

1 **Three-dimensional thermal characterization of forest canopies using**
2 **UAV photogrammetry**

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9

10 **Abstract**

11 Measurements of vegetation structure have become a valuable tool for ecological
12 research and environmental management. However, data describing the thermal 3D
13 structure of canopies and how they vary both spatially and temporally remain sparse.
14 Coincident RGB and thermal imagery from a UAV platform were collected of both a
15 standalone tree and a relatively dense forest stand in the sub-alpine Eastern Swiss
16 Alps. For the first time, SfM-MVS methods were used to develop 3D RGB and thermal
17 point clouds of the two sites with point densities of 35,245 and 776 points per m²,
18 respectively, compared to 78 points per m² for an airborne LiDAR dataset of the same
19 area. Despite the low resolution of the thermal imagery compared to RGB photosets,
20 forest structural elements were accurately resolved in both point clouds.
21 Improvements in the quality of the thermal 3D data were gained through the
22 application of a distance filter based on the proximity of these data to the RGB 3D
23 point data. Vertical temperature gradients of trees were negative with increasing height

24 at the standalone tree, but were positive in the dense stand largely due to increased
25 self-shading of incoming shortwave energy. Repeat surveys across a single morning
26 during the snowmelt period revealed changes in the spatial distribution of canopy
27 temperatures which are consistent with canopy warming from direct solar radiation.
28 This is the first time that coincidentally acquired RGB and thermal imagery have been
29 combined to generate separate RGB and thermal point clouds of 3D structures. These
30 methods and findings demonstrate important implications for atmospheric,
31 hydrological and ecological modeling, and have wide application for effective thermal
32 measurements of remote environmental landscapes.

33

34

35 Keywords:

36 Thermal infrared imagery

37 Structure from motion

38 Digital photogrammetry

39 Computer vision

40 Canopy structure

41 Forest structure

42 Forest monitoring

43 Unmanned aerial vehicle

44 Unmanned aerial system

45 UAV

46 UAS

47 Forest canopy temperature

48 Temperature heterogeneity

49

50

51 **1. Introduction**

52 Forests cover approximately 31% of the total global surface area (FAO 2010),
53 regulating local and global energy balance and biogeochemical cycles, providing
54 wildlife habitat and supporting biodiversity. Understanding, management and
55 prediction of forest processes depends greatly on measurement of forested
56 environments (e.g. structure, biomass, temperature, habitat quality and biodiversity)
57 at sufficient spatial and temporal resolution. To this end, three-dimensional (3D)
58 mapping of forest canopies has become a valuable tool for obtaining forest canopy
59 structure information, such as effective leaf area index, fractional cover and canopy
60 closure (Morsdorf et al. 2006; Solberg et al. 2009). These forest canopy structure
61 parameters have been applied to carbon accounting (Houghton et al. 2009; Kobayashi
62 et al. 2012), canopy structure modeling for ecosystem analysis (Zhao and Popescu
63 2009), energy balance (Musselman et al. 2013) and radiative transfer modeling
64 (Essery et al. 2008a), as well as search and rescue logistics (Rudol and Doherty 2008).

65 Remotely sensed data describing 3D forest structures have been retrieved using
66 airborne or terrestrial light detection and ranging methods (LiDAR; Kankare et al. 2013;
67 Liang et al. 2012; Lucas et al. 2008; Srinivasan et al. 2014; Wagner et al. 2008). LiDAR
68 data can be acquired across large (> 50,000 ha) areas in a series of repeat over-
69 flights. However, the commission of LiDAR flights or data purchase can exceed
70 USD\$20,000 per flight (Erdody and Moskal 2010), particularly when data at high
71 spatial and temporal resolutions are required. More recently, improvements in the
72 affordability and accessibility of lightweight unmanned aerial vehicle (UAV, or 'drone')
73 technology has facilitated low-cost methods of low-altitude (< 150 m flying height)
74 photographic and videographic data collection in a range of environments (e.g. Cohen

75 et al. 2005; Dandois and Ellis 2013; Faye et al. 2016; Morgenroth and Gomez 2014).
76 The deployment of lightweight fixed-wing or multi-rotor UAV systems with on-board
77 digital imaging sensors facilitates the collection of remotely sensed data at increasingly
78 high spatial and temporal resolutions. Further advances in the development of flight
79 planning software now facilitate GPS-guided flight repeatability.

80 The recent emergence of a new generation of digital photogrammetric and computer
81 vision-based algorithms for reconstructing 3D scene topography from 2D input
82 imagery, popularly known as 'Structure-from-Motion' (SfM) has revolutionized the field
83 of 3D data acquisition and analysis (e.g. Carrivick et al. 2016; James and Robson
84 2012; Snavely et al. 2008; Westoby et al. 2012), and originates from advances in the
85 computer vision community (e.g. Spetsakis and Aloimonos, 1991; Boufama et al.,
86 1993; Szeliski and Kang, 1994). Unlike conventional photogrammetric techniques,
87 SfM methods identify matching features in overlapping digital images and use this
88 information as input to an iterative bundle adjustment which simultaneously solves for
89 the interior and exterior camera parameters and generates a sparse 3D point-cloud.
90 This process can be enhanced through the use of input imagery which has been
91 geotagged using GPS technology. SfM algorithms are commonly used in conjunction
92 with multi-view stereo methods (SfM-MVS) to increase 3D point densities, typically by
93 an order of magnitude or more (Carrivick et al. 2016; James and Robson 2012;
94 Westoby et al. 2012), whilst the addition of ground control points (GCP) with known
95 xyz positions in the scene facilitates the georegistration of SfM-derived 3D data.

96 A number of recent studies have employed SfM-MVS methods to derive 3D models of
97 forest canopy structure from RGB imagery acquired from UAVs (e.g. Dandois and Ellis
98 2010; Dandois and Ellis 2013; Mlambo et al. 2017). Example applications of SfM-MVS

99 for vegetation analysis include the use of color channel segmentation to facilitate
100 species identification and the analysis of plant stress and seasonal development
101 (Dandois and Ellis 2013), and the estimation of above-ground biomass volumes
102 (Bendig et al. 2014). Significantly, Dandois and Ellis (2013) found that tree heights
103 extracted from SfM-MVS-derived point-clouds correlated well with equivalent data
104 extracted from airborne LiDAR ($R^2 = 0.87$) and field measurements ($R^2 = 0.63-0.84$),
105 whilst additional studies have also found the accuracy of SfM-MVS-derived datasets
106 to closely mirror those obtained using terrestrial or airborne LiDAR (Hernández-
107 Clemente et al. 2014; Wallace et al. 2016). Furthermore, Faye et al. (2016) have
108 demonstrated a workflow for simultaneous, two-dimensional (2D) thermal infrared
109 (TIR) and RGB airborne imaging in ecological monitoring. While these studies have
110 demonstrated significant advances in the remote sensing of vegetation structure, the
111 integration of thermal information into 3D forest canopy structure models has to date
112 received limited attention.

113 Measurements of forest canopy temperature at a range of spatial scales can provide
114 insights into energy flux (Webster et al. 2016), evapotranspiration and photosynthesis
115 (Solberg et al. 2009), and plant stress (Erdody and Moskal 2010; Morsdorf et al. 2006).
116 Forest canopy temperature is therefore an important parameter in environmental
117 monitoring and modeling. Thermal imaging technology has advanced to the stage
118 where survey grade, portable, and easy to use cameras are readily available and
119 relatively affordable (<USD\$12,000). This increasing availability has allowed for
120 diverse applications of TIR imagery in remote environments for a number of
121 environmental monitoring and modeling applications, including water management
122 and agriculture (Anderson et al. 2012; Berni et al. 2009; Gago et al. 2015; Leinonen

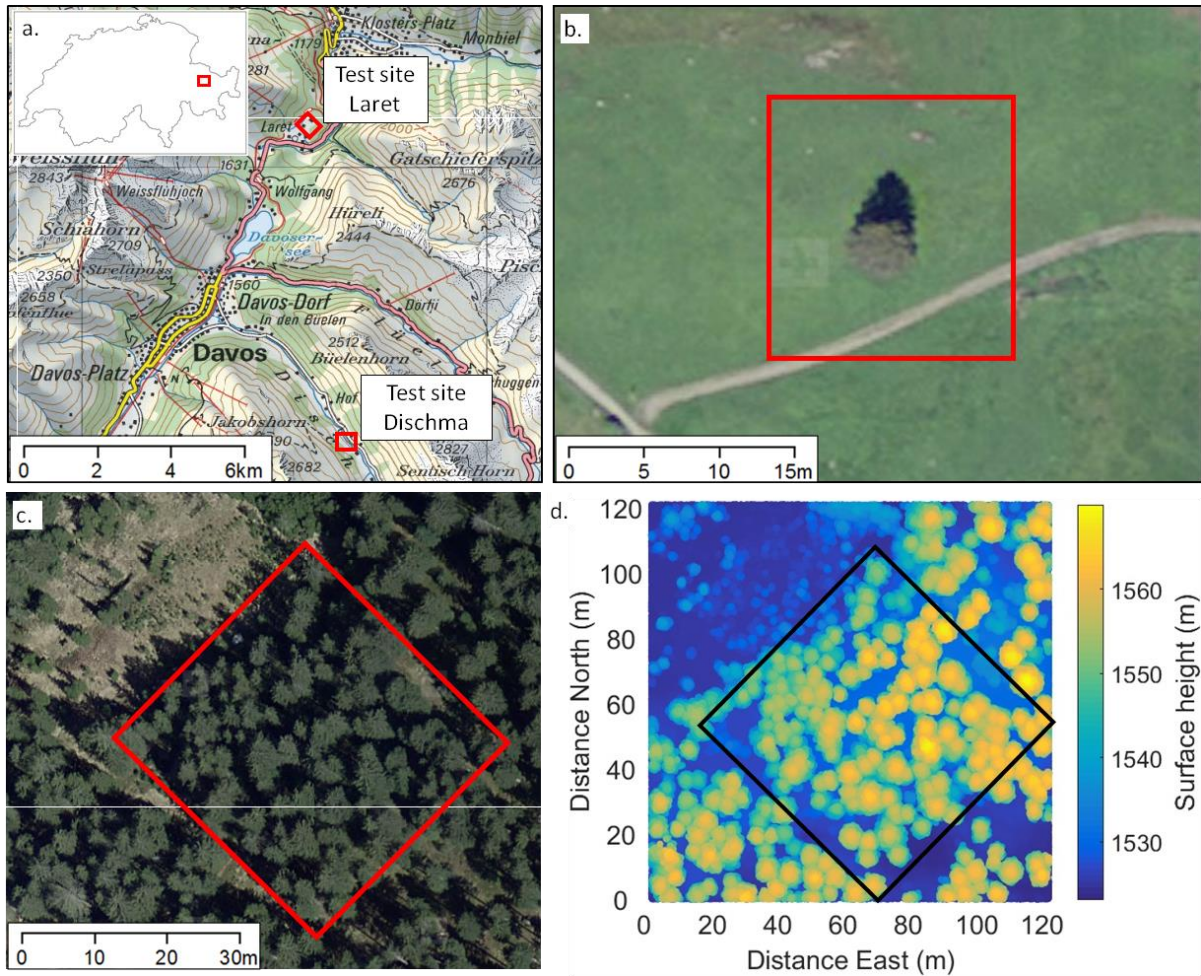
123 et al. 2006), visualization of lava flow evolution (James et al. 2009), volcanic activity
124 (Spampinato et al. 2011), and groundwater movement (Luscombe et al. 2015; Pfister
125 et al. 2010). Studies employing airborne thermal imagery have generally utilized 2D
126 imaging outputs, however, the processing of 2D thermal imagery to produce fully 3D
127 models containing thermal information has yet to be fully explored in the context of
128 forest canopy structure. Significantly, to date no single instrument or imaging system
129 has been demonstrated to have the capacity for retrieving both structural and thermal
130 observations of forest canopies in 3D and at high spatial and temporal resolutions.

131 This paper appraises the capacity of SfM-MVS methods for retrieving structural and
132 thermal 3D data of vegetation structures using coincident RGB and thermal imagery
133 acquired from a UAV. We first present and discuss the acquisition, generation, and
134 analysis of 3D RGB and thermal data for a single, standalone tree, before
135 demonstrating and discussing the utility of our workflow for characterizing the structure
136 and thermal signature of a heterogeneous alpine forested area during the northern
137 hemisphere snowmelt season.

138

139 **2. Study sites**

140 Two sub-alpine forest study sites near the town of Davos, Switzerland were selected
141 for analysis (Figure 1a). The first site is a standalone Norway Spruce (*Picea abies*)
142 tree located in the Dischma valley (46.757°N, 9.879°E; Figure 1b). The tree is ~18 m
143 high, and has a diameter of 8 m. The second site is a relatively dense forest stand of
144 predominantly Norway Spruce (~30 m × 30 m) close to Davos Laret, Switzerland
145 (46.843°N, 9.875°E; Figure 1c,d). Tree heights in this area range between 12-40 m.



146

147 **Figure 1:** Overview of the two field locations, showing a. relative location between the tree in
 148 Dischma Valley and the forest field site in Laret; b. aerial image of single tree in Dischma
 149 Valley; c. aerial image and outline of flight area over the forest field site in Laret; d. airborne
 150 LiDAR point-cloud data of forest field site in Laret showing canopy distribution and surface
 151 height. Aerial images and background images from © CNES, Spot Image, reproduced with
 152 permission from Swisstopo, NPOC (JA100118).

153

154 The use of single-species forested environments for thermal imaging is largely
 155 straightforward compared to other land surfaces as emissivity is typically strongly
 156 homogeneous (Price and Petzold 1984). Flights over land surfaces with a variable
 157 surface emissivity, such as agricultural cropland, would require a further step in post-
 158 processing to ensure accurate surface temperatures are calculated (e.g. Faye et al.
 159 2016). Additionally, the collection of data across the forest stand during winter when

160 seasonal snow was present on the ground surface allowed strong thermal contrast
161 between the canopy and the forest floor, creating an obvious mask between the two
162 features.

163

164 **3. Methods and data products**

165 **3.1. UAV platform and sensors**

166 UAV flights were undertaken with a DJI S1000 octocopter (Figure 2a). RGB imagery
167 was acquired using a Panasonic Lumix DMC-GH4 digital SLR camera (Figure 2b) at
168 an original resolution of 4608 × 2592 pixels (1:0.57 scaling) and with manual exposure
169 and focusing settings enabled. The camera was triggered using an intervalometer, set
170 at a 1-second interval. Thermal imagery was acquired in the form of raw .csv files
171 using an Optris PI450 Thermal Imager, controlled using an on-board NetBox running
172 a Windows XP Professional operating system and PI Connect software (Figure 2b).
173 The NetBox is a miniature PC attached to the camera that allows the IR camera to
174 operate as a stand-alone unit. This permits longer distances between the camera and
175 the monitoring system (traditional PC), allowing it to functionally operate on remote
176 systems such as the UAV in this study. The PI450 thermal imager has a resolution of
177 382 × 288 pixels and obtains thermal data in the spectral range 7.5 - 13 μ m. The imager
178 is self-calibrating and has a manufacturer-stated measurement accuracy of $\pm 2\%$ or \pm
179 2°C and provides a raw output in °C. The emissivity of the scene was set to 1 for all
180 thermal imagery, which were acquired at 1-second intervals. The use of an emissivity
181 of 1 assumes there is zero reflectance from the canopy. The maximum image timing

182 offset between sequential RGB and thermal images is < 2 s. A summary of the
183 instrumentation specifications is provided in Table 1.

184

185 Table 1: **Specifications of imaging instrumentation**

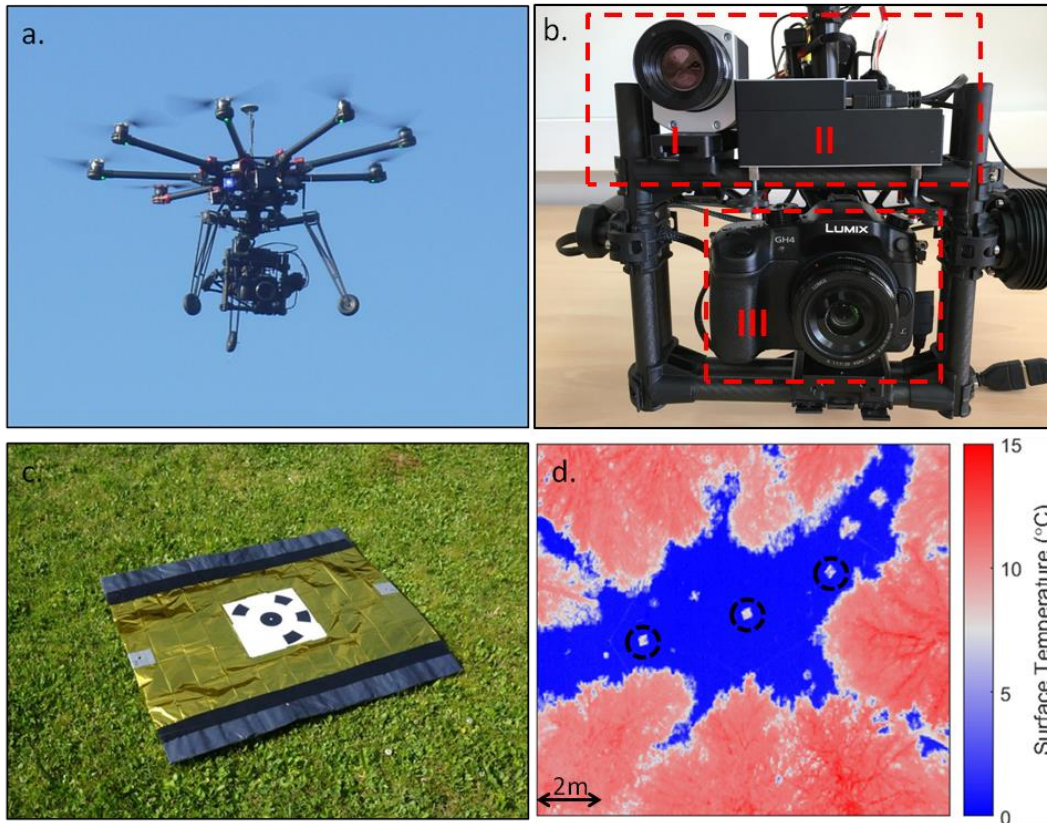
	Panasonic Lumix	Optris PI450
Lens (FOV)	46.8° x 32.2°	38° x 29°
Optical resolution	4608 x 2592 pixels	382 x 288 pixels
Spectral range	-	7.5 - 13µm
Temperature range	-	-20-100°C
Accuracy	-	± 2% or ± 2°C
Weight	560g	320g
Azimuth during imaging	0°	0°

186

187 The two sensors were mounted underneath the UAV using a custom bracket attached
188 to a motorized, gyroscopically stabilized gimbal in a configuration which dampens
189 vibrations and helps to maintains sensor stability in the xy plane when the sensors are
190 positioned in a downward-facing (nadir) perspective (Figure 2b). This configuration
191 also ensured a general correspondence between RGB and thermal image centers at
192 operational flying heights, whilst the ground footprint of each sensor varied slightly as
193 a function of sensor resolution and radial distortion effects. Including batteries, the
194 UAV and multi-sensor imaging system weighed ~12 kg. The UAV included an on-

195 board navigation system, including integrated Global Navigation Satellite Systems
196 (GNSS), Inertial Measurement Unit (IMU) and barometer and compass components,
197 which facilitate high positional accuracy and UAV stabilization in winds up to 28 km/h
198 and in temperatures of $>-5^{\circ}\text{C}$.

199



200

201 **Figure 2:** a. DJI S1000 Octocopter in flight fitted with; b. gimbal with Optris PI450 imager (I),
202 NetBox (II) and Panasonic Lumix RGB camera (III); c. example of thermal ground control point;
203 d. example of airborne thermal image over forested area with ground control points circled.

204

205 3.2. Data acquisition

206 Flight missions over the single standalone tree at the Dischma test site (Figure 1b)
207 were manually controlled and assisted by an on-board first-person-view (FPV)
208 camera, connected to a monitor via a 5.8GHz connection. Flight elevation was

209 maintained at 25 m, < 10 m above the top of the tree and the thermal camera was
210 focused at approximately 15 m distance with a depth of field of approximately 5.3 m.
211 A flying speed of 1 ms⁻¹ was maintained throughout the flight, which was < 5 minutes
212 in duration due to the small spatial coverage required. The ground was completely
213 snow-free during data acquisition at the Dischma site.

214 Flight missions for the forest stand at the Laret test site were planned using DJI PC
215 Ground Station software (v. 4.0.11.) installed on a portable field laptop computer with
216 a 2.4 GHz wireless data link, allowing continuous radio communication for real-time
217 flight monitoring and intervention. Flight plans were programmed in a predetermined
218 square-parallel sweep pattern using a constant flying height of 50 m (< 10 m above
219 the canopy) and a forward flight speed of 1 ms⁻¹, corresponding to forward and side
220 image overlap of 80% and 40%. Transects were 18.5m long and spaced 5.8m apart.
221 The thermal camera was manually focused at approximately 25 m distance with a
222 depth of field of approximately 7.6 m. Maximum flight time was < 10 minutes using a
223 16000 mAh battery, which was sufficient to survey the entire field site in a single flight.
224 Specific meteorological and canopy conditions were required for collection of airborne
225 thermal imagery. Flights across the forest stand during winter were carried out when
226 there was no intercepted snow on the canopy in order to allow full thermal visualization
227 of a snow-free canopy surface. The ground was completely snow covered with no bare
228 ground in the sub-canopy. Additionally, this removed possible error in 3D
229 reconstruction arising from snow present in the canopy and on the ground having the
230 same spectral characteristics in the RGB and thermal images. Meteorological
231 conditions (incoming shortwave radiation, air temperature) were recorded at a weather

232 station installed in a local open site approximately 300 m to the northwest of the forest
233 flight area and 2km northwest of the Dischma single tree site.

234 Effects on image accuracy arising from surface roughness, air temperature changes
235 and humidity were to be negligible due to the proximity of the canopy to the camera (<
236 10m). Corrections for atmospheric influences on thermal imaging accuracy were not
237 required as these effects influence temperature accuracy when the target is greater
238 than 100m from the imager (Ball and Pinkerton 2006).

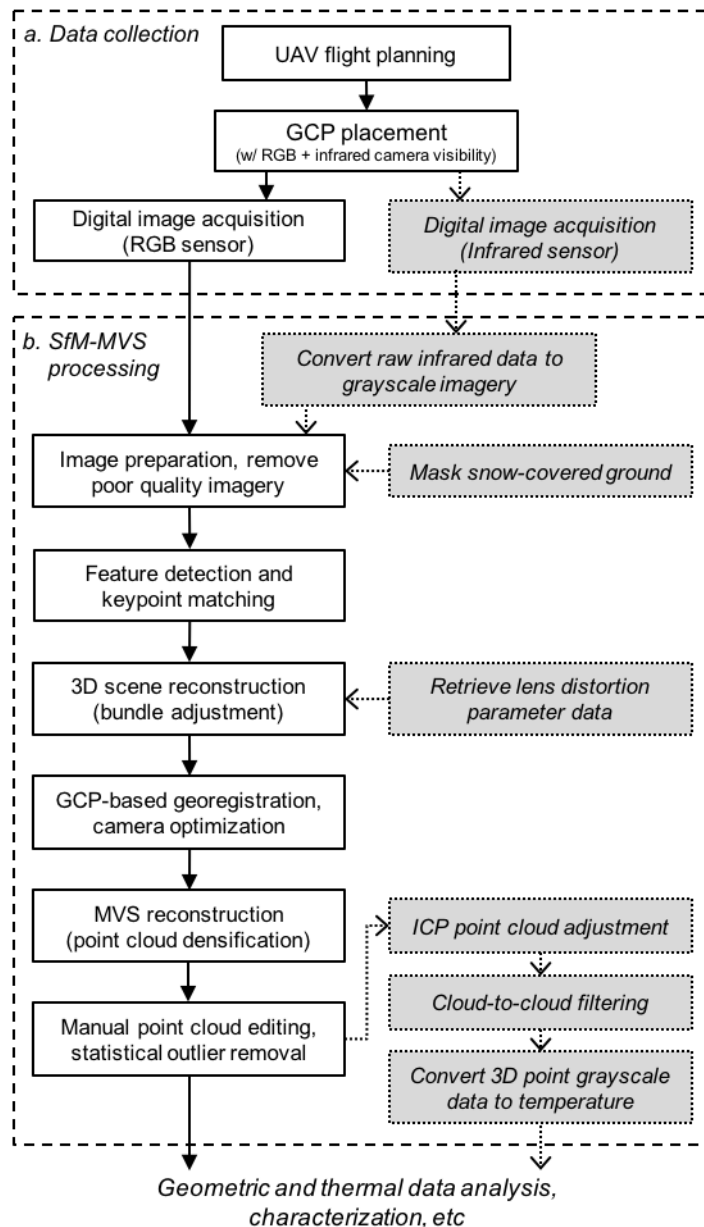
239 A network of ground control points (GCPs) was established prior to UAV deployment
240 at each field site, and their xyz location surveyed using a Leica TPS 1200 total station
241 and Trimble GR5 RTK differential GPS. GCPs measured 0.8 × 0.5 m and consisted of
242 a material with a relatively large reflectance in the IR domain with a border of adhesive
243 black plastic (Figure 2c). These materials were chosen due to their contrasting
244 emissivity, which produced a clear boundary between the two materials and the
245 ground when viewed in a thermal image (Figure 2d). GCPs were equally visible in the
246 corresponding RGB imagery. At the single tree, twelve GCPs were arranged in
247 concentric inner and outer circles around the standalone tree. At the forest stand, the
248 twelve GCPs were positioned across the forest area in a quasi-uniform grid pattern in
249 small gaps between the trees in order to maximize their visibility during aerial
250 surveying. Snow height was measured below the GCPs in the forest stand site and
251 each z location was corrected in post-processing to correspond to ground height.

252

253 3.3. SfM-MVS model generation

254 A summary of the full workflow for SfM-MVS (Structure-from-Motion multi-view stereo
255 methods) model generation is presented in Figure 3. Raw thermal .csv files contained
256 288x382 cells, each representing the recorded temperature of a pixel from the imager.
257 Previous calibration of the PI450 imager showed a non-uniformity in recorded
258 temperature across the field of view which varied by less than 2K, which is within the
259 manufacturer specified error of the imager (Smigaj et al., 2015). Images were therefore
260 not corrected for non-uniformity.

261 Raw thermal files were converted to grayscale .png digital images (382 × 288 pixels)
262 using MATLAB software (R2015) with a temperature (°C) assigned to each pixel (e.g.
263 Figure 2d). All images from a single flight were set to have the same color scale.
264 Greyscale images were more desirable over color images as they have a single color
265 channel (compared to a three color channel in RGB images), thus can easily be
266 converted back to a single temperature value. Minimum temperature was set to 0°C
267 in all thermal images in order to 1) remove thermal variation at the snow surface and
268 2) increase the visual contrast of the forest to aid point recognition in 3D model
269 generation. All pixels with a recorded temperature below 0°C were therefore not
270 included in further analysis. Air temperature during imaging was above 0°C, thus it
271 was assumed canopy temperature was also warmer than the snow surface
272 temperature (Jarvis et al. 1976). Snow-covered ground was automatically masked in
273 the RGB and thermal photosets for the forest stand site and were excluded from scene
274 reconstruction. Ground conditions were entirely snow-free at the single tree site.



275

276 **Figure 3:** Data collection and SfM-MVS processing workflow for constructing georeferenced
 277 3D point-clouds of forest structures from coincident RGB and thermal infrared imagery
 278 acquired using a lightweight UAS. Steps colored in gray were applied exclusively to thermal
 279 data.

280

281 RGB and thermal datasets were processed separately in Agisoft PhotoScan
 282 Professional Edition software (2015, v. 1.1.6). PhotoScan employs a standard SfM-
 283 MVS workflow, beginning with the identification of unique image key points and the

284 assignment of key point descriptors, which are stable under variations in perspective
285 and illumination. Key point descriptors were used to establish key point
286 correspondences between photographs (Lowe 2004), before an iterative, self-
287 calibrating bundle adjustment was used to solve for internal and external camera
288 orientation parameters and produced a sparse, or coarse, 3D point-cloud. Following
289 initial camera alignment and sparse scene reconstruction, 3D points with a
290 reprojection error >0.5 pixels were removed, as were points which were visible in fewer
291 than three photographs. The point-cloud data were transformed to the Swiss grid co-
292 ordinate system (CH1903+/LV95) through the identification of known GCP locations.
293 These GCPs provided additional scene control and were used to improve the
294 estimation of camera orientation parameters and reduce model alignment errors using
295 PhotoScan's 'optimization' tool. Whilst each set of images were not digitally geotagged
296 during acquisition, the photogrammetrically reconstructed xyz positions of the RGB
297 photographs were exported and used to estimate initial camera positions for the
298 corresponding thermal images, with an associated accuracy buffer of ± 2 m. This
299 additional and often non-standard SfM-MVS processing step improved the accuracy
300 and processing speed of the initial camera alignment and retrieval of the lens distortion
301 parameters for the thermal imager. Following project georegistration and optimization,
302 dense point-cloud reconstruction was undertaken using MVS methods, which
303 increased point densities by over an order of magnitude. The reconstruction 'quality',
304 for the dense point-clouds was specified as 'ultra high' for all models, which ensures
305 that the thermal information for a given point has been retrieved from the original input
306 images, with no image downscaling and associated averaging of thermal data (Agisoft,
307 2015). Dense point-clouds were manually scrutinized in CloudCompare (v.2.6)

308 software to remove errors, followed by the application of a statistical outlier removal
 309 algorithm to eliminate points which are further away than the mean distance between
 310 the six nearest neighboring points. Finally, site-specific RGB and thermal 3D datasets
 311 were co-registered using iterative closest point (ICP) methods (Srinivasan et al. 2014).
 312 Project alignment statistics are displayed in Table 2.

313

314 **Table 2:** Summary of UAV survey data products. Number of RGB and thermal images in
 315 brackets refers to original input images, whilst number without brackets refers to input images
 316 which were successfully aligned by Agisoft PhotoScan. Similarly, number in brackets indicate
 317 number of GCPs (ground control points) successfully projected and used for RGB 3D
 318 reconstruction of both sites, whilst the number without brackets reflects the number of
 319 projected ground control point positions in the thermal data.

Survey area	Survey date and time (GMT)	No. RGB images	No. thermal images	Mean T_{air} (°C)	Mean ISWR (Wm^{-2})	Solar zenith angle (°)	No. GCPs	SfM-MVS internal georeferencing error (xyz RMS; m)		RGB-thermal ICP alignment error (m)
								RGB	Thermal	
Single tree	29/04/16 08:55	139 (139)	186 (249)	5.2	994	44	12 (12)	0.016	0.081	0.046
Forest (1)	01/04/16 10:45	165 (165)	53 (102)	8.5	501	43	9 (9)	0.432	0.086	0.167
Forest (2)	01/04/16 12:55		23 (87)	10.4	553	46	6 (9)		0.074	0.150

320

321 Following ICP alignment, the grayscale value of each thermally reconstructed 3D point
 322 was back-calculated to temperature (°C) from the 8-bit grayscale image using:

$$T_{(x,y)} = (GL_{(x,y)} \cdot T_{range}) - T_{min} \quad 1$$

323 where $T_{(x,y)}$ is the calculated temperature of each point (x,y); $GL_{(x,y)}$ is the grey level of
 324 the point (x,y) in the point cloud, which is comprised of X,Y,Z and GL information at
 325 each point; T_{range} is the difference between maximum and minimum temperature in the

326 point cloud; and T_{min} is the minimum temperature. T_{range} was pre-determined from the
327 raw data files during initial conversion to grayscale images.

328 .

329

330 **3.4. Aerial LiDAR**

331 LiDAR data over the Davos Laret site were collected in September 2010 using a Riegl
332 LMS Q560 sensor from multiple helicopter flyovers at a nominal flying altitude of 700m
333 for a total area of $\sim 90\text{km}^2$. The wavelength emitted was 1550 nm with pulse durations
334 of 5 ns and up to 7 returns were detected per pulse for a maximum scan angle of $\pm 15^\circ$.
335 Post-processing yielded an average echo density of 36 pulses per m^2 of the flyover
336 domain and 19 pulses per square meter for the last returns (shot density) within the
337 domain area. LiDAR data were subsequently decimated to 0.5 horizontal resolution
338 using classified ground returns.

339

340 **4. Results**

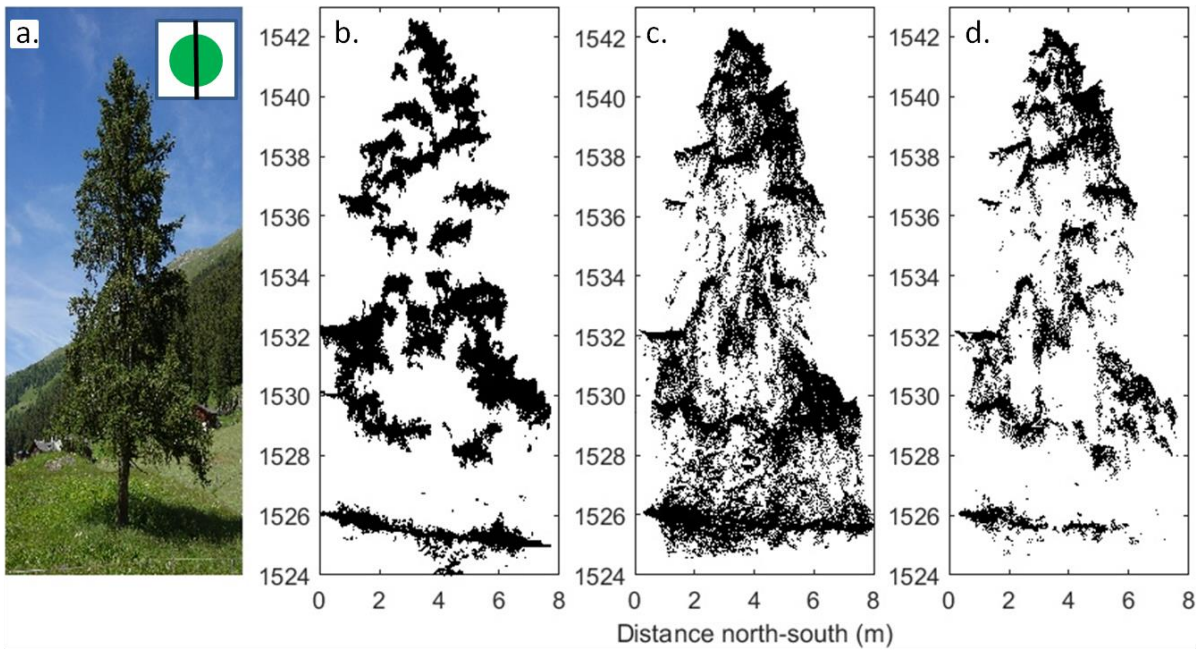
341 **4.2. Single tree**

342 *4.2.1. Geometric characterization*

343 In total, 139 RGB photographs and 249 thermal images of the single tree were used
344 as input to SfM-MVS processing, of which 139 and 186 were aligned by PhotoScan.
345 Remaining input thermal images were not aligned or used for 3D scene reconstruction,
346 most likely due to a combination of factors which include the tree canopy appearing in
347 peripheral portions of the image, where distortion effects are greatest, and poor image
348 texture relative to the remaining images. In such instances, tie-point identification and

349 image matching become unviable, and these photographs are discarded from the
350 remainder of the reconstruction workflow. A calibration procedure to correct for this
351 distortion was carried out following Vidas et al. (2012), however it did not increase the
352 number of images retained through the scene reconstruction. Inspection of RGB and
353 thermal 3D point-clouds for the single tree revealed a consistent geometric
354 correspondence between datasets and the tree (Figure 4a-c). Residual alignment
355 errors were 0.016 m and 0.081 m for the RGB and thermal datasets, respectively, and
356 indicate good internal consistency for point-cloud reconstruction and georegistration
357 (Table 2). Measured positions of the GCPs around the base of the tree varied by 2.14
358 m in the vertical (z) plane covering only 8% of the total vertical distance in the 3D
359 scene of the tree (18 m). This limited elevation range does not appear to have had a
360 detrimental effect on the accuracy of the vertical component of the 3D reconstruction
361 and alignment; the mean cloud-to-cloud distance between RGB and thermal
362 reconstructed 3D point-clouds was 0.046 m. No obvious systematic model doming or
363 deformation effects were observed (James and Robson 2012). Both the RGB and
364 thermal point-clouds reconstructed elements of 3D canopy structure across the full
365 height of the tree. 3D point clusters generally corresponded to individual branches, or
366 branch clusters, which were visible from the nadir view perspective of each imaging
367 sensor.

368



369

370 **Figure 4:** North-south profile of the single tree: a. RGB image of single tree taken looking east;
 371 b. RGB point-cloud dataset; c. thermal point-cloud dataset before cloud-to-cloud filtering and
 372 d. thermal point-cloud dataset after cloud-to-cloud filtering.

373

374 Occlusion of underlying canopy by skyward-facing branches largely accounted for
 375 intermittency of the 3D reconstruction across the full height and interior of the tree in
 376 both datasets (Figure 4b-c). The largest data gap, found on the western edge of the
 377 tree, is attributed to heavy shadowing from shortwave radiation at the time of data
 378 acquisition, when the sun was in the south-east. Such shading caused issues with key
 379 point identification, matching, and scene reconstruction due to the comparatively
 380 homogenous textural signature of the shaded area in RGB imagery. Similar errors
 381 were seen in the thermal point-cloud, where the lack of thermal variation, and therefore
 382 image texture and contrast, resulted in a gap in the thermal point-cloud corresponding
 383 to the same location in the RGB point-cloud.

384

385 4.2.2. *Thermal point-cloud refinement*

386 RGB point-cloud data closely matched the physical structure of the single tree,
387 particularly in the absence of points between the ground and base of the tree canopy,
388 in agreement with real-world tree structure (Figure 4b; ~1526 m to 1528 m a.s.l.). The
389 occlusion of the tree trunk from the perspective of a downward-facing camera meant
390 that the SfM-MVS model was unable to reconstruct its position. Within the equivalent
391 thermal data, however, the area between ~1526-1528 m contained numerous 3D
392 points (Figure 4c). Additionally, there is a presence of thermal 3D points between
393 branch clusters, which otherwise remain empty in the RGB 3D data (Figure 4c).

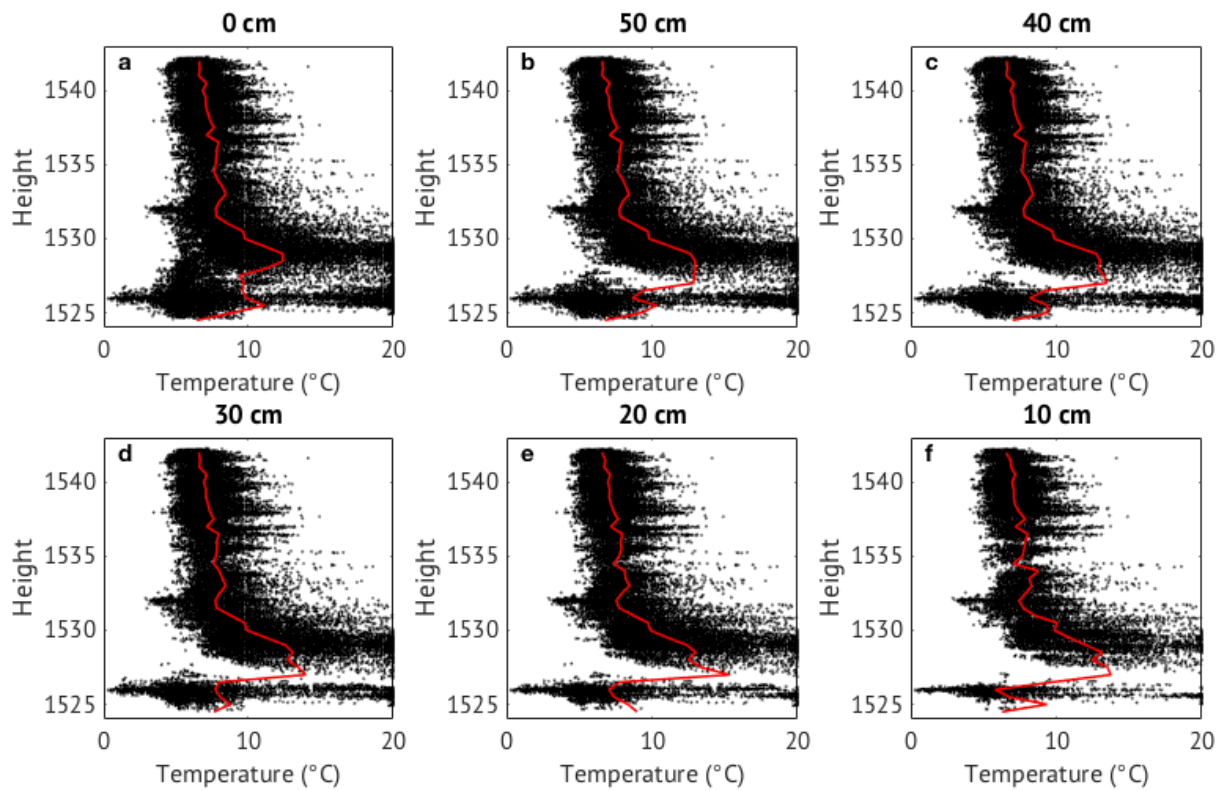
394 A further inconsistency between RGB and thermal point-clouds was an increase in the
395 number of points in the thermal point-cloud, between 1528-1530 m, which did not
396 match the physical position of the lower tree branch clusters. On closer inspection, the
397 thermal signature of these additional points had more in common with the surrounding
398 snow-free ground surface, which generally had a higher temperature relative to the
399 tree in areas exposed to direct sunlight, and a lower relative temperature in the
400 shaded, north-western sector of the model. These incorrectly placed points could be
401 attributed to a number of factors, such as the comparatively homogenous texture of
402 the ground surface in the thermal imagery. A further cause of the incorrectly placed
403 points could be the pixel footprint size, which is likely to have proved challenging for
404 accurate depth reconstruction. This predominantly occurs because a single pixel in
405 the thermal imagery encompasses elements of both canopy and the ground, leading
406 to the different components being averaged into a single pixel. The result is the
407 incorrect placement of these points in the vertical (z) plane and an artificially increased
408 point density, especially in the lower portions of the thermal point-cloud. Additionally,

409 the field of view of both the RGB camera and the thermal imager are such that interior
410 canopy detail often appears at the periphery of the input imagery, where the view
411 perspective becomes increasingly oblique (assuming that the image has a nadir
412 orientation) and where the magnitude of lens distortion increases. Scrutiny of the
413 thermal point cloud of the standalone tree reveals that these incorrectly placed points
414 are concentrated towards the interior of the lower canopy. It is feasible that
415 inaccuracies in the estimated interior camera lens distortion parameters translate into
416 poor positional accuracy for 3D points which are identified and matched across
417 marginal areas of the input thermal imagery.

418 In light of these results, the thermal point-cloud was therefore further refined by the
419 inclusion of an additional post-processing step, whereby the RGB point-cloud was
420 used to filter points from the coincident thermal data. RGB-to-thermal cloud-to-cloud
421 (C2C) distances were calculated in CloudCompare software, and thermal points were
422 iteratively retained or removed depending on their 3D position within a given Euclidean
423 distance threshold of an RGB point. Reducing the threshold distance resulted in a
424 linear reduction in the number of retained points, as well as a reduction in the overall
425 mean and median cloud-to-cloud distance (Table 3; Figure 4). Importantly, even with
426 the application of a coarse (0.50 m) C2C distance tolerance, the empty volume
427 between the ground surface and base of the canopy was resolved in the thermal data
428 (Figure 5). Further decreases in the C2C threshold distance from 50 cm down to 10cm
429 modified the mean vertical temperature profile in the lower section of the model (red
430 lines in Figure 5). This decrease reflected the removal of ground points (warmer) that
431 were erroneously classified as tree points during SfM-MVS post-processing. The use
432 of a 0.1 m threshold resulted in removal of up to ~50% of the thermal data points.

433 However, this resulted in no substantial modification to the vertical temperature profile
434 in the highest two thirds of the tree (Figure 5).

435



436

437 **Figure 5:** Point densities through filtering procedure using cloud-to-cloud distances between
438 RGB and thermal points.

439

440 **Table 3:** Summary statistics for point cloud reduction following cloud-to-cloud distance
 441 thresholding.

C2C threshold distance (m)	n points	% points retained	Mean C2C distance (m)	Median C2C distance (m)
Raw	59,167	100	0.194	0.098
0.50	52,807	89	0.121	0.083
0.45	51,869	88	0.108	0.078
0.40	50,733	86	0.108	0.078
0.35	49,293	83	0.100	0.075
0.30	47,747	81	0.093	0.072
0.25	45,646	77	0.085	0.068
0.20	42,434	72	0.074	0.062
0.15	37,698	64	0.062	0.055
0.10	30,077	51	0.046	0.043

442

443

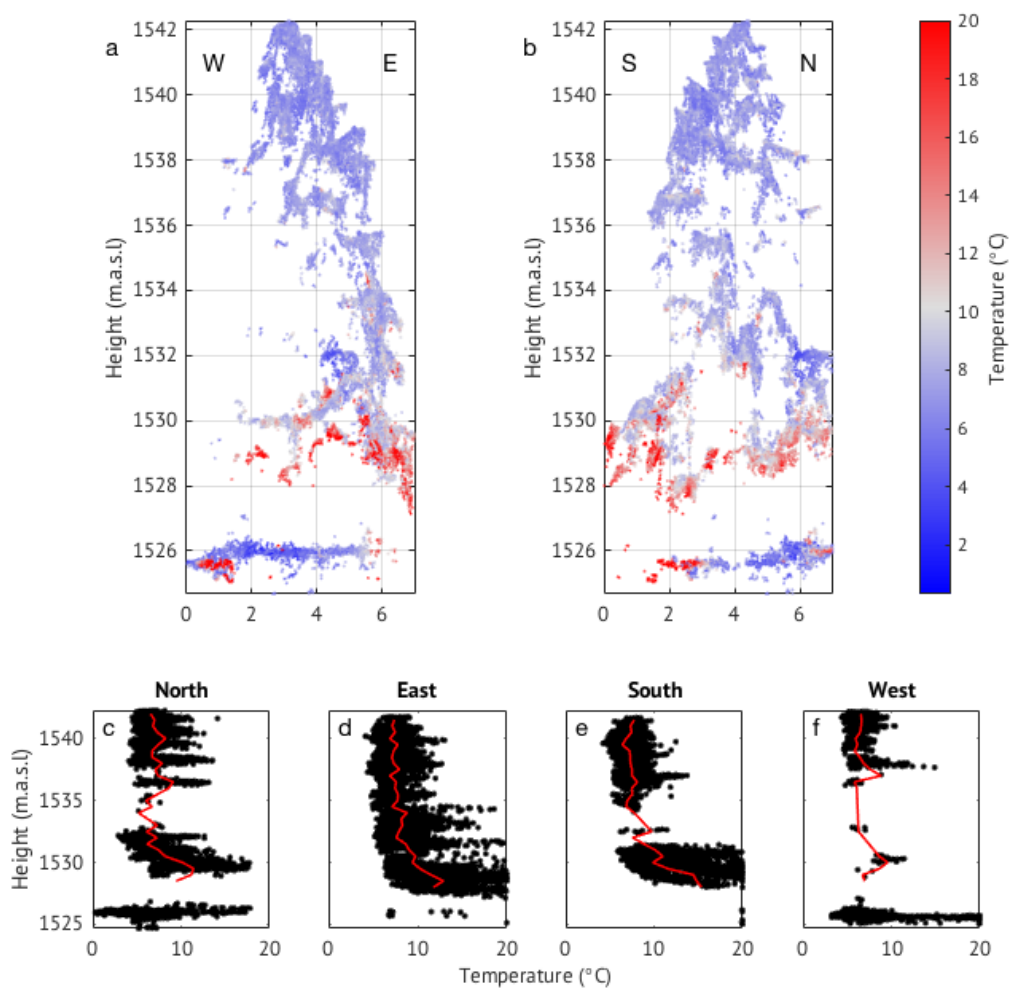
444 *4.2.3. Thermal characterization*

445 Temperature profiles of the single tree are shown in Figure 6. Average air temperature
 446 during the data acquisition period, measured at a weather station located 2km up-
 447 valley to the north-west, was 5.2°C. Tree and ground temperatures in the entire point-
 448 cloud ranged from 0.3 to 20°C and were warmer in the lower third of the tree (1527-
 449 1530m) compared to the upper two thirds. Vertical profiles show only a small number
 450 of points in the north and west (shaded) sectors of the 3D thermal model. Most points
 451 within the thermal point-clouds were located at the base and top of the tree, and along
 452 the south and east (sunny) sides.

453 Division of the thermal point-cloud into its cardinal quadrants revealed differences in
 454 vertical temperature profiles between aspects (Figure 6c-f). Temperatures were
 455 highest in the lower third of the tree in the north, east and south profiles, and data from
 456 this region of the tree were missing in the west quadrant due to the self-shading.

457 Overall highest temperatures were recorded in the south and east quadrants where
458 average temperatures reached up to 15°C, reflecting the direction of exposure of the
459 tree to direct solar radiation. Temperatures in the north and west quadrants were
460 comparatively lower. Above 1530 m (the upper two-thirds of the tree), vertical
461 temperature profiles were relatively consistent between all four quadrants, and ranged
462 between 7-8°C, on average 2°C above measured air temperature.

463



464

465 **Figure 6:** East-west (a) and north-south (b) perspectives of thermal point-cloud demonstrating
466 temperature distribution of the 3D tree reconstruction. Bottom panel (c-f) demonstrates
467 temperature distribution with height in each of the four cardinal direction wedges. Red lines
468 represent average temperature through the vertical profile.

469

470 Ground temperatures also differed between the four quadrants. In particular, the
471 ground in the west quadrant was coldest, ranging between 0-10°C as a result of
472 shading from the tree. The ground in the north was warmer, between 5-15°C, as a
473 result of direct shortwave radiation earlier in the day when the direct shortwave
474 radiation was closer to the east of the tree. The cloud-to-cloud filtering process
475 appears to have removed all ground points within the east and south quadrants. On
476 closer inspection of the raw C2C results, it appears that greater local C2C distances
477 (up to 50 cm) are reported in the vicinity of the ground surface in these quadrants,
478 implying weaker geometric correspondence between the dense RGB and thermal 3D
479 datasets. Scrutiny of the RGB and thermal imagery for the single tree overflight reveals
480 that fewer photographs of the lower portions of the tree are captured in these
481 quadrants, which may have lowered the reconstruction accuracy. Such issues might
482 be resolved with a revised flightplan that more equally captures the tree geometry,
483 including the acquisition of additional, oblique imagery.

484

485 **4.3. Forest stand**

486 *4.3.1. Geometric and thermal characterization*

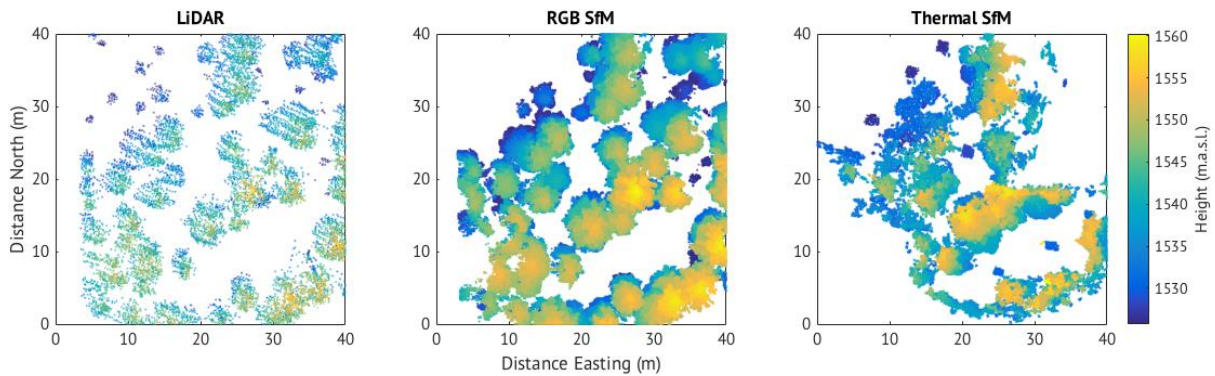
487 Two flights were carried out over the forest stand area on 1 April 2016 at 10:45 and
488 12:55. Initial SfM-MVS reconstruction used the RGB images obtained during both
489 flights in order to increase point-cloud density and reduce gaps in the point-cloud
490 resulting from solar shading of canopy structures. Whilst incorporating images from
491 multiple flights is appropriate for RGB imagery where the structure and appearance of
492 a scene remains constant, separate thermal 3D point-clouds were generated for each
493 of the two flights due to temporal evolution of canopy surface temperatures between

494 flights. SfM-MVS reconstruction yielded 16.8 million 3D points for the RGB photoset,
495 and 206,500 and 148,300 3D points for the two thermal flights. By comparison, LiDAR
496 data of the flight area yielded approximately 63,000 points, including ground returns,
497 which were excluded from thermal and RGB datasets due to masking of the snow
498 surface prior to point-cloud generation. The internal georeferencing error for the RGB
499 forest flight data was 0.432 m, and sub-decimeter for the thermal data (Table 2).
500 Residual errors for subsequent RGB-thermal ICP alignment were 0.167 m and 0.150
501 m for thermal flight 1 and 2, respectively. It is noted that, whilst the internal
502 georeferencing error for the RGB data is substantially higher than the equivalent
503 thermal data, only 52% and 26% of the thermal photographs were successfully aligned
504 during bundle adjustment in PhotoScan, whereas 100% of the RGB input photographs
505 were aligned. Further, only 6 of 9 GCPs were successfully projected and used for
506 georeferencing of the thermal dataset from the second UAV flight due to issues with
507 high wind speeds, which precluded the capture of stable imagery in the south-eastern
508 sector of the forest site. Without any independent data to verify the accuracy of the
509 data, caution is advised in interpreting these metrics in a manner which suggests that
510 the RGB data outperform the corresponding thermal data in terms of internal model
511 consistency or accuracy.

512 Comparison of RGB and thermal 3D point-clouds with equivalent LiDAR data over the
513 flight area demonstrated a much greater point-cloud density of the RGB and thermal
514 SfM-MVS data (Figure). Even with 3D ground points removed from the RGB and
515 thermal datasets, point densities for the clouds shown in Figure 7 were 35,254 and
516 776 points per m², respectively, compared to 78 points per m² for the LiDAR point-
517 cloud. Trees in the north-east of the flight area were not present in the thermal point

518 cloud compared to the RGB and LiDAR point clouds. Despite differences in point-
519 cloud densities and lower areal coverage in the thermal point cloud, canopy structures
520 and tree clusters were well represented in all three methods.

521
522

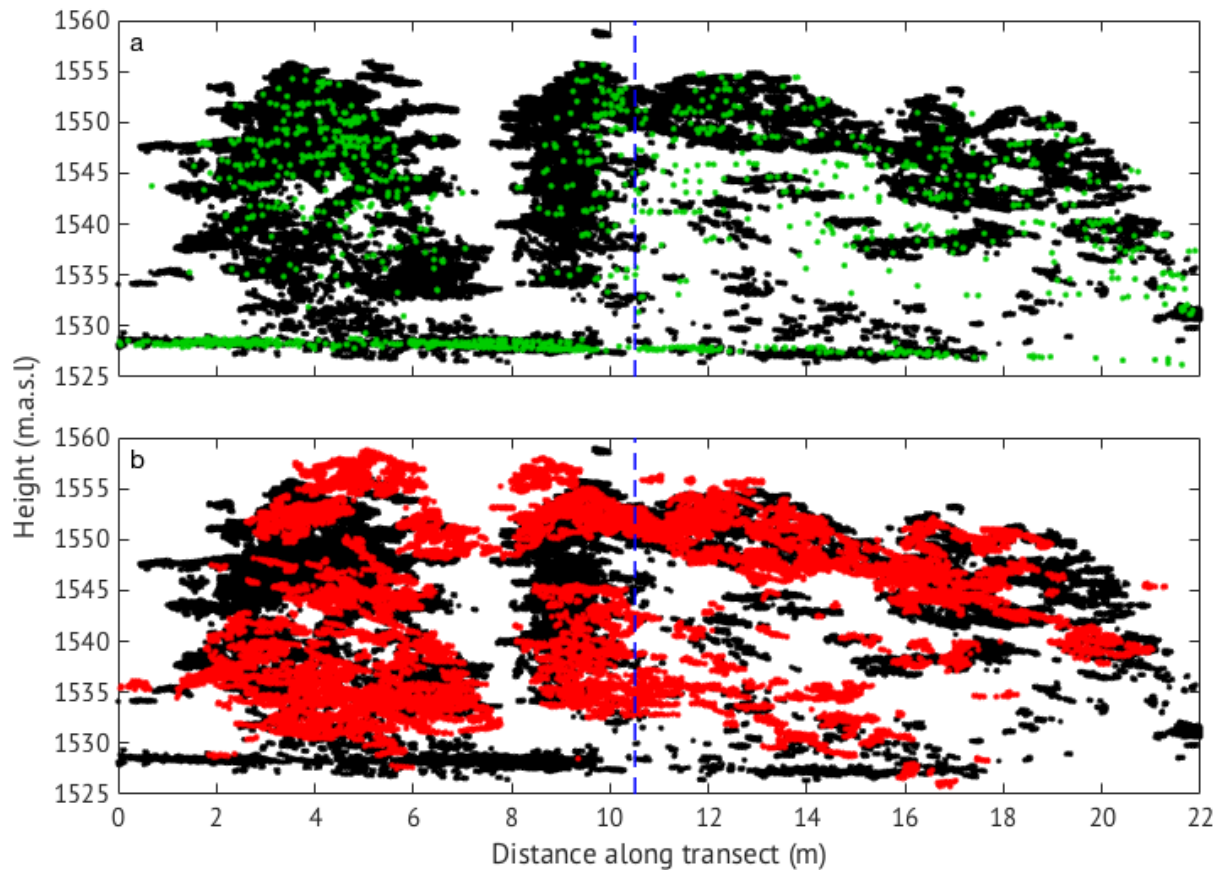


523

524 **Figure 7:** Top-down view of the LiDAR, RGB and Thermal (Flight 1) point-clouds of the forest
525 stand flight area. Snow/ground surface is masked out in all three point-clouds. Black lines
526 indicate location of transects shown in Figure 8.

527

528 Differences in overlap of the three point-clouds are shown in Figure , along the cross-
529 section shown in Figure 7. The upper canopy is particularly well represented by all
530 three methods, although it is represented in greater detail in both the RGB and thermal
531 point-clouds. Although sparser, the LiDAR point-cloud does not appear to
532 misrepresent any element of the canopy structure compared to the RGB and thermal
533 SfM-MVS point-clouds.



534

• RGB SfM • LiDAR • Thermal SfM

535 **Figure 8:** Cross-sections (Figure 7) of a 22 x 5 m swath of forest (south-north) at the Laret
 536 forest stand site produced from RGB SfM-MVS methods compared to LiDAR (a) and thermal
 537 SfM-MVS methods (b). Note horizontal scale exaggerated relative to vertical scale.

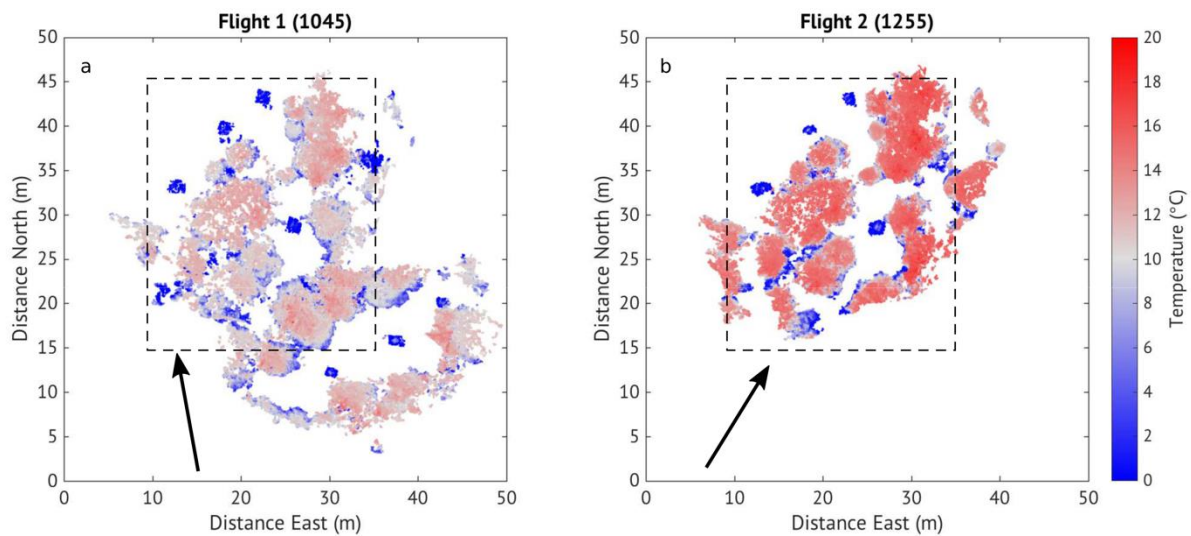
538

539 4.3.2. Temporal characterization

540 Repeat flights across the two-hour period on 1 April demonstrated increasing canopy
 541 temperatures between 10:45 and 12:55 (Figure 9). The maximum forest temperature
 542 during flight 1 was 17.5°C, which increased to 19.8°C during flight 2. Increased forest
 543 temperature corresponded to an increase in local air temperature between 8.5-10.4°C
 544 between the two flights. Furthermore, the crowns of the trees were uniformly warmer
 545 during flight 2 compared to flight 1. In particular, warming at the top of the canopy
 546 during flight 1 was concentrated along south-east-facing sides of the trees (similar to

547 the single tree), while canopy temperatures were relatively uniform around tree crowns
548 in all directions during flight 2. These patterns accurately reflect the response of the
549 canopy to increased exposure to direct shortwave radiation, particularly due to the
550 increased solar elevation angle.

551



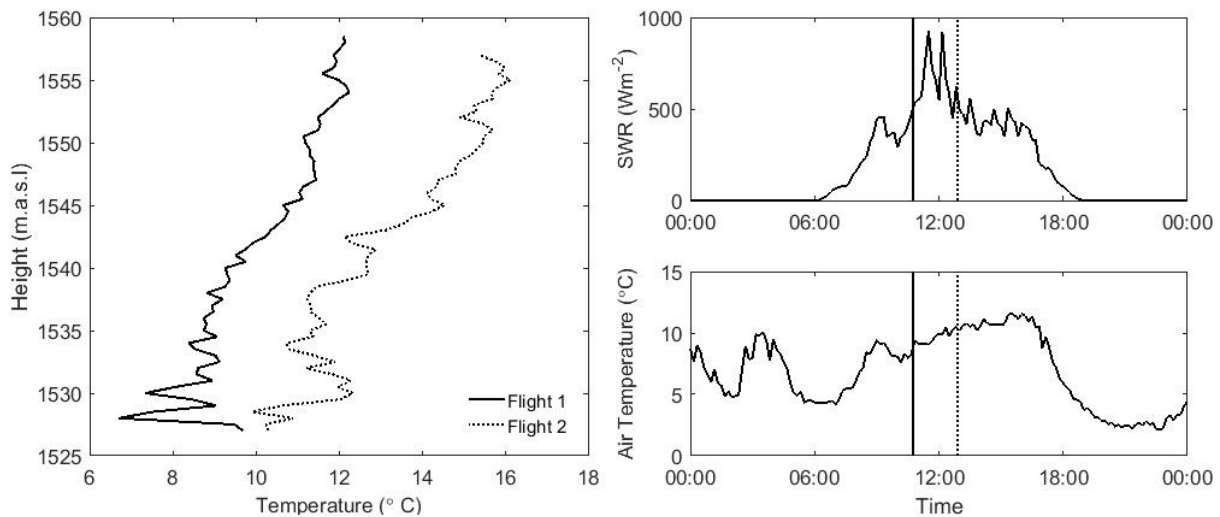
552

553 **Figure 9:** Top-down view of the thermal point-clouds generated from Flight 1 and Flight 2
554 colored by temperature. Dashed box indicates area over which temperatures were averaged
555 for vertical profiles shown in Figure 10. Arrows indicate solar azimuth and direction of direct
556 shortwave radiation.

557

558 Two vertical profiles of average canopy temperatures (Figure 10) taken from
559 overlapping areas of the point-clouds (dashed box outline in Figure 9) show cooler
560 surface temperatures in the lower canopy compared to the upper canopy. Average
561 canopy temperatures during flight 1 increased from 6.7-9.7°C in the lower 10 m, up to
562 11.8°C at the top of the canopy. By comparison, surface temperatures during flight 2
563 ranged between 9.9-12.3°C in the lower 10 m, increasing to 15.6°C at the top of the
564 canopy. The vertical canopy temperature profiles show an overall canopy warming of

565 1-4°C between 10:45 and 12:55. Warming was greatest in the upper profile of the
566 canopy, where increases in average tree crown temperature were approximately 4°C.
567 Temperature increases in the lower 10 m of the canopy (relatively shaded) were
568 between 1-2°C.
569



570
571 **Figure 10:** Average vertical canopy temperature profile of each flight averaged across the
572 overlapping area shown in Figure 9. Air temperature and incoming shortwave radiation from
573 the weather station at the open site are shown and times of each flight are indicated by vertical
574 lines.

575

576 5. Discussion

577 5.1. Generating 3D point-clouds of forest structures

578 RGB and thermal point-clouds generated in this study further demonstrate the
579 suitability of UAV-acquired RGB imagery combined with SfM-MVS processing
580 methods for retrieving accurate models of forest canopy structures (Dandois and Ellis
581 2013; Wallace et al. 2016). In particular, the high density of the RGB point-clouds of
582 both the single tree and the forest stand, demonstrate an effective method for

583 characterizing conifer forest structures. At both field sites, the geometric
584 characterization of tree structures from thermal SfM-MVS models was sufficiently
585 detailed to permit the identification of individual branch clusters.

586 Discrepancies in the number of 3D points in the RGB and thermal point clouds
587 recovered during SfM-MVS processing are explained, in the first instance, as a
588 function of the vastly different image resolutions; 4608 × 2592 pixels for the RGB
589 sensor and 288 × 382 pixels for the thermal imager. The pixel density of the RGB
590 sensor exceeds the thermal sensor by an order of magnitude, resulting in the
591 identification of fewer image key points for a given pair of corresponding RGB and
592 thermal images. It is likely, however, that the use of a higher resolution thermal
593 imagery or a lower flying height would reduce these discrepancies.

594 Of the 186 thermal images acquired during Flight 1, 249 (75%) aligned to form the
595 thermal point cloud, compared to 100% of the RGB images being included in the RGB
596 point clouds. This limited alignment of thermal images is likely a combination of two
597 artifacts of the thermal imager. The first is simply due to the lower resolution of the
598 camera in combination with the changing viewpoint as the UAV moves across the
599 forested area. Trunks of trees are visible in the outer regions of images, however when
600 the tree is in the center of the image the trunk is largely obscured from the imager, as
601 at the single tree. The second explanation is also due to the changing angles of the
602 viewpoint of the imager, which alters the area over which a single pixel averages for
603 one temperature, thus changing the temperature of the object of interest between
604 sequential images. These errors could be avoided through flying higher and using a
605 camera with a higher pixel resolution or angular view.

606 Areal coverage of the thermal point clouds compared to the equivalent RGB point
607 clouds was also smaller, particularly in the north-west of the flight area during flight 1
608 and in the south-east of the flight area during flight 2. The RGB camera used here had
609 a much greater field of view compared to the thermal camera, capturing a larger area
610 of the forest. This allowed for calculation of more key points compared to the limited
611 field of view of the thermal imager, particularly in the areas around the edge of the
612 flight area where canopy features were in a smaller number of thermal images
613 compared to the RGB images.

614 SfM-MVS reconstruction of the single tree revealed the presence of incorrectly placed
615 3D points in the thermal data. Closer inspection of the thermal signature of these
616 incorrectly placed points revealed them to be associated with the ground surface
617 (grass), which was warmer than the tree canopy. The abundance of incorrectly placed
618 3D thermal points, or false positives, might be explained by the 'mixed pixel'
619 phenomenon, where a pixel incorporates the temperature both of the canopy and
620 ground surface. The lower resolution of the thermal imager and resulting blurred edge
621 definition of the tree structure in the thermal images remains a challenge for accurate
622 depth reconstruction. Similarly, generation of false image matching parallaxes,
623 resulting from slight displacement of image features because of wind-driven canopy
624 movement, may be an additional factor. However, these effects were minimized by the
625 simultaneous acquisition of RGB and thermal images. User-guided filtering of thermal
626 point-cloud data using the coincident RGB 3D model proved to be a highly effective
627 way of removing most incorrectly placed points, but inevitably it can also remove
628 accurately placed thermal data. The combination of a high quality RGB camera, used
629 coincidentally with the thermal camera can overcome some of the apparent issues

630 associated with using a lower resolution imager to capture thermal data and
631 represents a substantial technological advancement. Furthermore, it is likely that
632 future improvements in lightweight, survey grade thermal sensor technology,
633 specifically sensor resolution and fidelity, will improve the robustness of 3D
634 reconstruction.

635 The high density of the RGB point-clouds, when compared to the LiDAR data over the
636 same forest stand, represent an improvement on current methods for obtaining
637 information on forest structures. Point-cloud densities between 20 and 67 points per
638 m² for LiDAR and SfM-derived datasets, respectively, have been presented in
639 previous UAV-SfM-based studies of forest structures (e.g. Dandois and Ellis 2013),
640 compared to 78 and 35,245 points m² presented in this study, an increase in density
641 of 452%. The increased point densities in this study are attributed to differences in
642 above-canopy flying heights which were generally far lower than existing studies. A
643 necessary trade-off exists between areal coverage, which is primarily a function of
644 flying height and sensor view-shed, and point-cloud density or resolution. Increased
645 areal coverage is achievable through increased UAV flying height and range, whilst
646 preserving data densities and accuracies which are achievable by surveying at low
647 altitudes is only possible through the use of increased image sensor resolution.
648 Consequently, further work is required to fully explore the potential of areal upscaling
649 from the scale of individual trees and small forest stands, to geometric and thermal
650 characterization of entire forests and plantations.

651 The LiDAR point-cloud information used in this study has previously been applied to
652 the derivation of canopy structure metrics (Moeser et al. 2015a) and the development
653 of a snow interception model (Moeser et al. 2015b). Further afield, LiDAR data of forest

654 structures have successfully been used for mapping landscape-scale conifer forest
655 structures, improving on lower resolution satellite methods (Morsdorf et al. 2006;
656 Solberg et al. 2009). The accuracy and resolution of RGB imagery point-clouds
657 presented in this study compared to LiDAR suggest methods for mapping forest
658 structures previously developed using LiDAR data can be suitably be applied using
659 RGB point-clouds where LiDAR data are unavailable. In particular, the data acquisition
660 time in this study (< 10 minutes) demonstrates the ease at which 3D canopy structure
661 information can be obtained across forest stand scales. Specifically, the use of RGB
662 point-clouds combined with the increased affordability and accessibility of UAV
663 technologies are likely to make forest structure metrics such as effective leaf area
664 index (Solberg et al. 2009) and fractional forest cover (Morsdorf et al. 2006) more
665 straightforward to obtain in the future.

666

667 **5.2. Thermal analysis of forest canopies using remote sensing**

668 Canopy temperatures are less commonly measured than air temperatures, despite a
669 strong relevance in radiation and biogeochemical cycles in forested environments.
670 Previous studies have used ground-based IR imagery to capture canopy temperatures
671 due to their relationship with meteorological variations such as air temperature and
672 solar radiation (Howard and Stull 2013; Pomeroy et al. 2009). This study significantly
673 advances the ability to remotely quantify spatial and temporal variations in forest
674 canopy temperatures through the use of 3D models derived from coarse resolution
675 thermal imagery. It builds upon the existing use of 2D mapping methods (e.g. Faye et
676 al. 2016), which restricts post-analysis, interpretation and application to only the
677 horizontal dimension. Additionally, it improves on existing research applications of 3D

678 thermal data which map 2D thermographic information onto RGB or LiDAR-derived
679 3D topographic models (e.g. Luscombe et al. 2015; Nishar et al. 2016); however, such
680 an approach is unsuitable for geometrically complex environments such as forests.
681 3D thermal reconstruction of the single tree demonstrated both horizontal and vertical
682 variations in surface temperatures. The model accurately captured warmer
683 temperatures in the eastern and southern sectors of the tree, where it was exposed to
684 direct solar heating, and cooler temperatures in the northern and western sectors.
685 Additionally, warmest temperatures were found in the lower third of the tree, likely due
686 to the increased surface area and heat retention capacity of the branches. Canopy
687 temperatures decreased with height in all four quadrants of the tree, resulting in tree
688 temperatures which were on average 2°C above the measured air temperature. The
689 consistent reduction in canopy surface temperature with increasing height, regardless
690 of direction of exposure to sunlight, can be explained by the small boundary layer
691 resistance of conifer needles, which makes up an increasing proportion of the tree with
692 increasing height. The low resistance (high conductance) to heat transfer by the
693 needles lead to rapid exchange of sensible heat (Jarvis et al. 1976), combined with an
694 increase in wind exposure with increasing height, reducing the average temperature
695 of the upper tree compared to the lower tree which is comprised of more woody
696 elements (trunk and branches) which retain heat more efficiently.

697 Repeat flights demonstrated canopy temperature variations throughout the stand
698 scale are strongly coupled to incoming shortwave radiation, although this has
699 previously only been demonstrated through ground-based thermal imagery (Pomeroy
700 et al. 2009; Webster et al. 2016). A lack of variation in canopy temperatures around
701 tree crowns during the second flight over the forested area when compared to flight 1

702 demonstrated a more uniform exposure of the canopy crowns to direct heating by solar
703 radiation as a result of increased solar angle between the two flights. Earlier in the
704 morning, the canopy was only exposed to direct solar radiation in areas facing
705 southeast. As the solar angle increases, tree crowns become increasingly exposed in
706 all directions. This is particularly relevant along shaded sides of forest gaps or
707 clearings and edges, as exposure to shortwave radiation from above and behind leads
708 to warmer temperatures in the upper canopy compared to the lower canopy (Webster
709 et al. submitted). Vertical profiles of average canopy temperature also imply that
710 exposure to solar radiation has a stronger influence on vertical canopy temperature
711 profiles in forested areas where the lower canopy is often shaded. An additional
712 process influencing temperature distribution in canopies is that the irradiance to the
713 lower canopy from the ground is typically less than the irradiance from the atmosphere
714 to the upper canopy. These 3D results presented here demonstrate multiple layers in
715 the vertical variation of the canopy energy balance.

716

717 **5.3. Wider applications of thermal imagery**

718 Airborne thermal imagery of the 30 × 30m forest site in this study revealed horizontal
719 and vertical variation in canopy surface temperatures ranging from 1-20°C. The
720 methods presented here therefore work to improve understanding of the sub-grid
721 heterogeneity of canopy temperatures in relation to coarser scale satellite products.
722 For example, satellite infrared remote sensing of surface temperatures is currently
723 limited to 90 m pixel resolution (ASTER, Yamaguchi et al. 1998), often missing critical
724 sub-grid scale temperature variations such as those demonstrated here. The methods
725 presented here therefore increase the capacity to combine high spatial and temporal

726 resolution data to improve interpretation of satellite information across landscape
727 scales. Extension of these localized methods to application at larger landscape scales
728 can be facilitated through improved knowledge regarding the vertical canopy
729 temperature profiles. These profiles can be integrated with satellite land surface
730 temperature information that ultimately provides the average top of canopy
731 temperature within each pixel. A known relationship between the temperatures of the
732 upper and lower canopy can facilitate the use of canopy temperature in larger scale
733 radiative models using airborne or satellite measurements as input variables. Applying
734 calculated vertical temperature profiles to satellite information of canopy temperatures
735 thus provides sub-canopy temperature information across larger spatial scales for
736 input into local to regional to hemisphere scale land surface models.

737 The methodology presented in this paper demonstrates the ability to capture 3D
738 thermal information of forest canopy structure at the stand scale. These methods can
739 be applied within a number of environmental applications, including energy balance
740 modeling, particularly longwave radiation (Essery et al. 2008b), evapotranspiration
741 prediction (Leinonen et al. 2006) and crop-stress detection (Berni et al. 2009).
742 Additionally, these UAV imaging and post-processing techniques are equally
743 applicable to enhance remote measurement of largely inaccessible physical
744 environments, where 3D thermal data may be of use for advanced process analysis,
745 such as glacier surfaces (Bhardwaj et al. 2016) or areas of volcanic and geothermal
746 activity (Mori et al. 2016; Nishar et al. 2016).

747

748 **6. Conclusions**

749 Coincident thermal and RGB imagery from a UAV were used to produce 3D RGB and
750 thermal models of standalone trees and forest stands. SfM-MVS methods were used
751 to accurately recover 3D forest canopy thermal structure from thermal imagery.
752 Although thermal imagery was lower in point density than coincident RGB images,
753 thermal 3D point-clouds of both the standalone tree and forest site accurately
754 reproduced complex upper-canopy structures. However, the coarse resolution of
755 thermal imagery proved challenging for accurate depth reconstruction of 3D points in
756 the lower forest canopy. These issues could be resolved through the combination of
757 the high quality RGB point cloud and cloud-to-cloud filtering processes to remove
758 incorrectly placed thermal points created through mixed pixels.

759 RGB and thermal imagery from two UAV flights were acquired of a 30 × 30 m forest
760 stand on a single morning during the snowmelt season. RGB and thermal point-cloud
761 densities were 35,254 and 776 points per m⁻², compared to 78 points per m⁻² for a
762 LiDAR dataset of the same area. Thermal point-clouds acquired from two repeat UAV
763 surveys (10:45 and 12:55 on the same day) showed the response of canopy
764 temperatures to increasing shortwave radiation. Warmer average and maximum
765 temperatures were recorded during the second survey. Temperature distributions of
766 tree crowns during the second survey revealed a more uniform temperature
767 distribution and additional heating of shorter trees as a response to increased solar
768 angle and penetration of shortwave radiation to lower regions of the canopy. Vertical
769 temperature variations demonstrated cooler canopy temperatures in the lower profile
770 of the forest stand due to shading by the surrounding canopy, compared to the
771 standalone tree which was sun-lit along the entire vertical profile. The ability to quantify

772 3D surface temperatures of forest canopy structures at high spatial and temporal
773 resolutions has important implications for atmospheric, hydrological and ecological
774 modeling, and has wider applications for thermal measurement of further remote
775 environmental landscapes.

776

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784

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992 **List of figure captions**

993 **Figure 1:** Overview of the two field locations, showing a. relative location between the tree in
994 Dischma Valley and the forest field site in Laret; b. aerial image of single tree in Dischma
995 Valley; c. aerial image and outline of flight area over the forest field site in Laret; d. airborne
996 LiDAR point-cloud data of forest field site in Laret showing canopy distribution and surface
997 height. Aerial images and background images from © CNES, Spot Image, reproduced with
998 permission from Swisstopo, NPOC (JA100118).

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1000 **Figure 2:** a. DJI S1000 Octocopter in flight fitted with; b. gimbal with Optris PI450 imager (I),
1001 NetBox (II) and Panasonic Lumix RGB camera (III); c. example of thermal ground control point;
1002 d. example of airborne thermal image over forested area with ground control points circled.

1003

1004 **Figure 3:** Data collection and SfM-MVS processing workflow for constructing georeferenced
1005 3D point-clouds of forest structures from coincident RGB and thermal infrared imagery
1006 acquired using a lightweight UAS. Steps colored in gray were applied exclusively to thermal
1007 data.

1008

1009 **Figure 4:** North-south profile of the single tree: a. RGB image of single tree taken looking east;
1010 b. RGB point-cloud dataset; c. thermal point-cloud dataset before cloud-to-cloud filtering and
1011 d. thermal point-cloud dataset after cloud-to-cloud filtering.

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1013 **Figure 5:** Point densities through filtering procedure using cloud-to-cloud distances between
1014 RGB and thermal points.

1015

1016 **Figure 6:** East-west (a) and north-south (b) perspectives of thermal point-cloud demonstrating
1017 temperature distribution of the 3D tree reconstruction. Bottom panel (c-f) demonstrates
1018 temperature distribution with height in each of the four cardinal direction wedges. Red lines
1019 represent average temperature through the vertical profile.

1020

1021 **Figure 7:** Top-down view of the LiDAR, RGB and Thermal (Flight 1) point-clouds of the forest
1022 stand flight area. Snow/ground surface is masked out in all three point-clouds. Black lines
1023 indicate location of transects shown in Figure 8.

1024

1025 **Figure 8:** Cross-sections (Figure 7) of a 22 x 5 m swath of forest (south-north) at the Laret
1026 forest stand site produced from RGB SfM-MVS methods compared to LiDAR (a) and thermal
1027 SfM-MVS methods (b). Note horizontal scale exaggerated relative to vertical scale.

1028

1029 **Figure 9:** Top-down view of the thermal point-clouds generated from Flight 1 and Flight 2
1030 colored by temperature. Dashed box indicates area over which temperatures were averaged
1031 for vertical profiles shown in Figure 10. Arrows indicate solar azimuth and direction of direct
1032 shortwave radiation.

1033

1034 **Figure 10:** Average vertical canopy temperature profile of each flight averaged across the
1035 overlapping area shown in Figure 9. Air temperature and incoming shortwave radiation from
1036 the weather station at the open site are shown and times of each flight are indicated by vertical
1037 lines.

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