) algorithms was performed. Even though J-M distances were lower than 1.0 on all TerraSAR-X acquisition days, good results were achieved (e.g., separability between winter wheat and grass) due to the characteristics of the machine learning algorithm. It was found that SVM performed best, achieving an overall accuracy of 95.0% based on the polarimetric parameters and gamma nought values for HH and VV polarizations. The misclassified fields were less than 100 a in area and 79.5-96.3% were less than 200 a with the exception of grassland. When some feature such as a road or windbreak forest is present in the TerraSAR-X data, the ratio of its extent to that of the field is relatively higher for the smaller fields, which leads to misclassifications.

Keywords: classification, random forest, support vector machine, TerraSAR-X

## 1 1. Introduction

2 Crop type classification maps are useful for estimating the amount and type of crops  
3 harvested in a certain area or for determining agricultural disaster compensation. To managers  
4 in the agricultural field, the ability to generate crop type classification maps without concurrent  
5 training data is useful for reducing labour costs and eliminating the need for the preliminary

6 collection of information. Optical remote sensing is one of the most attractive options for obtaining  
7 biomass information, as currently available sensors offer fine spatial and spectral resolutions  
8 (Sarker and Nichol 2011). Some optical satellites such as the Landsat have also been used for crop  
9 type classification (Hartfield et al. 2013; Mishra and Crews 2014). A significant amount of  
10 information about soil and vegetation parameters has also been obtained by microwave remote  
11 sensing such as synthetic aperture radar (SAR) systems. The latter technique is seeing increased  
12 use in the management of land and water resources for agricultural applications (Fontanelli et  
13 al. 2013). This is because unlike passive systems, SAR systems are not subject to atmospheric  
14 influences or weather conditions, which makes them suitable for a multi-temporal classification  
15 approach (Bargiel and Herrmann 2011). An increasing amount of studies on rice monitoring and  
16 mapping is employing SAR data. The results of these studies have generally found that there are  
17 high correlations between backscattering coefficients, plant height and age. The backscattering  
18 coefficient is a function of the geometric and dielectric properties of the target and the amount of  
19 biomass in the cultivated areas, allowing the distinguishing of different types of temporal changes  
20 with multi-temporal SAR data. The first large backscatter intensity change occurs as a result of  
21 ploughing and seeding. Subsequent smaller changes are mainly due to variations of biomass and  
22 plant water content, or to changes in plant structure in the case of X-band SAR data. Harvesting  
23 causes large backscatter intensity changes. However, there are times when no backscatter  
24 intensity change is detected despite the presence of geometric changes, typically in areas of dense  
25 vegetation such as grassland (Macelloni et al., 2001). Coherence with repeat-pass SAR  
26 interferometry is useful for determining sensitivity to state changes in fields. Coherence decay  
27 due to crop growth has been observed, although smaller changes were connected to variations in

28 soil moisture and vegetation water content. These observations enhance the potential of InSAR  
29 coherence in the estimation of crop parameters during the growing season (Blaes and Defourny  
30 2003). When combined with texture parameters, coherence is useful for forest classification  
31 (Liesenberg and Gloaguen 2013). Accordingly, coherence clearly has potential in crop type  
32 classification, which was evaluated in the present study.

33 In this study, HH and VV polarization data of the X-band from TerraSAR-X was used.  
34 Following the launch of TerraSAR-X on June 15, 2007, X-band SAR data is now widely available.  
35 The objective of the TerraSAR-X mission was to develop an operational spaceborne X-band  
36 synthetic aperture radar (SAR) system to produce various processed data for commercial and  
37 scientific use. TerraSAR-X delivers X-band SAR data of high geometric accuracy at a high spatial  
38 resolution of 2.5-6 m in a 30 km swath in Stripmap mode (Ager and Bresnahan 2009).  
39 Polarimetric parameters are also available in this dataset.

40 Classification using polarimetric parameters has been performed in previous studies. Most  
41 studies have, however, focused on land use and land cover classification using quad-pol (fully  
42 polarimetric) SAR data (Liu et al. 2013; Loosvelt et al. 2012; Uhlmann and Kiranyaz 2014). In  
43 this study, crop classifications using the polarimetric parameters obtained from the TerraSAR-X  
44 dual-polarimetric data for HH and VV polarization were examined. The main objective was to  
45 evaluate the potential of Terra-SAR-X data for crop type classification and crop map generation,  
46 without the use of concurrent training data.

## 47 2. Data and methods

### 48 2.1. Study area and field work

49 The study area was a farming area in western Tokachi Plain, Hokkaido, Japan (extent:  
50 142°55'12" to 143°05'51"E, 42°52'48" to 43°02'42"N). In total, 5089 fields (1023 bean fields, 616

51 beet fields, 629 grasslands, 592 maize fields, 704 potato fields and 1525 winter wheat fields) were  
52 monitored using TerraSAR-X/TanDEM-X. Average field size was 220 a, ranging from 0.01 ha to  
53 18.0 ha. The cultivation calendar for the crops in this study area is shown in Table 1.

54 All fields were buffered inward by 10 m to account for field shape. The buffers were used to  
55 avoid selecting training pixels from the edge of a field, which would create a mixed signal and  
56 affect the accuracy assessment. We used a stratified random sampling approach to select  
57 approximately 20% of the crop fields for training samples. The number of samples for each crop  
58 type was determined based on the percentage of fields in the area. The remaining 80% of fields  
59 were used to perform the accuracy assessment. Table 2 represents the numbers of fields of each  
60 crop type.

## 61 2.2. SAR data

62 The whole processing workflow is illustrated in Figure 1. We used 16 scenes of TerraSAR-X and  
63 TanDEM-X data (Table 3) obtained as Single-look Slant range Complex (SSC) with dual-polarized  
64 StripMap mode (HH and VV polarization). The SARs used in this study area are side-looking  
65 SARs based on active phased array antenna technology. They are situated in a sun-synchronous  
66 dawn-to-dusk orbit with an 11 day cycle, at an altitude of 514 km above the equator (Roth et al.  
67 2004). When calculating coherence, only adjacent pairs were used, as it was found that InSAR  
68 quality was low if the time interval between subsequent observations was more than 22 days.

69 The two polarimetric parameters, average alpha angle and scattering entropy, were obtained  
70 using the European Space Agency's (ESA) PolSARpro SAR Data Processing Educational Tool  
71 (Pottier et al. 2009). They were orthorectified using the Alaska Satellite Facility's MapReady  
72 Remote Sensing Toolkit (Gens and Logan 2003), the 10 m mesh DEM produced by the Geospatial  
73 Information Authority of Japan (GSI) and the Earth Gravitational Model 2008 (EGM2008). The

74 PolSARPro was developed under contract to the ESA in response to recommendations made at  
75 the PolInSAR 2003 workshop in Frascati, Italy. The MapReady Remote Sensing Toolkit was  
76 developed by the Alaska Satellite Facility and exports data in GeoTIFF format. Its processing  
77 flow includes terrain correction of SAR data using a digital elevation model (DEM) to remove the  
78 distortions caused by the side-looking geometry, geocoding into a number of pre-defined standard  
79 map projections, and exporting in GeoTIFF format (Gens et al. 2013). To compensate for spatial  
80 variability and to avoid problems related to uncertainty in georeferencing, average values of SAR  
81 data were calculated for the fields and for each observation using field polygons (shape file format)  
82 provided by Tokachi Nosai (<http://www.tokachi-nosai.or.jp/>). These processes were conducted  
83 using ERDAS IMAGINE version 14.0 distributed by Intergraph Corporation.

#### 84 2.3. Classification algorithm and evaluation

85 Jeffries-Matusita (J-M) distances (Richards, 1999) were calculated to compare statistical  
86 separability among crop types. J-M distance measurements take values from 0 to 2.0 and indicate  
87 the degree to which the two selected crop types are statistically separated. As a general rule, if  
88 the J-M value is greater than 1.9, then separation is good. If the J-M is between 1.7 and 1.9 then  
89 separation is fairly good.

90 In earlier studies, the classification and regression tree (CART) algorithm was used to identify  
91 crops such as alfalfa, corn, cotton, grain, melon orchards and sorghum from Landsat Thematic  
92 Mapper (TM) image data (Hartfield et al. 2013). This algorithm achieved an overall accuracy of  
93 87–92% using data acquired in 2008. Using training data from one year and applying it to another  
94 year for classification purposes resulted in an overall accuracy of 71–83%, although accuracies  
95 were consistently greater than 85% for some crops. In addition to CART, two widely used  
96 supervised learning models – support vector machine (Bovolo et al. 2010; Foody and Mathur 2004;

97 Lizarazo 2008; Pal 2008) and random forest (Duro et al. 2012; Gislason et al. 2006; Kavzoglu and  
98 Colkesen 2013; Pal 2005; Rodriguez-Galiano et al. 2012) – were used in this study.

99 The Support Vector Machine algorithm is based on fitting a logistic distribution to the output  
100 values of the decision functions of classifiers and using quadratic optimization to obtain class  
101 probabilities (Chang et al. 2011). In this study, the Gaussian Radial Basis Function (RBF) kernel  
102 was applied. There are two parameters that control the flexibility of the classifier: the  
103 regularization parameter  $C$  and the kernel bandwidth  $\gamma$ . If the  $C$  value is too large, we have a  
104 high penalty for non-separable points and we may store many support vectors and over fit. If it is  
105 too small, we may have under fitting. It controls the trade-off between errors of the SVM on  
106 training data and margin maximization ( $C = \infty$  leads to hard margin SVM). The  $\gamma$  value defines  
107 how far the influence of a single training example reaches, with low values meaning ‘far’ and high  
108 values meaning ‘close’. Optimal parameters for flexibility control were determined through a grid  
109 search in the bivariate parameter space. The parameter space was discretized along  $2^x$ , where  $x$   
110 =  $-1$  to  $8$  for the regularization parameter  $C$  and  $x = -12$  to  $0$  for the kernel bandwidth  $\gamma$ . Both  
111 parameters were determined using the  $k$ -fold cross-validation technique. The grid search was  
112 used to minimize the misclassification error rate.  $K$ -fold cross-validation was also used to assess  
113 classifier performance (Puertas et al. 2013). This technique repeatedly generates training and  
114 test data sets from a reference sample with known land cover class membership. It is used for  
115 model validation and consists of partitioning the data into  $k$  equally-sized subsets (here,  $k = 10$ ).  
116 A classifier is trained on all except one of these subsets and then evaluated on the excluded subset.  
117 Accuracy measures are averaged over all test datasets.

118 The accuracy of land cover classification from the Random Forest (RF) technique from optical



119 imagery was superior to the results of the maximum likelihood classifier, which is one of the most  
120 common classification methods (Rodriguez-Galiano et al. 2012). RF is an ensemble learning  
121 technique that builds multiple trees based on random bootstrapped samples of the training data  
122 (Breiman 2001). Each tree is built using a different subset from the original training data,  
123 containing about two thirds of the cases, and the nodes are split using the best split variable out  
124 of a group of randomly selected variables (Liaw and Wiener 2002). This strategy provides  
125 robustness to over-fitting and can handle thousands of dependent and independent input  
126 variables without variable deletion. The output is determined by a majority vote of the trees. The  
127 two user-defined parameters are the number of trees ( $k$ ) and the number of variables used to split  
128 the nodes ( $m$ ). If the number of trees is increased, the generalization error always converges, and  
129 over-training is not a problem. On the other hand, a reduction in the number of predictor variables  
130 results in each individual tree of the model being weaker. Therefore, picking a large number of  
131 trees is recommended, as well as using the square root of the number of variables used to split  
132 the node for the value of  $m$  (Breiman 2001). The samples which are not present in the training  
133 subset are included as part of another subset called out-of-bag (OOB). These OOB elements, which  
134 are not considered for the training of the tree, can be classified by the tree to evaluate performance.  
135 The ratio between the misclassifications and the total number of OOB elements contributes an  
136 unbiased estimation of the generalization error (Rodriguez-Galiano et al. 2012). RF uses the Gini  
137 Index as a measure to identify the best split selection. This index measures the impurity of a  
138 given element with respect to the rest of the classes. Data with a higher Gini Index is more  
139 important for discrimination. By using a given combination of features, a decision tree can thus  
140 grow up to its maximum depth with no pruning. These classifications algorithms were applied

141 using the statistical software R (R Core Team 2013).

142 The classification maps were evaluated in terms of their overall accuracy (OA), producer's  
143 accuracy (PA), and user's accuracy (UA). Furthermore, measures of quantity disagreement (QD)  
144 and allocation disagreement (AD) were used for evaluation. The QD is defined as the difference  
145 between the reference data and the classified data based upon mismatch of class proportions. AD  
146 can be considered as the difference between the classified data and the reference data due to  
147 incorrect spatial allocations of pixels in the classification. The total disagreement is the sum of  
148 QD and AD (Baker et al, 2013; Pontius and Millones 2011). These measures are much more useful  
149 to summarize a cross-tabulation matrix than the kappa index of agreement. In order to compare  
150 the accuracy of classification methods, McNemar's test (Hartfield et al., 2013; McNemar 1947) or  
151 Z-test (Baker et al., 2012; Congalton and Green 2008; Laurin et al., 2013) were used. McNemar's  
152 test takes into account the use of no independent samples by focusing on how each point was  
153 either correctly or incorrectly classified in the two classifications being compared. A chi-squared  
154 value  $\geq 3.84$  indicates a significantly different overall accuracy between the two methods at the  
155 95% level of significance. The Z test offers two types of information. First, it determines whether  
156 the independently computed kappa is better than one from a random model. Second, it determines  
157 whether two independently computed kappas are significantly different (Benjankar et al., 2010).  
158 The value of Z score is an approximation of the standard normal deviate of 1.96 for the 95% two-  
159 sided confidence level. Since, the purpose is to reveal the best algorithm for crop type classification  
160 in this study, the Z-test was performed for a pairwise comparison of the proposed methods.

### 161 3. Results and discussion

#### 162 3.1. Time-Series plot of TerraSAR-X- derived information

163 Figure 2 shows the temporal patterns of the gamma nought values. A decrease in HH  
164 polarization was found from July 31 to August 11 (Figure 2 (a)). However, this was not found for  
165 VV polarization in the winter wheat fields (Figure 2 (b)). Although the growth stage was the  
166 period of maturity, most winter wheat plants suffered from lodging by a heavy rainfall (Figure  
167 3). It has been shown that the HH polarized wave penetrates a canopy more deeply than the VV  
168 polarized wave. Sonobe et al. (2014b) reported a depth of 59.3 cm for VV polarization and of 75.7  
169 cm for HH polarization in winter wheat. A decrease in the thickness of the canopy by lodging was  
170 thus connected to an increased influence of the topsoil in HH polarization compared to VV  
171 polarization in our results.

172 Figure 4 shows the temporal patterns of the coherence values. Coherence values in the period  
173 from late June to mid-August were low for both HH (Figure 4 (a)) and VV polarization (Figure 4  
174 (b)). Since crop body growth is most pronounced during this period, the satellite return frequency  
175 of 11 days was too long to maintain high complex correlation values. In addition, coherence in  
176 winter wheat fields and grassland showed low values ( $\sim 0.4$ ) until harvest season because the  
177 crops had been planted in the previous year.

178 Figure 5 shows the temporal patterns of the polarimetric parameters. Crops were mostly  
179 distributed over Z5 and Z6, which supports previous results. In potato fields, direct reflections  
180 from the pronounced furrow ridges (30–35 cm in height) resulted in a simple scattering pattern  
181 and a noticeable concentration of data in Z8. During early growth periods and post-harvest  
182 periods, bare soil fields increased in extent and data was distributed over Z8 in a similar manner.

183 The period from June 28 to July 9 was marked by only a small amount of precipitation (11 mm  
184 on June 4), causing desiccation and leading to a decrease in the height of sugar beet plants in  
185 spite of the growth period. As a result, the component of the surface scattering increase around  
186 July 9, leading to a decrease of entropy values and an increase in data distribution over Z8.

### 187 3.2. Separability assessments

188 Figure 6 presents the chronological changes for the J-M distance of gamma nought values. The  
189 data acquired from June 17 to September 24 was especially useful. Values for the pairs of beans-  
190 beet, beans-grassland, beans-wheat, beet-grassland, beet-maize, beet-potato, grassland-maize,  
191 grassland-potato, maize-wheat and potato-wheat were over 1.7. This separability was available  
192 for both polarizations (Figure 6 (a), (b)). In contrast, values were lower than 1.0 for beans-maize,  
193 beans-potato, grassland-wheat and maize-potato. These combinations were more difficult to  
194 separate in single polarization data acquired on a specific observation day. A decrease in the J-M  
195 distance for many crop combinations was observed due to the rainfall on July 31.

196 Figure 7 presents the chronological changes in the J-M distance of the coherence values. Values  
197 were lower than for gamma nought and at no point larger than 1.0 for beans-beet, beans-grassland,  
198 beans-maize, beans-potato, beans-grassland, beet-maize, beet-potato, beet-wheat, grassland-  
199 maize, grassland-potato, grassland-wheat, maize-potato, maize-wheat and potato-wheat, for both  
200 polarizations (Figure 7 (a) and (b)). In the growth period, coherence values were low for all six  
201 crop types due to their high crop height and elongation.

202 Figure 8 presents the chronological changes for the J-M distance of the polarimetric parameters.  
203 The values for entropy (Figure 8 (b)) showed slightly better separability than those for averaged  
204 alpha angle (Figure 8 (a)). It is likely that the proportions of the scattering patterns from plant  
205 bodies were changed with the growth of the crops, although the types of scattering patterns were

206 relatively constant during the growth period. The low selectivity of the average alpha angle for  
207 the last growth period was caused by the approximately equal scattering pattern observed for all  
208 crops. The average alpha angle value observed from May 15 to August 31 was particularly  
209 effective for classification. Some J-M distances for beans-winter wheat, sugar beet-winter wheat,  
210 corn-winter wheat, and potato-winter wheat were larger, yet always below 1.7. A similar tendency  
211 was seen for the entropy values and for the separabilities between beans-maize, beans-potato and  
212 grassland-winter wheat.

### 213 3.3. Parameters of Classifiers

214 The application of SVM and RF required parameter tunings. For SVM, the optimal values of  
215 the two parameters, C and  $\gamma$ , were examined. Figure 9 shows the relationship between these two  
216 parameters and the averaged error rate calculated using a 10-fold cross validation. This includes  
217 (a) gamma nought, (b) coherence, (c) polarimetric parameters (averaged alpha angle and entropy),  
218 (d) the combination of gamma nought and coherence, (e) the combination of gamma nought and  
219 polarimetric parameters and (f) the combination of gamma nought, coherence, and polarimetric  
220 parameters. In this study, the  $\gamma$  values influenced more than the C values. The optimal parameter  
221 pairs were  $(2^{-10}, 2^8)$  for (a),  $(2^{-6}, 2^3)$  for (b),  $(2^{-5}, 2^0)$  for (c),  $(2^{-7}, 2^3)$  for (d),  $(2^{-8}, 2^2)$  for (e) and  $(2^{-8}, 2^1)$  for (f). Since the error rate of (b) was relatively high, the colour scale differs from others.  
222 The higher accuracy observed in the central range of C and  $\gamma$  indicates that nearly the same power  
223 combination is suitable except (b). Visually, the difference of the distributions is not clear between  
224 (e) and (f) and that may imply there is no advantage of adding coherence to gamma nought and  
225 polarimetric parameters.  
226

227 When applying the RF technique, increasing the number of trees causes the generalization  
228 error to converge; thus over-training is not a problem (Breiman 1996). Figure 10 indicates that

229 the minimum useful number of trees is approximately 50. In this study, 50 was chosen as the  
230 number of trees for all cases. The number of trees should be taken large enough in order to allow  
231 for convergence of the OOB error, especially, in case of the separabilities are low for the inputs.  
232 Since the number of trees was a fourth part of some studies using multispectral SPOT 5 image  
233 (Ok et al., 2012) or EMISAR imagery (Loosvelt et al., 2012), a stable accuracy can be expected  
234 from the classification using the multitemporal TerraSAR-X dual-polarimetric data. Figure 11  
235 shows the relative importance of the contribution to the RF classification model for the  
236 combination of gamma nought, coherence and polarimetric parameters. According to the Gini  
237 index, the features with the greatest contribution to the classification model were the data that  
238 were acquired from June to August. In this period, all types of crops were cultivated and the  
239 influence of the soil could be ignored for all fields, while the SAR data had a high sensitivity to  
240 soil moisture or roughness due to sparse vegetation cover before June (seedlings or transplanting  
241 of beans, beet and maize) and after August (the harvest season of winter wheat). Coherence was  
242 of low importance, while gamma nought and polarimetric parameters were particularly effective  
243 for classification.

#### 244 3.4. Accuracy Validation

245 The corresponding confusion matrices of classifications using TerraSAR-X data are given in  
246 Table 4. For all algorithms, classification results of (e) were superior to the other combinations.  
247 When coherence was added to gamma nought, overall accuracy increased from 89.7% to 90.5%.  
248 When coherence was added to gamma nought and polarimetric values, overall accuracy increased  
249 from 93.8 to 94.4. Furthermore, the OOB error decreased (Figure 9). However, the advantages of  
250 using coherence were not confirmed at the 95% level of significance.

251 In all of the information derived from the TerraSAR-X data and algorithms used in this study,

252 the discrimination precision for winter wheat and sugar beet were higher than for the other four  
253 kinds of crops. Even though J-M distances were lower than 1.0 on all TerraSAR-X acquisition  
254 days, good results were achieved (e.g., separability between winter wheat and grass) due to the  
255 characteristics of the machine learning algorithm. When the coherence data were used, overall  
256 accuracy was 75.7% for SVM, 77.0% for RF and 68.5% for CART, respectively, which is lower than  
257 the accuracy for the other TerraSAR-X-derived information. On the other hand, an overall  
258 accuracy of more than 90% was confirmed for applying SVM to backscattering coefficient, and  
259 SVM or RF to polarimetric parameters. This supports the separability results discussed in the  
260 previous section. In addition, PA and UA for maize were lower than for other crops. This result  
261 agrees with an earlier study which applied RF to backscattering coefficient (Sonobe et al. 2014a).  
262 Using polarimetric parameters did however lead to improvements in precision. For all algorithms,  
263 classification results using gamma nought and polarimetric parameters were superior to those  
264 using other parameters. No advantages of using coherence were confirmed.

### 265 3.5. Statistical comparison

266 A Z-test was used to compare classification accuracy among the different types of TerraSAR-X-  
267 derived information. Table 5 (a) shows the results for CART, Table 5 (b) for SVM and Table 5 (c)  
268 for RF. To be significantly different at the 95% confidence level, the absolute value of the Z score  
269 should be  $>1.96$ , and this happened for 11 inputs out of 15 using CART, 12 inputs out of 15  
270 using SVM and 13 inputs out of 15 using RF. Except RF, the differences between the  
271 classification results of gamma nought, and that of polarimetric parameters were not  
272 meaningful. And There are no meaningful differences between the classification results of  
273 gamma nought and that of gamma nought and coherence except CART.

274 Furthermore, no meaningful differences were observed between the classification results  
275 using all TerraSAR-X-derived information and those using gamma nought and polarimetric  
276 parameters only for all algorithms. The applicability of coherence in crop classification therefore  
277 remains unclear, while the combination of gamma nought and polarimetric parameters appears  
278 to be effective for this purpose.

279 A Z-test was also used to compare the accuracy of the classification results for each classification  
280 technique when gamma nought and polarimetric parameters were used. Z-scores are shown in  
281 Table 6. Results indicate that the SVM classifier using gamma nought and polarimetric  
282 parameters provided the highest quality crop classification map in this study area. Figure 12  
283 shows the crop classification map, with misclassified fields outlined in red. The most of the  
284 misclassifications happened in the small fields. Since grasslands have large area and more  
285 grasslands were located in the northern part, more misclassifications were observed in the  
286 southern part than in the northern part. There were 202 misclassified fields, consisting of 55 bean  
287 fields (6.7% of total beans fields in the test data), 17 sugar beet fields (3.4%), 20 grasslands (4.0%),  
288 39 maize fields (8.2%), 32 potato fields (5.7%) and 39 winter wheat fields (3.2%). Figure 13 shows  
289 the relationship between field area and misclassified field. 43.6–62.5% of the misclassified fields  
290 were less than 100 a in area and 79.5–96.3% were less than 200 a (with the exception of grassland).  
291 When some feature such as a road or windbreak forest is present in the TerraSAR-X data, the  
292 ratio of its extent to that of the field is relatively higher for the smaller fields, which leads to  
293 misclassifications. However, misclassifications were found in fields larger than 222 a (the mean  
294 of included field areas), and were outstanding for grassland in particular. After the harvest of  
295 grass, roll veils are often left in the fields and may cause strong directional reflection, which leads



296 to high gamma nought values. Furthermore, harvesting periods varied among grassland fields,  
297 causing unevenness in growth and influencing scattering patterns.

#### 298 4. Conclusions

299 Analytical techniques using SAR data include interferometric SAR and polarimetric SAR in  
300 addition to the use of backscattering coefficients such as gamma nought. These techniques are  
301 capable of acquiring information about the shape and changes of a target area by employing multi-  
302 temporal SAR data. This study demonstrated the great potential of TerraSAR-X HH and VV  
303 polarization data operated in StripMap mode for agricultural applications. Sixteen acquisitions  
304 and their corresponding gamma nought, averaged alpha angle and scattering entropy values were  
305 analyzed together with *in situ* measurements. The high sensitivity of gamma nought to crop  
306 height was demonstrated statistically for beans, beet and maize. In addition, comparisons were  
307 conducted among the CART, SVM and RF algorithms. The SVM classifier using gamma nought  
308 and polarimetric parameters was found to be able to generate the best crop classification map of  
309 the monitored study area with an overall accuracy of 95.0%.

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418

419 Table

420 **Table 1. Cultivation calendar for the crops in this study area.**

421 **Table 2 Crop type and number of fields.**

422 **Table 3 Characteristics of the satellite data.**

423 **Table 4 Accuracy results.**

424 **Table 5 Z-test results for TerraSAR-X-derived information.**

425 **Table 6 Z-test results for CART, SVM and RF.**

426

427 Figure

428 **Figure 1 Overview of the data processing.**

429 **Figure 2 Temporal variation of gamma nought values.**

430 **Figure 3 Damaged winter wheat field. Photographed on August 1, 2013**

431 **Figure 4 Temporal variation of gamma coherence.**

432 **Figure 5 Temporal variation of polarimetric parameters.**

433 **Figure 6 Jeffries-Matusita distances for gamma nought.**

434 **Figure 7 Jeffries-Matusita distances for coherence.**

435 **Figure 8 Jeffries-Matusita distances for polarimetric parameters**

436 **Figure 9 Results of 10-fold cross-validation for SVM classification of the training data.**

437 **Figure 10 Relationships between number of trees and error rate for OOB samples.**

438 **Figure 11 Importance of data acquisition date based on Gini measures.**

439 **Figure 12 Crop classification map.**

440 **Figure 13 Relationship between field area and misclassified fields.**

441 Table 1. Cultivation calendar for the crops in this study area.

|           |       | May                         |                                | June                |      | July  |     |      | August                  |     |                      | September |     |      | October |     |            |
|-----------|-------|-----------------------------|--------------------------------|---------------------|------|-------|-----|------|-------------------------|-----|----------------------|-----------|-----|------|---------|-----|------------|
|           |       | late                        | early                          | mid                 | late | early | mid | late | early                   | mid | late                 | early     | mid | late | early   | mid | late       |
| Beans     | Azuki | sowing                      |                                | sprouting           |      |       |     |      |                         |     |                      |           |     |      |         |     | harvesting |
|           | Soy   | sowing                      |                                | sprouting           |      |       |     |      |                         |     |                      |           |     |      |         |     | harvesting |
| Beet      |       |                             |                                |                     |      |       |     |      |                         |     |                      |           |     |      |         |     | harvesting |
| Grassland |       |                             | appearance of<br>ears of grain | first<br>harvesting |      |       |     |      |                         |     | second<br>harvesting |           |     |      |         |     |            |
| Maize     |       | sowing                      |                                |                     |      |       |     |      | appearance<br>of tassel |     |                      |           |     |      |         |     | harvesting |
| Potato    |       | planting                    |                                | sprouting           |      |       |     |      |                         |     |                      |           |     |      |         |     | harvesting |
| Wheat     |       | appearance of ears of grain |                                |                     |      |       |     |      |                         |     |                      |           |     |      |         |     | harvesting |

442

443



444 Table 2 Crop type and number of fields.

| Crop type | No. of fields |           |
|-----------|---------------|-----------|
|           | Training data | Test data |
| Beans     | 205           | 818       |
| Beet      | 122           | 494       |
| Grassland | 126           | 503       |
| Maize     | 119           | 473       |
| Potato    | 141           | 563       |
| Wheat     | 304           | 1221      |

445

446 Table 3 Characteristics of the satellite data.

| Satellite  | Acquisition                              | Precipitation (mm) |
|------------|--|--------------------|
| TerraSAR-X | 15 May, 2013 08:21'26.021410" (UTC)      | 0.0                |
| TerraSAR-X | 26 May, 2013 08:21'27.113650" (UTC)      | 0.0                |
| TerraSAR-X | 06 June, 2013 08:21'26.972120" (UTC)     | 0.0                |
| TerraSAR-X | 17 June, 2013 08:21'28.577500" (UTC)     | 3.5                |
| TerraSAR-X | 28 June, 2013 08:21'29.086800" (UTC)     | 0.0                |
| TerraSAR-X | 09 July, 2013 08:21'29.596490" (UTC)     | 0.0                |
| TanDEM-X   | 20 July, 2013 08:21'30.468880" (UTC)     | 0.0                |
| TerraSAR-X | 31 July, 2013 08:21'31.124660" (UTC)     | 9.0                |
| TanDEM-X   | 11 August, 2013 08:21'32.229560"(UTC)    | 0.0                |
| TanDEM-X   | 22 August, 2013 08:21'32.437250"(UTC)    | 0.0                |
| TanDEM-X   | 02 September, 2013 08:21'32.815840"(UTC) | 0.5                |
| TanDEM-X   | 13 September, 2013 08:21'33.421140"(UTC) | 0.0                |
| TanDEM-X   | 24 September, 2013 08:21'33.753040"(UTC) | 0.0                |
| TanDEM-X   | 05 October, 2013 08:21'33.544700"(UTC)   | 0.0                |
| TanDEM-X   | 16 October, 2013 08:21'33.901930"(UTC)   | 55.0               |
| TanDEM-X   | 27 October, 2013 08:21'33.731850"(UTC)   | 0.0                |

447

448 Table 4 Accuracy results.

|                         |                     | TerraSAR-X-derived information |        |        |        |        |       |
|-------------------------|---------------------|--------------------------------|--------|--------|--------|--------|-------|
|                         |                     | (a)                            | (b)    | (c)    | (d)    | (e)    | (f)   |
| CART                    | Producer's accuracy |                                |        |        |        |        |       |
|                         | Beans               | 0.811                          | 0.660  | 0.774  | 0.812  | 0.779  | 0.779 |
|                         | Beet                | 0.877                          | 0.583  | 0.739  | 0.891  | 0.866  | 0.866 |
|                         | Grasslands          | 0.783                          | 0.640  | 0.819  | 0.783  | 0.839  | 0.783 |
|                         | Maize               | 0.385                          | 0.641  | 0.662  | 0.622  | 0.721  | 0.721 |
|                         | Potato              | 0.785                          | 0.474  | 0.796  | 0.760  | 0.824  | 0.824 |
|                         | Wheat               | 0.947                          | 0.875  | 0.916  | 0.947  | 0.927  | 0.943 |
|                         | User's accuracy     |                                |        |        |        |        |       |
|                         | Beans               | 0.674                          | 0.684  | 0.835  | 0.733  | 0.934  | 0.934 |
|                         | Beet                | 0.846                          | 0.539  | 0.713  | 0.840  | 0.738  | 0.738 |
|                         | Grasslands          | 0.881                          | 0.638  | 0.715  | 0.881  | 0.823  | 0.876 |
|                         | Maize               | 0.611                          | 0.649  | 0.751  | 0.724  | 0.683  | 0.683 |
|                         | Potato              | 0.781                          | 0.599  | 0.736  | 0.818  | 0.776  | 0.776 |
|                         | Wheat               | 0.913                          | 0.803  | 0.932  | 0.913  | 0.943  | 0.912 |
|                         | Overall accuracy    | 0.803                          | 0.685  | 0.808  | 0.829  | 0.841  | 0.839 |
| Kappa                   | 0.754               | 0.608                          | 0.762  | 0.787  | 0.804  | 0.801  |       |
| Allocation disagreement | 14.023              | 27.824                         | 15.864 | 13.089 | 12.058 | 11.469 |       |
| Quantity disagreement   | 5.673               | 3.708                          | 3.364  | 4.003  | 3.856  | 4.641  |       |
| SVM                     | Producer's accuracy |                                |        |        |        |        |       |
|                         | Beans               | 0.885                          | 0.707  | 0.916  | 0.883  | 0.933  | 0.930 |
|                         | Beet                | 0.955                          | 0.684  | 0.949  | 0.964  | 0.966  | 0.970 |
|                         | Grasslands          | 0.954                          | 0.875  | 0.924  | 0.952  | 0.960  | 0.962 |
|                         | Maize               | 0.850                          | 0.628  | 0.873  | 0.801  | 0.918  | 0.896 |
|                         | Potato              | 0.897                          | 0.584  | 0.929  | 0.883  | 0.943  | 0.945 |
|                         | Wheat               | 0.965                          | 0.903  | 0.963  | 0.964  | 0.968  | 0.970 |
|                         | User's accuracy     |                                |        |        |        |        |       |
|                         | Beans               | 0.894                          | 0.686  | 0.949  | 0.876  | 0.951  | 0.952 |
|                         | Beet                | 0.940                          | 0.788  | 0.929  | 0.939  | 0.968  | 0.964 |
|                         | Grasslands          | 0.894                          | 0.653  | 0.891  | 0.907  | 0.918  | 0.905 |
|                         | Maize               | 0.846                          | 0.686  | 0.892  | 0.810  | 0.891  | 0.922 |
|                         | Potato              | 0.923                          | 0.751  | 0.899  | 0.907  | 0.943  | 0.925 |
|                         | Wheat               | 0.981                          | 0.877  | 0.971  | 0.983  | 0.984  | 0.982 |
|                         | Overall accuracy    | 0.924                          | 0.757  | 0.932  | 0.916  | 0.950  | 0.949 |
| Kappa                   | 0.906               | 0.699                          | 0.916  | 0.896  | 0.939  | 0.937  |       |
| Allocation disagreement | 6.557               | 18.615                         | 5.599  | 7.318  | 4.052  | 3.954  |       |
| Quantity disagreement   | 1.081               | 5.648                          | 1.203  | 1.081  | 0.909  | 1.154  |       |

|    |                         |       |        |       |       |       |       |
|----|-------------------------|-------|--------|-------|-------|-------|-------|
|    | Producer's accuracy     |       |        |       |       |       |       |
|    | Beans                   | 0.880 | 0.713  | 0.910 | 0.892 | 0.936 | 0.932 |
|    | Beet                    | 0.939 | 0.700  | 0.911 | 0.943 | 0.945 | 0.955 |
|    | Grasslands              | 0.920 | 0.795  | 0.909 | 0.920 | 0.938 | 0.940 |
|    | Maize                   | 0.710 | 0.634  | 0.871 | 0.738 | 0.869 | 0.892 |
|    | Potato                  | 0.876 | 0.680  | 0.913 | 0.888 | 0.927 | 0.934 |
|    | Wheat                   | 0.962 | 0.921  | 0.972 | 0.964 | 0.969 | 0.975 |
|    | User's accuracy         |       |        |       |       |       |       |
| RF | Beans                   | 0.824 | 0.725  | 0.916 | 0.828 | 0.932 | 0.944 |
|    | Beet                    | 0.939 | 0.826  | 0.922 | 0.961 | 0.967 | 0.967 |
|    | Grasslands              | 0.897 | 0.760  | 0.903 | 0.911 | 0.909 | 0.920 |
|    | Maize                   | 0.787 | 0.713  | 0.888 | 0.837 | 0.873 | 0.881 |
|    | Potato                  | 0.901 | 0.654  | 0.915 | 0.891 | 0.934 | 0.933 |
|    | Wheat                   | 0.968 | 0.854  | 0.957 | 0.966 | 0.971 | 0.975 |
|    | Overall accuracy        | 0.897 | 0.770  | 0.924 | 0.905 | 0.938 | 0.944 |
|    | Kappa                   | 0.872 | 0.714  | 0.906 | 0.882 | 0.924 | 0.931 |
|    | Allocation disagreement | 8.644 | 19.524 | 7.024 | 7.809 | 5.673 | 5.133 |
|    | Quantity disagreement   | 1.694 | 3.463  | 0.540 | 1.694 | 0.491 | 0.442 |

449 Note: (a) gamma nought, (b) coherence, (c) polarimetric parameters (averaged alpha angle and  
450 entropy), (d) the combination of gamma nought and coherence, (e) the combination of gamma  
451 nought and polarimetric parameters and (f) the combination of gamma nought, coherence, and  
452 polarimetric parameters.  
453

454 Table 5 Z-test results for TerraSAR-X-derived information.

| CART                                      |     |       |       |       |       |       |
|---|-----|-------|-------|-------|-------|-------|
|   | (a) | (b)   | (c)   | (d)   | (e)   | (f)   |
| gamma nought                              |     | 12.98 | 0.76  | 3.19  | 4.86  | 4.54  |
| coherence                                 |     |       | 13.76 | 16.21 | 17.95 | 17.62 |
| polarimetric parameters                   |     |       |       | 2.44  | 4.10  | 3.78  |
| gamma nought +<br>coherence               |     |       |       |       | 1.65  | 1.34  |
| gamma nought +<br>polarimetric parameters |     |       |       |       |       | 0.32  |
| SVM                                       |     |       |       |       |       |       |
|   | (a) | (b)   | (c)   | (d)   | (e)   | (f)   |
| gamma nought                              |     | 21.83 | 1.47  | 1.28  | 5.03  | 4.72  |
| coherence                                 |     |       | 23.25 | 20.57 | 26.61 | 26.33 |
| polarimetric parameters                   |     |       |       | 2.75  | 3.57  | 3.26  |
| gamma nought +<br>coherence               |     |       |       |       | 6.30  | 5.99  |
| gamma nought +<br>polarimetric parameters |     |       |       |       |       | 0.31  |
| RF  |     |       |       |       |       |       |
|   | (a) | (b)   | (c)   | (d)   | (e)   | (f)   |
| gamma nought                              |     | 16.12 | 4.45  | 1.27  | 6.97  | 8.09  |
| coherence                                 |     |       | 20.51 | 17.38 | 22.95 | 24.03 |
| polarimetric parameters                   |     |       |       | 3.18  | 2.54  | 3.68  |
| gamma nought +<br>coherence               |     |       |       |       | 5.71  | 6.83  |
| gamma nought +<br>polarimetric parameters |     |       |       |       |       | 1.14  |

455 Note: (a) gamma nought, (b) coherence, (c) polarimetric parameters (averaged alpha angle and  
456 entropy), (d) the combination of gamma nought and coherence, (e) the combination of gamma  
457 nought and polarimetric parameters and (f) the combination of gamma nought, coherence, and

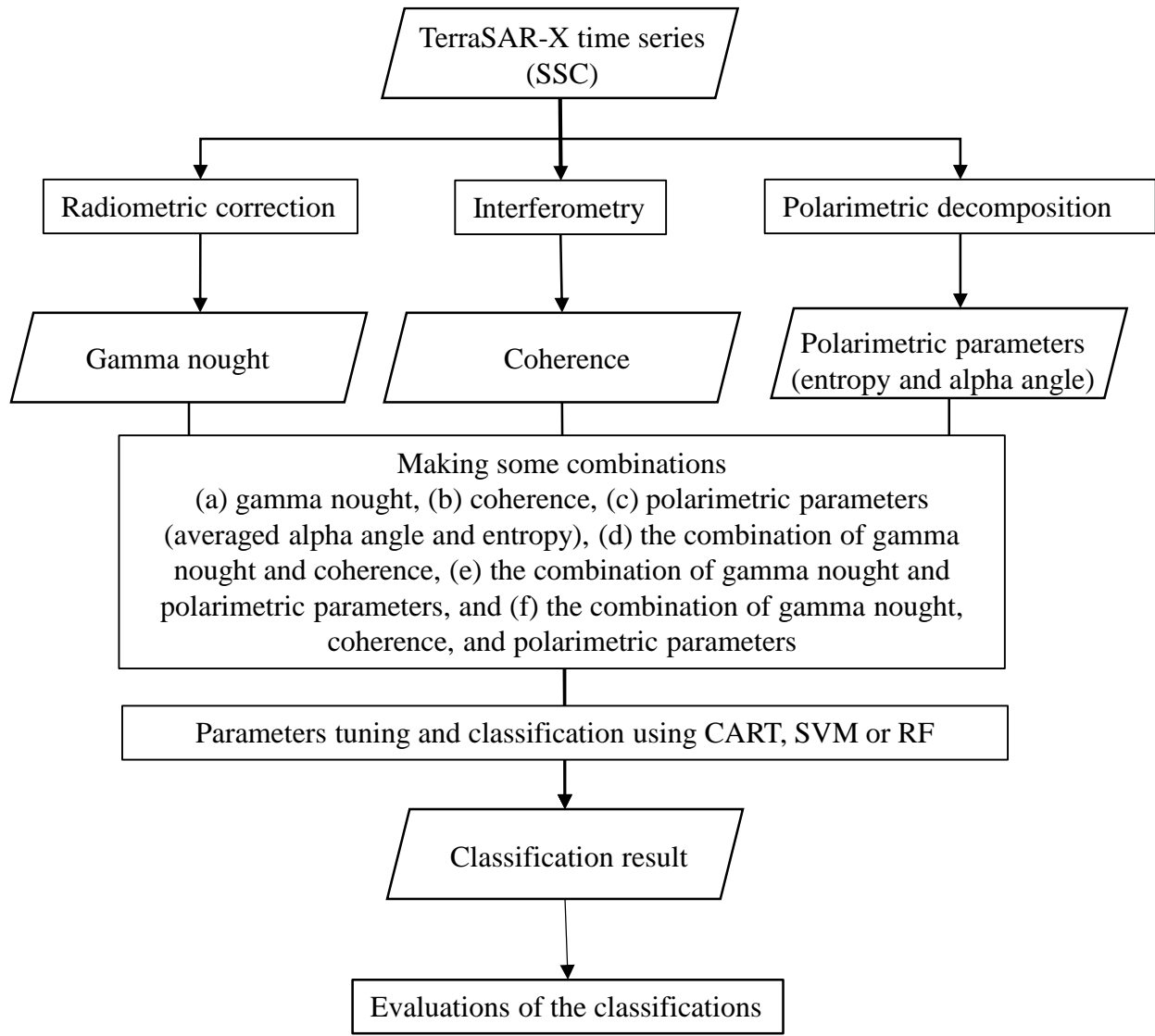
458 polarimetric parameters.

459

460 Table 6 Z-test results for CART, SVM and RF.

|      | SVM | RF   | CART  |
|------|-----|------|-------|
| SVM  |     | 2.40 | 16.76 |
| RF   |     |      | 14.46 |
| CART |     |      |       |

461

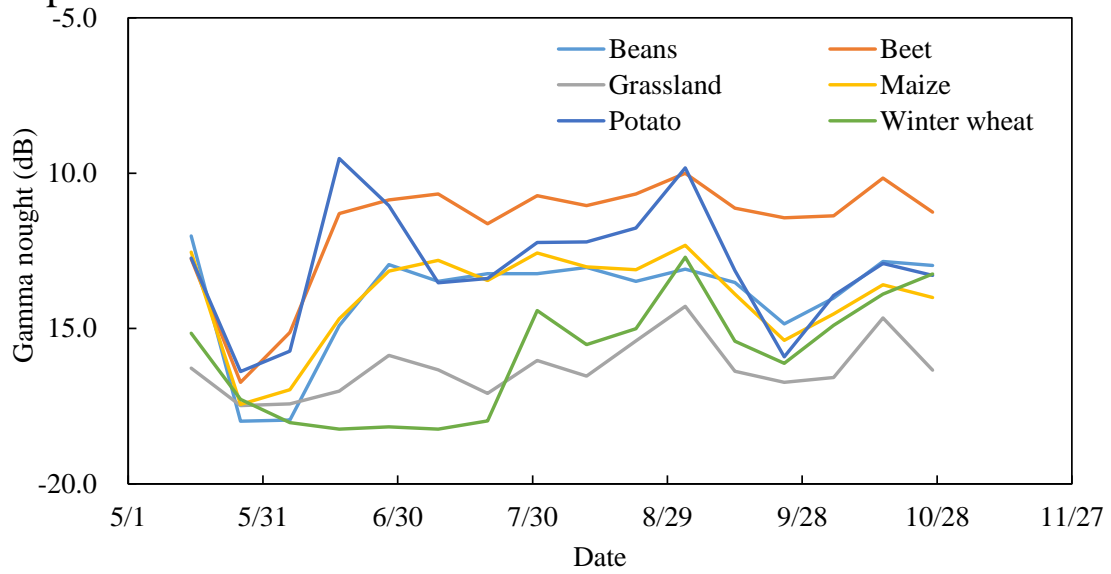


462

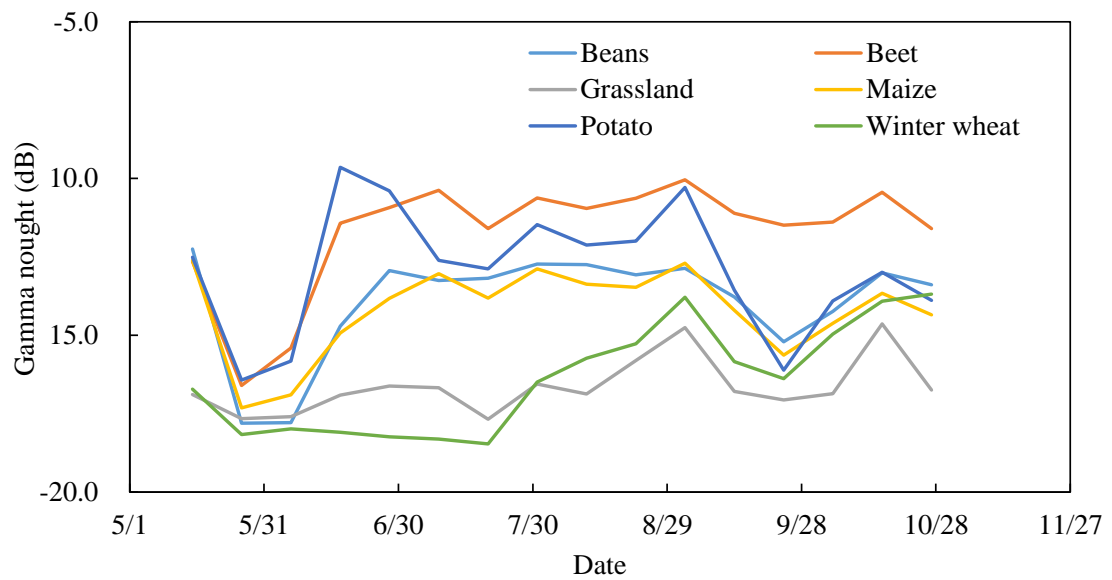
463 Figure 1. Overview of the data processing.



(a) HH polarization



(b) VV polarization



464

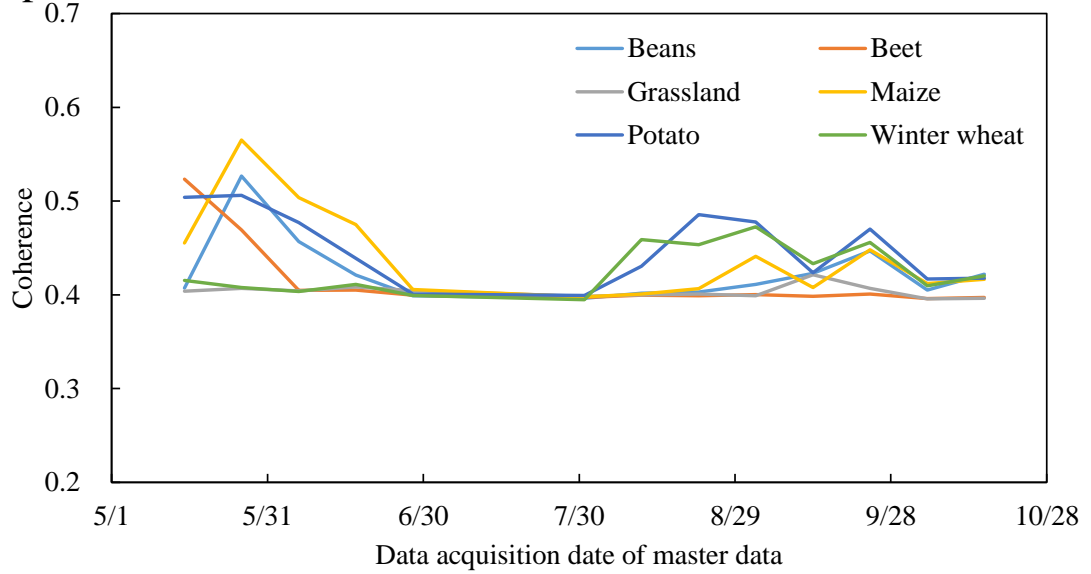
465 Figure 2 Temporal variation of gamma nought values.



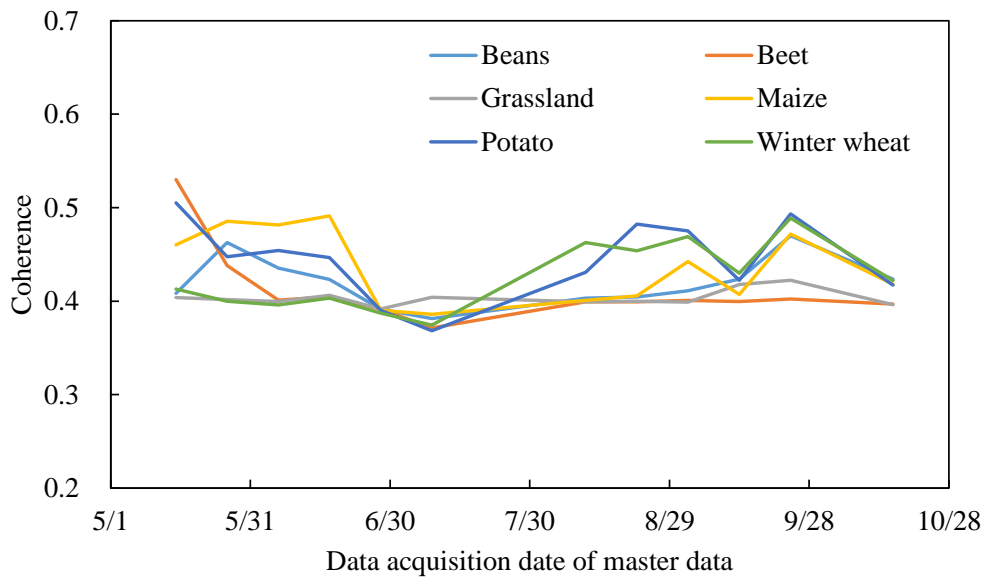
466

467 Figure 3 Damaged winter wheat field. Photographed on August 1, 2013

(a) HH polarization

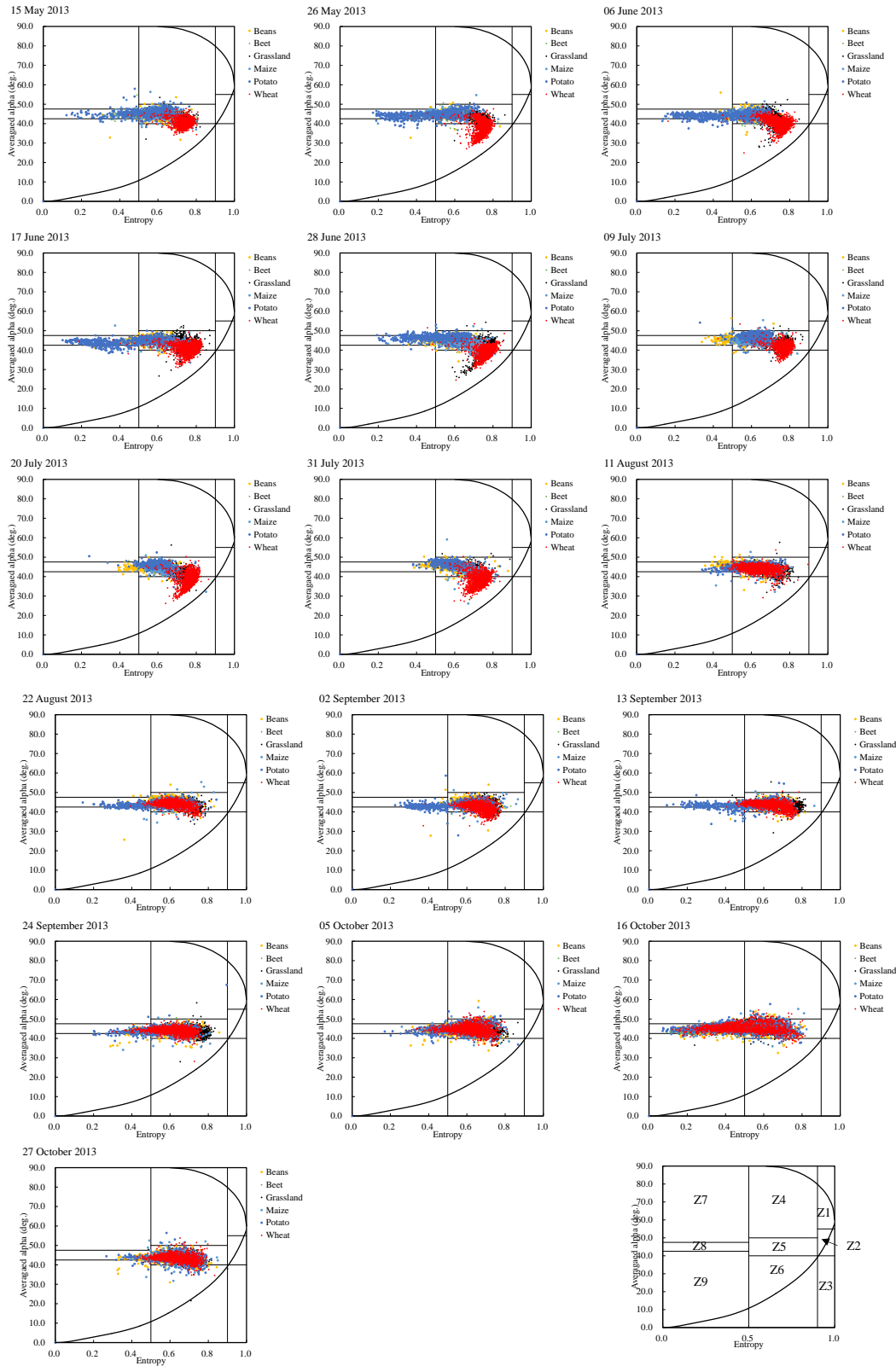


(b) VV polarization



468

469 Figure 4 Temporal variation of coherence.



470

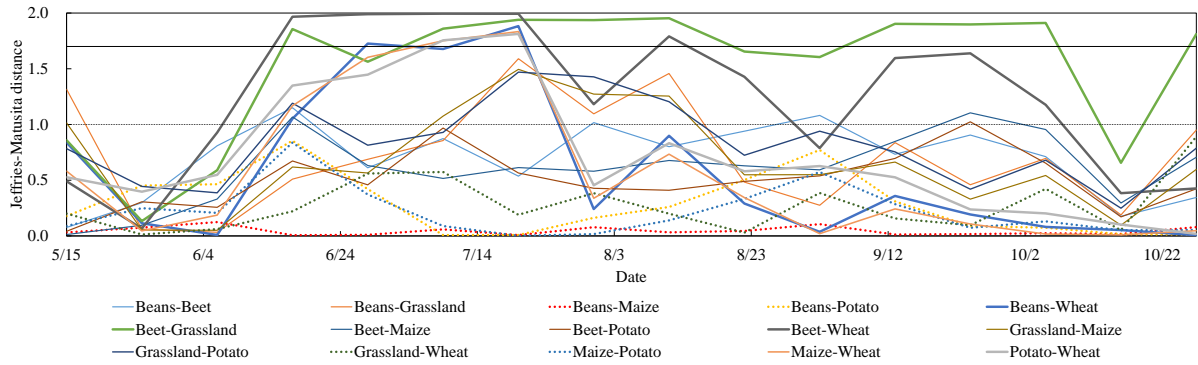
471

472

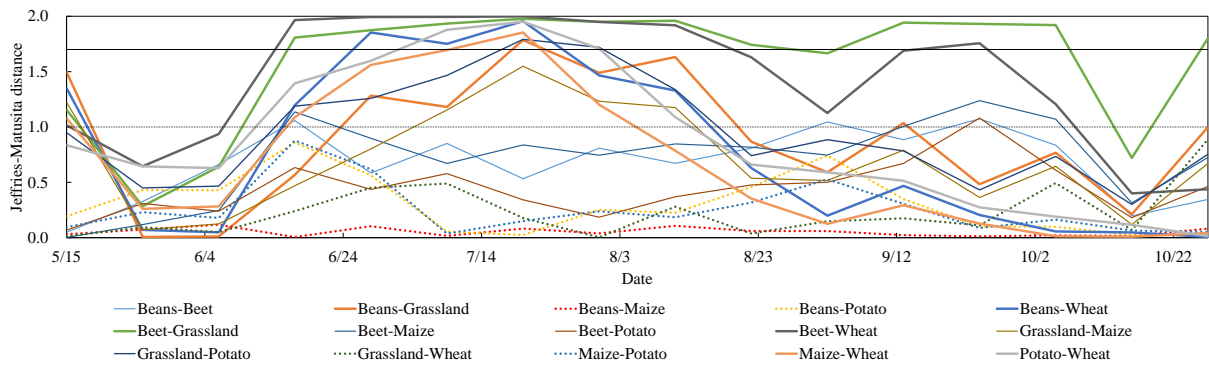
473

Figure 5 Temporal variation of polarimetric parameters.

(a) HH polarization



(b) VV polarization



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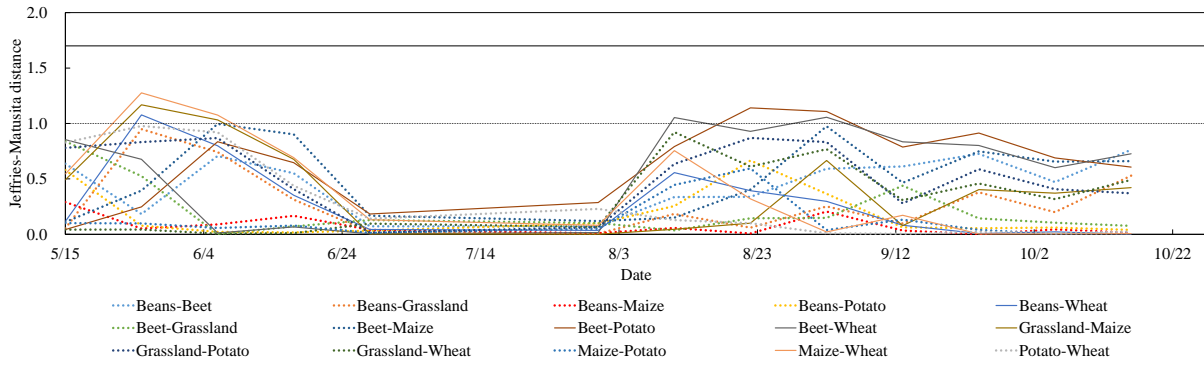
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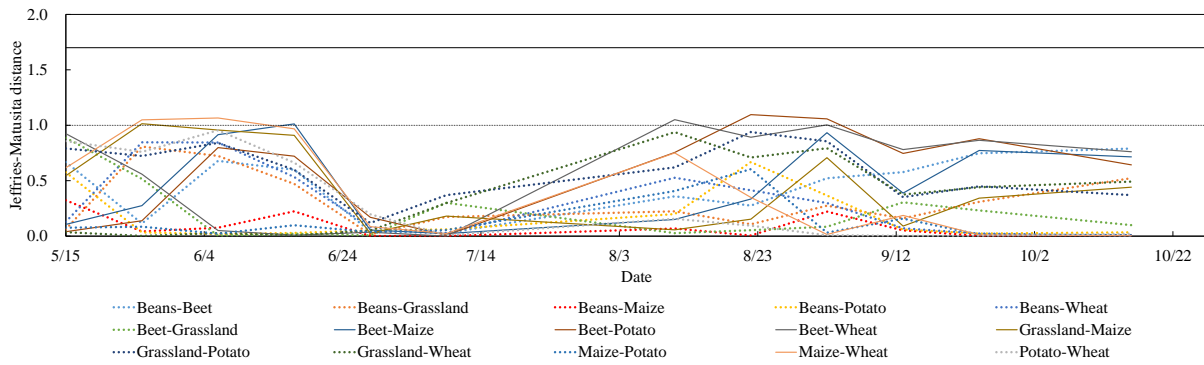
478

Figure 6 Jeffries-Matusita distances for gamma nought. The thick lines represent the Jeffries-Matusita distances values are greater than 1.7 at least one day, the dotted lines represent below 1.0 in the every observation days.

(a) HH polarization



(b) VV polarization



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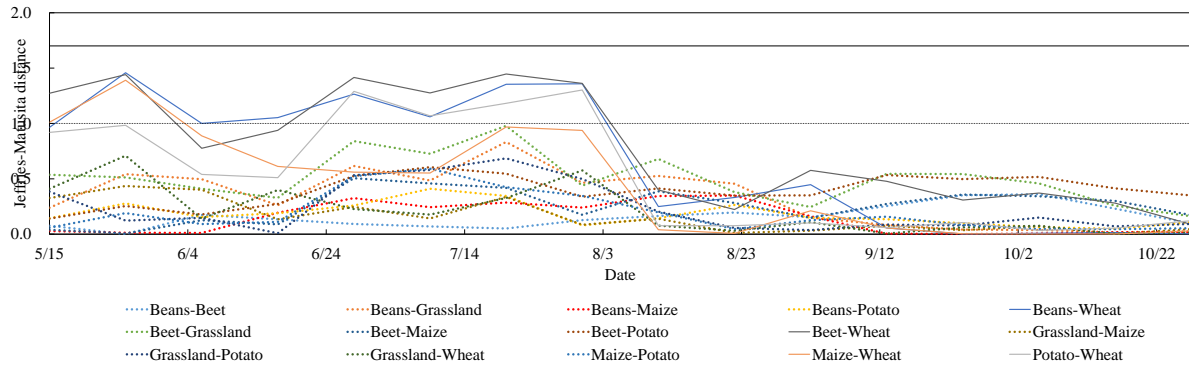
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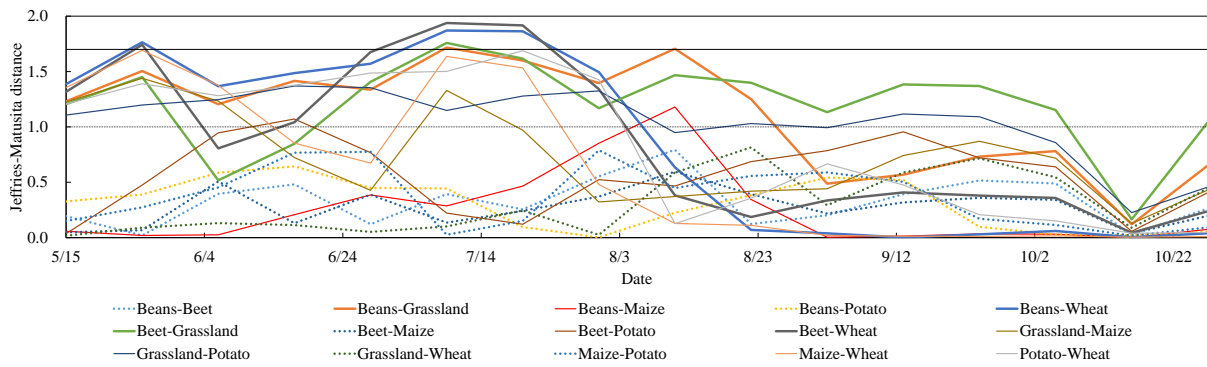
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Figure 7 Jeffries-Matusita distances for coherence. The x-axis represents the data acquisition date of the master data for coherence. The thick lines represent the Jeffries-Matusita distances values are greater than 1.7 at least one day, the dotted lines represent below 1.0 in the every observation days.

(a) Averaged alpha angle



(b) Entropy



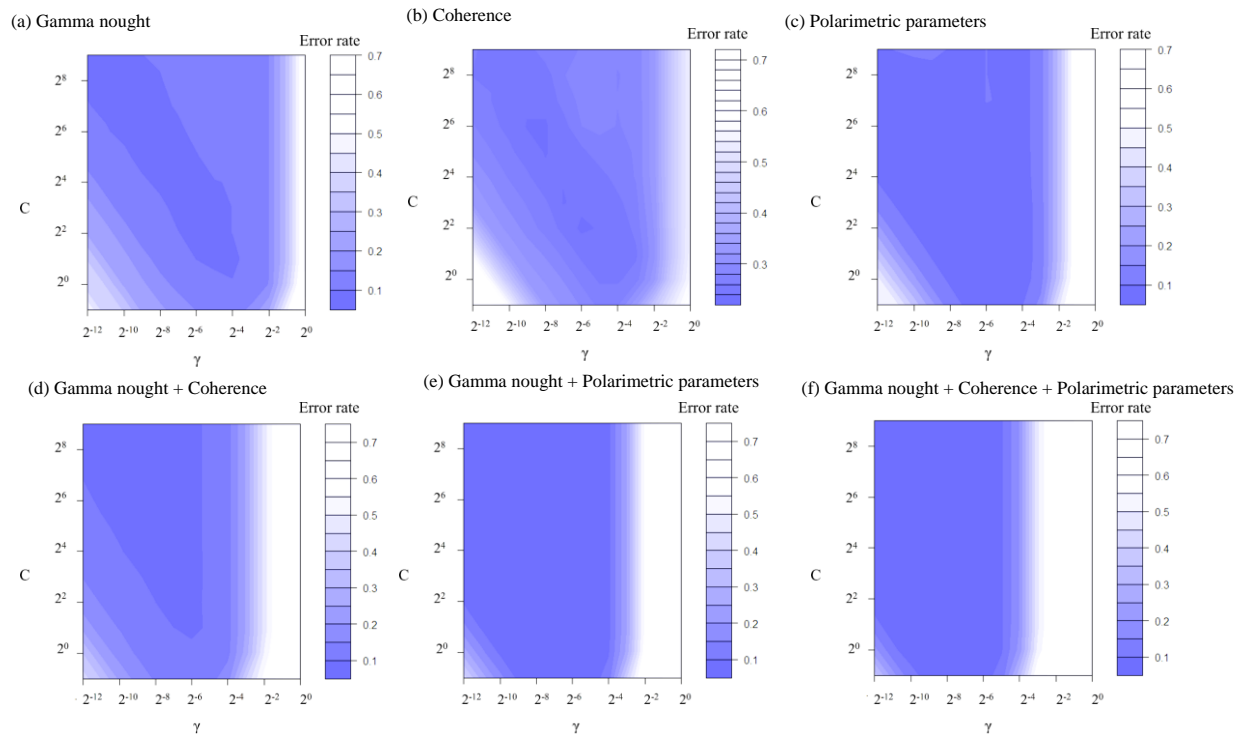
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Figure 8 Jeffries-Matusita distances for polarimetric parameters. The thick lines represent the Jeffries-Matusita distances values are greater than 1.7 at least one day, the dotted lines represent below 1.0 in the every observation days.



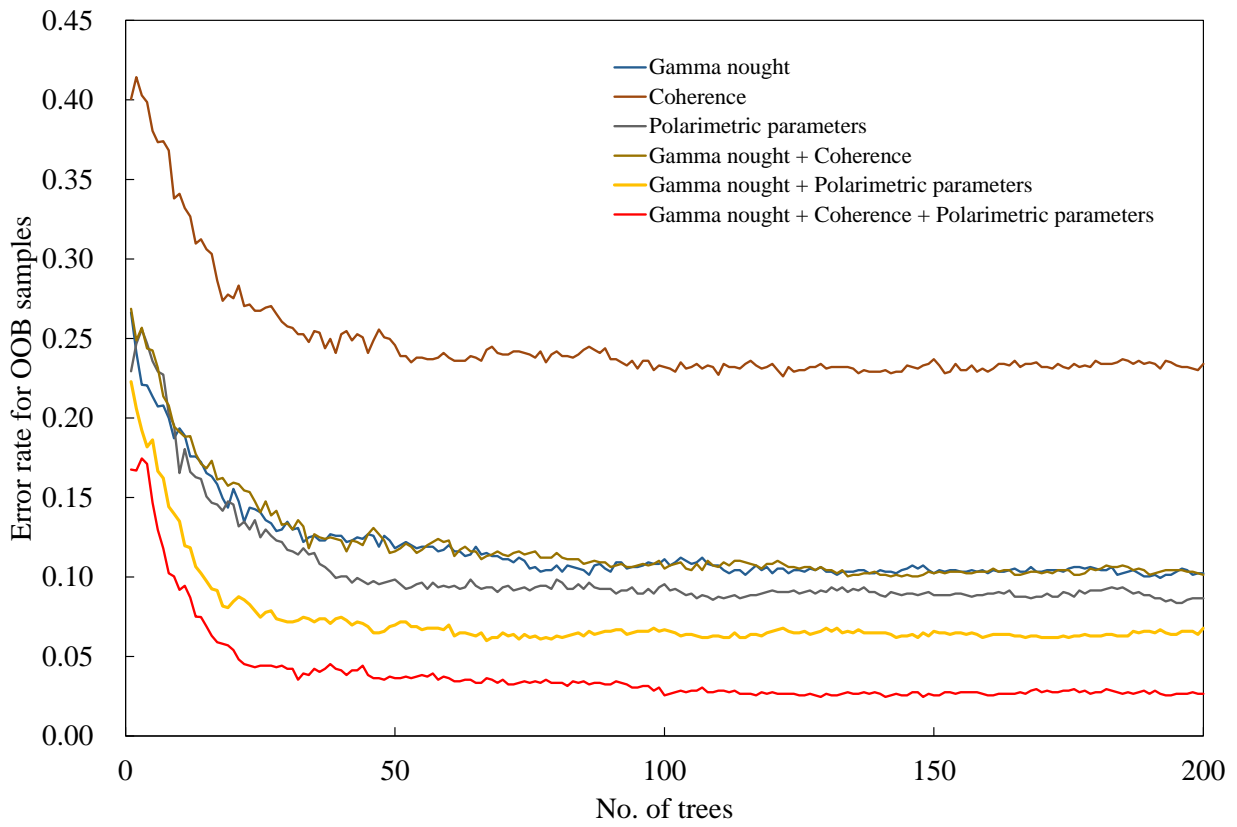
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490 Figure 9 Results of 10-fold cross-validation for SVM classification of the training data.

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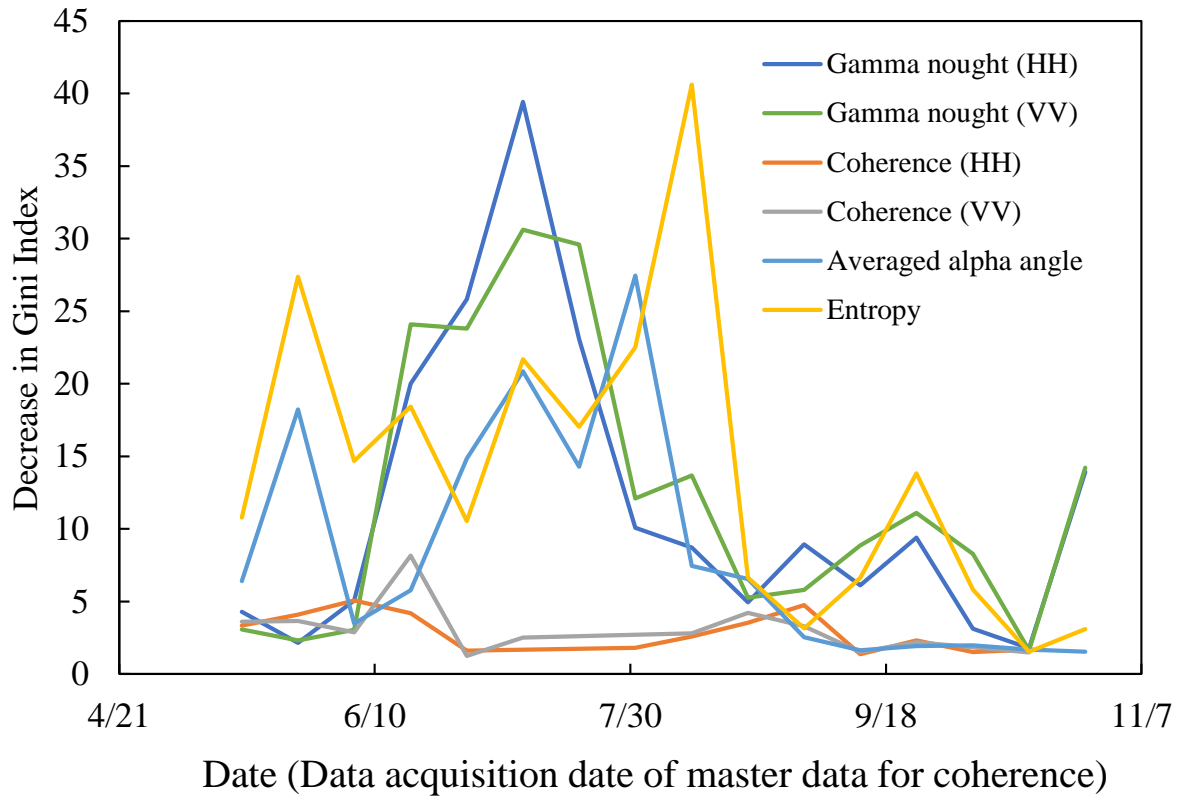


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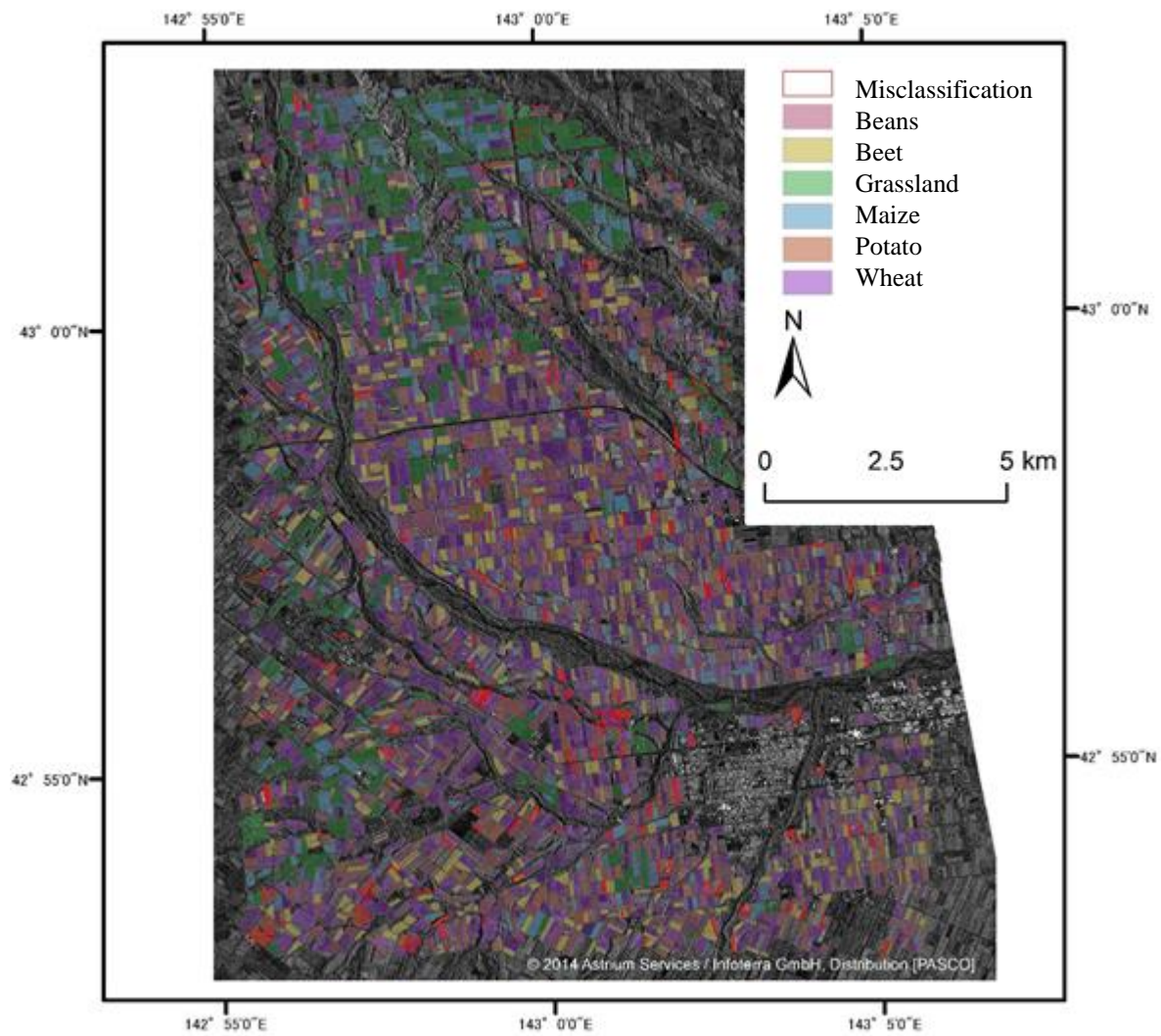
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494 Figure 10 Relationships between number of trees and error rate for OOB samples.



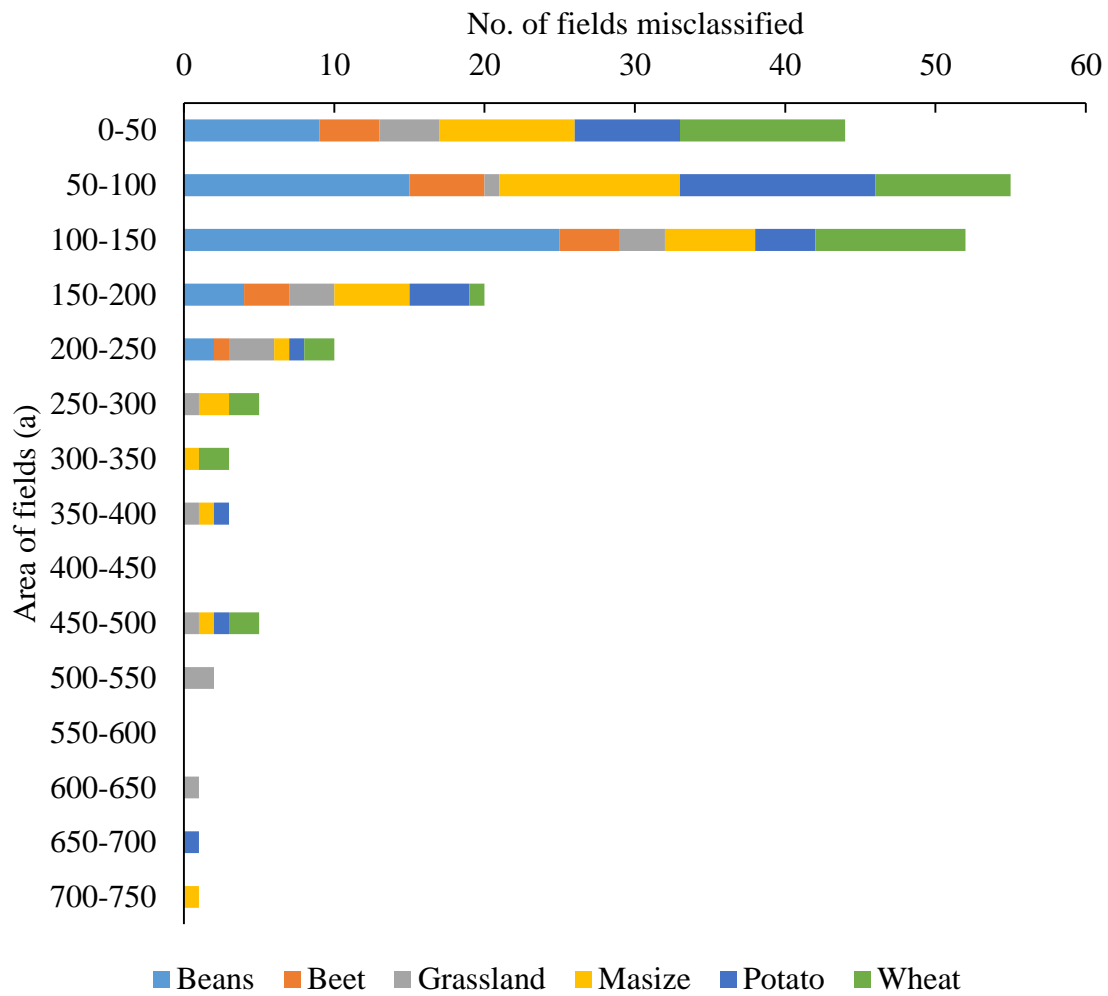
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496 Figure 11 Importance of data acquisition date based on Gini measures.



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498 Figure 12 Crop classification map.



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500 Figure 13 Relationship between field area and misclassified fields.

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