

Short communication

## Inter- and intra-annual variations of clumping index derived from the MODIS BRDF product



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### ABSTRACT

Clumping index quantifies the level of foliage aggregation, relative to a random distribution, and is a key structural parameter of plant canopies and is widely used in ecological and meteorological models. In this study, the inter- and intra-annual variations in clumping index values, derived from the Moderate Resolution Imaging Spectroradiometer (MODIS) BRDF product, are investigated at six forest sites, including conifer forests, a mixed deciduous forest and an oak-savanna system. We find that the clumping index displays large seasonal variation, particularly for the deciduous sites, with the magnitude in clumping index values at each site comparable on an intra-annual basis, and the seasonality of clumping index well captured after noise removal. For broadleaved and mixed forest sites, minimum clumping index values are usually found during the season when leaf area index is at its maximum. The magnitude of MODIS clumping index is validated by ground data collected from 17 sites. Validation shows that the MODIS clumping index can explain 75% of variance in measured values (bias = 0.03 and rmse = 0.08), although with a narrower amplitude in variation. This study suggests that the MODIS BRDF product has the potential to produce good seasonal trajectories of clumping index values, but with an improved estimation of background reflectance.

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## 1. Introduction

The spatial distributions of leaves in a canopy are often non-random because they are organized in various structures (Chen and Black, 1992). The non-randomness of leaf distribution can be quantified by a vegetation dispersion parameter called the clumping index ( $\Omega$ ) in a simple canopy radiation transfer model at a given zenith angle  $\theta$  (Nilson, 1971):

$$P(\theta) = e^{-G(\theta)L\Omega(\theta)/\cos\theta} \quad (1)$$

where  $P$  is the gap fraction;  $G$  is a parameter describing leaf angular distribution and  $L$  is the leaf area index (LAI). If leaves of a canopy are randomly distributed,  $\Omega$  is equal to 1. The  $\Omega$  value

can be larger than one when the foliage is regularly distributed. As leaves in a canopy become more clumped,  $\Omega$  decreases, and its value is generally less than one. As optical vegetation indices are sensitive to effective LAI,  $\Omega$  is used to convert the effective LAI to true LAI (Chen and Black, 1992). Leaf clumping affects radiation interception and distribution within canopies, consequently modulating evapotranspiration, energy partitioning and carbon uptake (Baldocchi and Harley, 1995; Chen et al., 2012). Consequently,  $\Omega$  is identified as a key variable for describing canopy architecture within ecosystem models (Duthoit et al., 2008; Fang et al., 2013; Govind et al., 2013; Hill et al., 2011; Ryu et al., 2011; Sprintsin et al., 2011). In the two-leaf ecosystem models,  $\Omega$  is used to accurately separate sunlit leaves from shaded leaves, and without considering foliage clumping, both the gross primary production and evapotranspiration estimates can be biased (Chen et al., in revision; Chen et al., 2012). Spatially-distributed information on the variability in  $\Omega$  across different temporal scales, and for a range of ecosys-

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tems, is therefore essential. However, retrieving the intra-annual variations of  $\Omega$  from remotely sensed data, e. g. the Bidirectional Reflectance Distribution Function (BRDF) product of the Moderate Resolution Imaging Spectroradiometer (MODIS), is difficult because short-term fluctuations have been found in the derived  $\Omega$  time series, implying that the  $\Omega$  seasonality might be contaminated (He et al., 2012b).

The difficulty in modeling  $\Omega$  from remotely-sensed data has led to relatively little research into retrieving spatially-continuous  $\Omega$  values over large spatial extents. He et al. (2012b) produced a global  $\Omega$  map at 500 m spatial resolution for one year (2006). However, they used a single annual-median value, therefore neglecting any potential seasonal variations in  $\Omega$ . This study therefore focuses on investigating the magnitude and temporal trends of the seasonal variability of  $\Omega$  for different vegetation types. Specifically, the objectives of this work are (1) to examine if the observed abrupt seasonal  $\Omega$  fluctuations in the satellite data are caused by background changes due to rain events, (2) to examine the inter- and intra-annual variations of  $\Omega$  for forested ecosystems, and (3) to quantify the magnitude of MODIS  $\Omega$  ( $\Omega_{\text{MODIS}}$ ) values in mid-summer. For these purposes, we collect seasonal trajectories of  $\Omega$  from ground measurements with several vegetation types and soil moisture data to identify noise in the  $\Omega_{\text{MODIS}}$  time series; then we reconstruct the seasonality of clumping index using a smoothing algorithm; we analyze the reconstructed  $\Omega_{\text{MODIS}}$  trajectories for multiple years and validate the magnitude of  $\Omega_{\text{MODIS}}$  by ground data collected from 17 sites.

## 2. Methodology and data collection

### 2.1. Ground measurements of clumping index

For conifers, the  $\Omega$  can be separated into two components (or scales), as either larger or smaller than the conifer shoot, which are measured in the field and in the laboratory, respectively (Chen, 1996):

$$\Omega(\theta_s) = \frac{\Omega_e(\theta_s)}{\gamma_e} \quad (2)$$

where  $\theta_s$  is the solar zenith angle;  $\Omega_e$  is the clumping of basic foliage elements larger than conifer shoots that can be indirectly measured by a field-based instrument;  $\gamma_e$ , the needle-to-shoot area ratio, accounts for clumping of needles within a shoot (Chen and Leblanc, 1997). For broadleaves,  $\gamma_e$  is assumed to be one if the foliage element is a single leaf. If the individual leaves are arranged in whorls or their petioles are very short, the identifiable foliage element might be larger than single leaf, and then the  $\gamma_e$  can be larger than one, as shown in the discussion section. When effective plant area index ( $\text{PAI}_e$ ) (defined as one-half the total surface area of leaves and supporting woody materials per unit ground surface area) by LAI-2000 (LI-Cor Co.) in the middle of growing season, and  $L$  obtained from litter-fall data or allometry are available,  $\Omega$  can also be estimated by solving the following equation (Chen, 1996):

$$L = (1 - \alpha) \times \text{PAI}_e / \Omega \quad (3)$$

where  $\alpha$  is the woody-to-total area ratio. Assuming that the measurements of  $\text{PAI}_e$ ,  $L$ , and  $\alpha$  are independent, the absolute error of  $\Omega$  ( $\sigma_\Omega$ , given as a standard deviation) is calculated as (Bevington and Robinson, 2003):

$$\left(\frac{\sigma_\Omega}{\Omega}\right)^2 \approx \left(\frac{\sigma_{\text{PAI}_e}}{\text{PAI}_e}\right)^2 + \left(\frac{\sigma_L}{L}\right)^2 + \left(\frac{\sigma_\alpha}{1-\alpha}\right)^2 \quad (4)$$

We refer the derivation of Eq. (4) from [https://en.wikipedia.org/wiki/Propagation\\_of\\_uncertainty](https://en.wikipedia.org/wiki/Propagation_of_uncertainty)

### 2.2. Clumping index from MODIS ( $\Omega_{\text{MODIS}}$ )

The individual  $\Omega_{\text{MODIS}}$  for a specific time is retrieved from MODIS BRDF product (Schaaf et al., 2002) using the same method described in He et al. (2012b). A brief explanation is provided in the supplementary material. We combine the individual  $\Omega_{\text{MODIS}}$ , corresponding hotspot, dark spot reflectance, and NDHD (Normalized Difference between Hotspot and Dark spot) into a time series and compare them with a soil moisture time series at the same locations, in order to identify  $\Omega_{\text{MODIS}}$  noise possibly caused by rain events and changes in background. Here we choose soil moisture rather than precipitation and background reflectance because soil moisture data are available from flux tower sites; and for future application they are available from remote sensing (e. g. the Soil Moisture and Ocean Salinity (SMOS) mission and Soil Moisture Active–Passive (SMAP) mission). The noisy  $\Omega_{\text{MODIS}}$  time series is then smoothed and reconstructed by a method named locally adjusted cubic-spline capping (LACC) (Chen et al., 2006).

### 2.3. Data collection

Ground measurements of  $\Omega_e$  time series for 6 sites (4 conifer forest, 1 mixed forest, 1 oak-savanna) were collected from previous studies (Table 1) and used to calculate  $\Omega$  (Eq. (2)) to compare to the seasonal  $\Omega_{\text{MODIS}}$ .

The TP39 (42.71° N, 80.36° W), and TP74 (42.707° N, 80.348° W) sites in Ontario, Canada, are both needleleaf evergreen forests dominated by Mature White Pine (*P. strobus*) (Peichl et al., 2010). The Radiation transfer Model Intercomparison (RAMI) pine site is dominated by Scots pine (*P. sylvestris* L.) stand in Järvelja, Estonia (58.31° N 27.30° E) (Kuusk et al., 2013). The Yatir site in Israel (31.35° N, 35.03° E), is a monocultured plantation which is dominated by Aleppo pine (*Pinus halepensis* Mill.) (Sprintsin et al., 2011). The Borden Forest site in Ontario, Canada (44.32° N, 79.93° W), a mixed deciduous forest from natural regrowth, is dominated by Red maple (*Acer rubrum* L.), Eastern white pine (*Pinus strobes* L.), Large-tooth aspen (*Populus grandidentata* Michx.), and White ash (*Fraxinus Americana* L.) et al. (Froelich et al., 2015). The Tonzi ranch site, an oak-savanna ecosystem in California, USA (38.43° N; 120.96° W), is dominated by blue oak trees (*Quercus douglasii*) with occasional gray pines (*Pinus sabiniana*) (Baldocchi et al., 2004). (1) Tracing Radiation and Architecture of Canopies (TRAC) was used to measure  $\Omega_e$  for a whole canopy at a given solar zenith angle ( $\theta_s$ ) along transects at TP39, TP74, Yatir, and Borden Forest sites (Chen and Cihlar, 1995); (2) Digital Hemispheric Photographs (DHPs) taken by fisheye lens under diffuse illumination conditions were used to retrieve  $\Omega_e$  for the RAMI (Radiation transfer Model Intercomparison) pine site. Pisek et al. (2013) and Leblanc et al. (2005) provided detailed descriptions of the measurements and method used at this site, respectively; (3) At Tonzi Ranch site, the  $\Omega_e$  was estimated from the upward-pointing digital images (Ryu et al., 2012) using the method of Macfarlane et al. (2007). The  $\gamma_e$  values for conifer species were collected from laboratory measurements (Chen et al., 1997) in this study or from literature.

To test if the median magnitude of  $\Omega_{\text{MODIS}}$  over a whole season (He et al., 2012b) is in the reasonable range, we collected values of  $\text{PAI}_e$ ,  $L$  and  $\alpha$  from literature for 17 sites and used eq. (3) to calculate independent values of  $\Omega$  as listed in Table 2.

Values for  $\alpha$  were obtained from published data (Supplemental material, Table 1) and a mean of 0.2 was used in the calculation of  $\Omega$ . The MODIS BRDF product (MCD43A1) and corresponding data quality product (MCD43A2) from 2000 to 2013 were downloaded from Land Processes Distributed Active Archive Center (<https://lpdaac.usgs.gov>). We extracted the snow-free and high quality MODIS BRDF model parameters and derived  $\Omega_{\text{MODIS}}$  for sites mentioned in Table 1 and Table 2. The soil moisture data (volumetric soil water

**Table 1**  
Characteristics of the seven validation sites.

Site	Tonzi	RAMI pine	Yatir	TP39	TP74	Borden
Location	38.43°, –120.96°	58.31°, 27.30°	31.35°, 35.03°	42.71°, –80.36°	42.707°, –80.348°	44.319°, –79.934°
Forest type	MF	NEF	NEF	NEF	NEF	MF
Year of Sapling			1964–1969	1939	1974	Natural regrowth
Maximum LAI	0.84			~8	~7.5	4.6 in 2006
Overstory	GP <10% and BO	SP	AP	MWP	MWP	Red maple, large-tooth aspen, American beech
Understory	Grass	Sparse labrador tea and cotton grass, and a continuous sphagnum moss layer	Sparse grass in rain season (November–April)	<i>Q. vultina</i> , <i>Abies balsamifera</i> , <i>Prunus serotina</i>	<i>Q. vultina</i> , scattered patches of mosses	Dwarf shrubs, ferns and saplings
Tree height (m)	9.4 ± 4.3	16	~10	21.8 ± 1.7	13.1 ± 1.2	~20 m
Method	DHP: Macfarlane et al. (2007); Ryu et al. (2012)	DHP. Leblanc et al. (2005)	TRAC	TRAC	TRAC	TRAC
In-situ measurement	2009–2010	2011	2005, 2012, 2013	2011, 2012	2011, 2012	2013
Plot size	Every 30 m along three 300 m long transects 30 m apart	Flux tower site	Every 10 m along 100 m long transect	Every 10 m along 100 m long transect	Every 10 m along 100 m long transect	Every 10 m along 300 m long transect
$\gamma_e$	1	1.75	1.7	1.7	1.8	1
References	Baldocchi et al. (2004)	Kuusik et al. (2013)	Sprintsin et al. (2011)	Peichl et al. (2010)	Peichl et al. (2010)	Teklemariam et al. (2009)
Note			Thinning in 2012/2013 due to drought	Thinning in February 2012	No thinning	Forest species composition changes over years

Note: MF: Mixed Forest; NEF: Needleleaf Evergreen Forest; GP: Gray Pine (*Pinus sabiniana*); BO: Blue Oak (*Quercus douglasii*); SP: Scots Pine (*Pinus sylvestris* L.); AP: Aleppo Pine (*Pinus halepensis* Mill.); MWP: Mature White Pine (*P. strobus*); DHP: digital hemispherical photograph.

**Table 2**  
Compilation of clumping index values from MODIS and from litter-fall collections and LAI-2000 measurements.

Site	Species	Year	Latitude	Longitude	LAI (Litterfall)	Le_max (LAI2000)	$\Omega \pm 1SD$ ( $\alpha = 0.20$ )	$\Omega_{MODIS}$ (year)	References
Conifers:									
TP39 <sup>a</sup>	White pine	2011	42.71	-80.360	7.23	5.37	0.59 ± 0.19	0.53 (2011)	this study
TP74 <sup>a</sup>	White pine	2011	42.707	-80.348	6.18	4.01	0.52 ± 0.17	0.54 (2011)	this study
Yatir <sup>b</sup>	Aleppo pine	2001–2004	31.350	35.030	2.02	1.23	0.49 ± 0.16	0.59 (2003)	Sprintsin et al. (2011)
RAMI-Spruce <sup>b</sup>	Norway spruce	2007	58.295	27.256	6.76 <sup>g</sup>	3.76	0.45 ± 0.15	0.54 (2006)	Kuusk et al. (2013)
RAMI-Pine <sup>b</sup>	Scots pine	2007	58.311	27.297	2.88 <sup>g</sup>	1.75	0.49 ± 0.16	0.55 (2006)	Kuusk et al. (2013)
Metolius	Ponderosa pine	1997	44.499	-121.626	3.50	1.30	0.30 ± 0.10	0.48 (2006)	Law et al. (2001)
Broadleaved:									
RAMI-Birch	Silver and White birch	2007	58.281	27.331	3.93 <sup>g</sup>	2.94	0.60 ± 0.10	0.69 (2006)	Kuusk et al. (2013)
Saskatchewan <sup>c</sup>	Aspen	1994–2003	53.630	-106.200	2.47		0.69 ± 0.11	0.68 (2006)	Barr et al. (2004)
Kannenbruch forest	Oak	2002	53.783	10.600	4.63	4.31	0.74 ± 0.12	0.69 (2006)	Kutsch et al. (2005)
Kannenbruch forest	Beech	2002	53.783	10.600	4.02	3.36	0.67 ± 0.11	0.69 (2006)	Kutsch et al. (2005)
Kannenbruch forest	Alder/Ash	2002	53.783	10.600	4.74	3.98	0.67 ± 0.11	0.69 (2006)	Kutsch et al. (2005)
Walker branch <sup>d</sup>	Oak	1995	35.958	-84.288			0.84 ± 0.14	0.71 (2006)	Baldocchi (1997)
Florida <sup>e</sup>	Cypress&slash pine	1996	29.783	-82.250			0.42 ± 0.07	0.54 (2006)	Liu et al. (1996)
Takayama <sup>f</sup>	Oak	2006	36.146	137.423	5.25	4.11	0.63 ± 0.10	0.65 (2006)	Nasahara et al. (2008)
Borden	Mixed species	1986	44.319	-79.934			0.53 ± 0.09	0.65 (2006)	Neumann and Denhartog (1989)
Costa Rica	Tropical dry forest	2001–2003	10.815	85.615	7.1	5.7	0.64 ± 0.10	0.68 (2006)	Kalacska et al. (2005)
Lausanne	European beech	2004	46.583	6.667	7.6	6.9	0.73 ± 0.12	0.68 (2006)	Thimonier et al. (2010)

Note: To calculate the uncertainty of  $\Omega$ , we assumed that (1) the uncertainties of LAI from litterfall or allometry are 30% and 10% for conifers and broadleaved forests, respectively; (2) the uncertainty of Le is 10%; and (3) the uncertainty of woody-to-total area ratio is 8%. SD: standard deviation.

<sup>a</sup> Needle lifespan is set to 2 years old.

<sup>b</sup> Unit of SLA from the original literature is changed to half of total surface area of needle per weight.

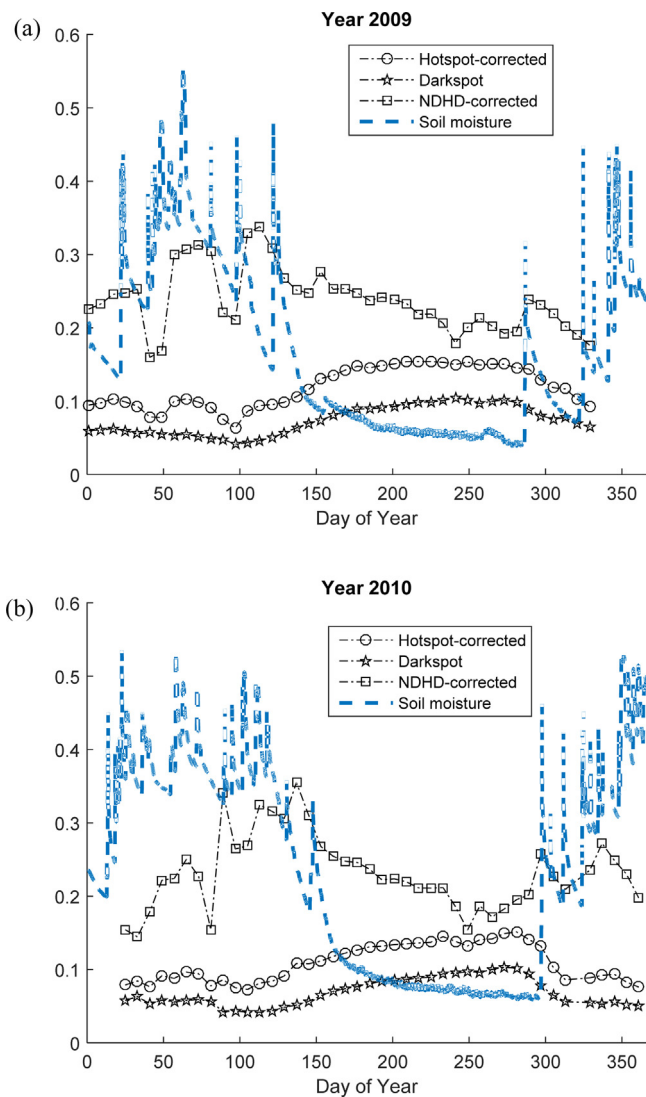
<sup>c</sup> Corrected Le equals to LAI from litterfall using  $\Omega = 0.69$ .

<sup>d</sup> Assessed using radiative transfer data obtained from field site.

<sup>e</sup> Using equation:  $Le = 0.53 \times L_{litter} + 0.1$ .

<sup>f</sup> The article authors suggested to check the shadow from mountain.

<sup>g</sup> The LAI is from allometric method.



**Fig. 1.** Time series of the hotspot and dark spot reflectance (dimensionless), NDHD (dimensionless) derived from MODIS BRDF product (NDHD-corrected) and soil moisture (volumetric soil water content,  $\text{m}^3 \text{m}^{-3}$ ) dynamics in top layers (0–15 cm) at Tonzi site in 2009 (a) and 2010 (b).

content, %) of the top layers for Tonzi Ranch site (2001–2012) and Borden Forest (2005–2013) were collected and used to identify rain events and their potential impact on retrieval of  $\Omega_{\text{MODIS}}$ .

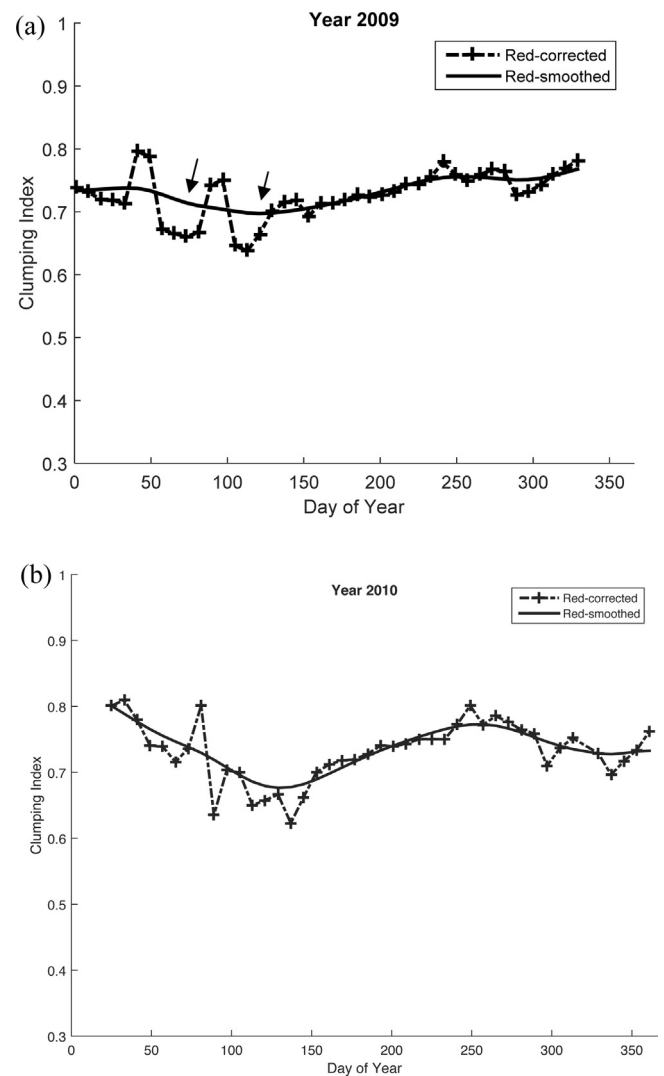
### 3. Results

#### 3.1. Reconstruction of the $\Omega_{\text{MODIS}}$ time series

The time series of the NDHD derived from MODIS BRDF product (NDHD-corrected) and soil moisture dynamics in the soil top layers across a complete growing season are first investigated. Fig. 1 shows an example time-series taken from the Tonzi site in 2009 and 2010.

The hotspot and dark spot values increase slowly from the beginning of year to  $\sim$ DOY 280, mid-growing season, and then decrease slowly towards the end of year in 2009 and 2010. Short-term changes are found in the time series of the hotspot and dark spot reflectance values. These small changes in both the hotspot and dark spot are amplified in the NDHD time series and then transferred to  $\Omega_{\text{MODIS}}$  (Fig. 2).

Many of these changes are directly related to sudden increases in soil moisture, which are caused by rain events; while the



**Fig. 2.** Time series of clumping index derived from MODIS BRDF product for Tonzi site and the effect of smoothing algorithm. The dash-plus line is for original MODIS clumping index and the solid line is for the smoothed clumping index. The line around DOY 90 in 2009 (a) should go down further until the position indicated by the arrows.

subsequent rain events do not change the previous background reflectance obviously. The actual change of  $\Omega$  was tracked by MODIS: on DOY 286 in 2009, the study site experienced a storm with 40 mm rainfall and  $10 \text{ m s}^{-1}$  wind speed, the PAI was reduced by 30% (Ryu et al., 2012) and this resulted in a sudden decrease of  $\Omega_{\text{MODIS}}$  followed by a nearly linear increase of  $\Omega_{\text{MODIS}}$  during the following month (Fig. 2a). We also found that the decrease of NDHD around DOY 240 in 2009 and DOY 250 in 2010 (Figs. 1 and 2) cannot be explained by background change alone. For Borden Forest, it is also clear that the outliers in the NDHD values are associated with rain events identified from the abrupt changes of soil moisture (supplementary Fig. 1). These fluctuations of NDHD are also bounded by the rain events.

Fig. 2 also illustrates the effectiveness of the LACC method for noise removal in the  $\Omega_{\text{MODIS}}$  time series. After evaluating the results for all site-years we find that the LACC method is successful in removing isolated noise; whilst for continuous noise (two or more continuous outliers), the LACC may take the noise as real signal. For example, the two increased points around DOY 40, and another two points around DOY 90 in the original  $\Omega_{\text{MODIS}}$  curve (Fig. 2a) do not follow the general trend, and were not removed by the LACC



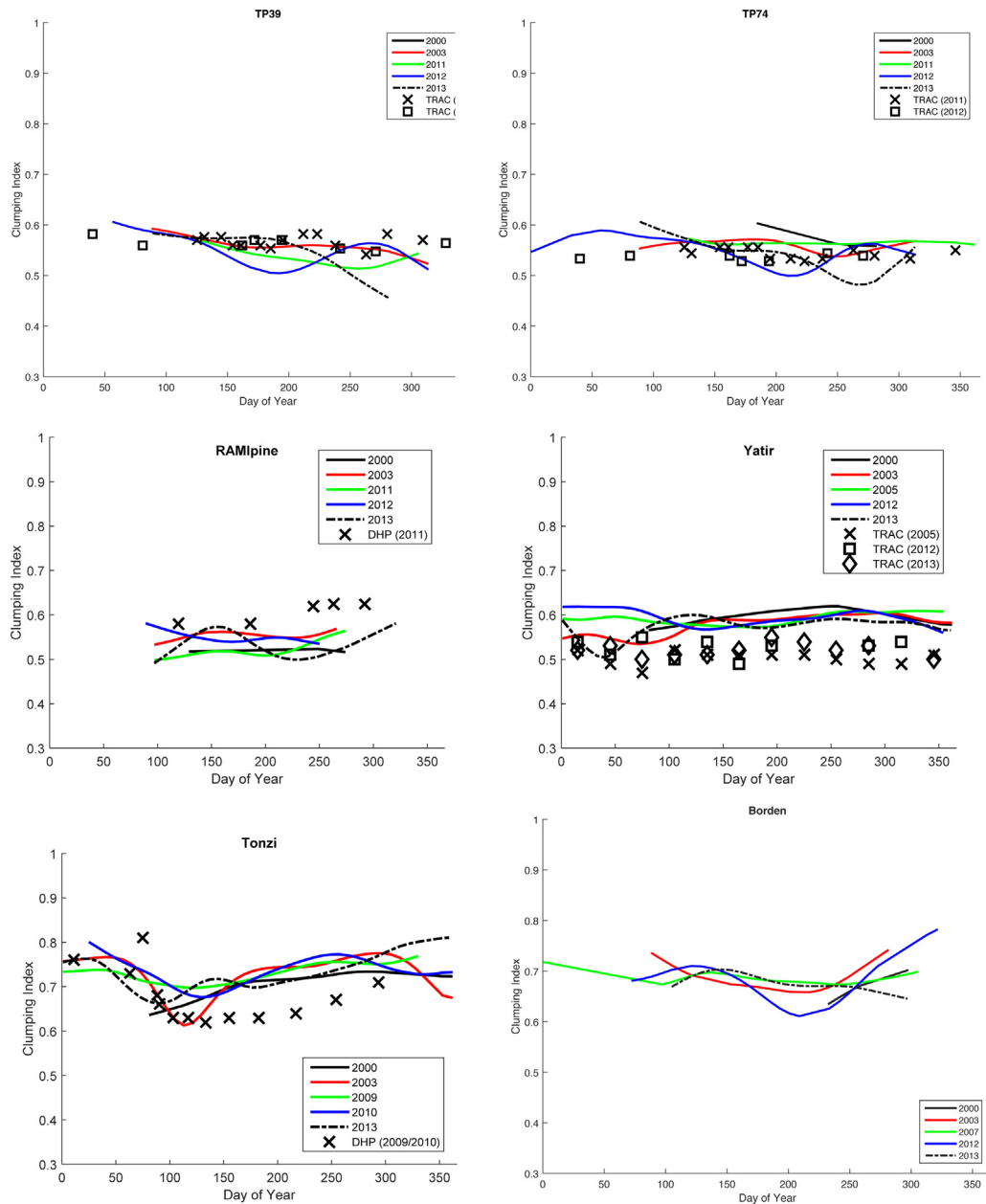


Fig. 3. Time series of smoothed  $\Omega_{MODIS}$  for the six forest sites.

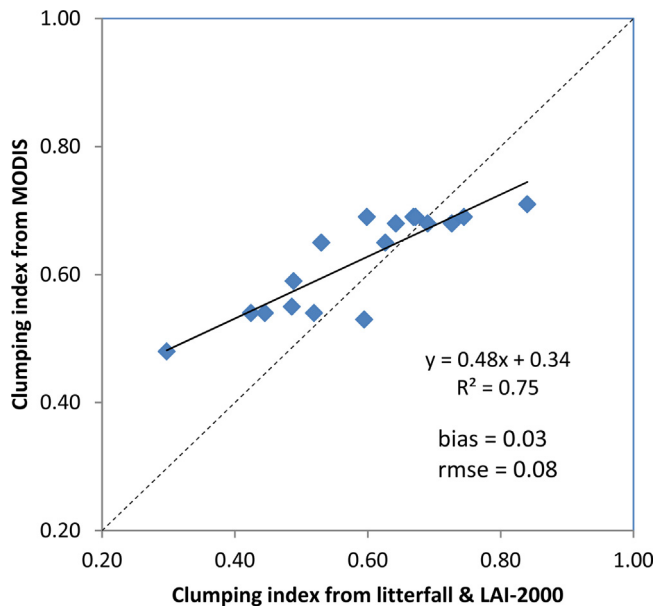
algorithm. In contrast to Fig. 2(a), the LACC method is capable to retain the decrease of  $\Omega_{MODIS}$  in DOY 100–150 in 2010—during wet and growing season for oak-savanna system (Fig. 2b).

### 3.2. Inter- and intra-annual variations of $\Omega_{MODIS}$

The  $\Omega_{MODIS}$  time series at the six sites (Table 1) from 2000 to 2013 are derived from MODIS BRDF product and smoothed using LACC method. For clarity, we only show  $\Omega_{MODIS}$  time series for years 2000 (the first complete year of Terra for the growing season), 2003 (the first year with both Terra and Aqua acquisitions), 2013 (the latest year) and the year(s) whenever ground measurements were available (Fig. 3).

For the four conifer sites (TP39, TP74, Järvelja, and Yatir), the inter- and intra-annual variations of  $\Omega_{MODIS}$  are small, and consistent with the seasonality derived from ground measurements. The  $\Omega_{MODIS}$  values for the TP39 and TP74 sites range between 0.5 and 0.6. In 2012, both the TP39 and TP74 sites show a similar decline

of  $\Omega_{MODIS}$  in the summer associated with a pronounced period of mid-summer hot and dry conditions (Trant, 2014). This decline is inconsistent with other years. This drop in NDHD values during the drought, is likely attributable to a decline in leaf chlorophyll resulting in an increase in the hotspot spot in the red band, and leading to higher NDHD and lower  $\Omega_{MODIS}$  values. For the Järvelja RAMI Scots pine site,  $\Omega_{MODIS}$  shows mostly small seasonality (0.52 to 0.57) because of low needle turnover rate (He et al., 2012a; Vestgarden, 2001). An increase in  $\Omega_{MODIS}$  values around DOY 150 in 2013 is caused by two noisy data points in a row that could not be picked up by the LACC method (Supplementary Fig. 3). For the Yatir site, the  $\Omega_{MODIS}$  values are  $\sim 0.6$  which are close to the  $\Omega$  derived from the Multi-angle Imaging SpectroRadiometer, by Pisek et al. (2013), but are higher than the multi-year TRAC measurements (assuming  $\gamma_e = 1.7$  from literature). For the conifer sites, ground measured  $\Omega$  values show good comparisons with the seasonality of  $\Omega_{MODIS}$  values.



**Fig. 4.** The correlation between  $\Omega_{\text{MODIS}}$  and  $\Omega_{\text{LAI-2000}}$  (for site with forest canopy cover larger than 25%). Please refer to Table 2 for the uncertainty of clumping index from litter-fall & LAI-2000.

The  $\Omega_{\text{MODIS}}$  in the Tonzi oak-savanna site ranges from 0.7 to 0.8 (Fig. 3), with a very consistent pattern among years:  $\Omega_{\text{MODIS}}$  decreases from beginning of year to  $\sim$ DOY 120 when the LAI reaches its maximum, then increases slowly in the dry season until the beginning of rainy season in October. After that,  $\Omega_{\text{MODIS}}$  decreases with time through the rainy season in winter. The pattern of  $\Omega_{\text{MODIS}}$  is similar to results obtained by Ryu et al. (2012). The  $\Omega_{\text{MODIS}}$  at the Borden mixed forest site shows a reasonable pattern with small seasonal variability (Fig. 3)  $\Omega_{\text{MODIS}}$  ranges between 0.63 and 0.74, with minimum values occur in the summer when the canopy is usually the densest. Although the species at Borden site are changing (Teklemariam et al., 2009), measurements taken approximately 25 years ago might provide a comparison for this old growth forest. According to measurements made in 1988 (Neumann and Denhartog, 1989) using the Markov model (Nilson, 1971),  $\Omega$  at the same site (ranging from 0.46 to 0.67, during DOY 260–295) increases with decreasing LAI.

### 3.3. Comparison of $\Omega_{\text{MODIS}}$ with litter-fall collection and LAI-2000 measurements

A compilation of  $\Omega$  values estimated using litter-fall collections and LAI-2000 measurements and the corresponding uncertainties is shown in Table 2.

We find that the  $\Omega_{\text{MODIS}}$  explains 75% variance of clumping index derived from effective LAI and litter-fall collection of LAI ( $p < 0.001$ , bias = 0.03 and rmse = 0.08) (Fig. 4). The  $\Omega_{\text{MODIS}}$  varies in a narrower amplitude than the  $\Omega$  from these ground measurements. MODIS data agrees well with the ground measurements around the median values, but underestimates at higher, and overestimates at lower clumping index values. This is because satellite measurements respond to the structural effects near the top of the canopy, which is more clumped (He et al., 2012b); while the reflectance in red band tends to saturate for dense forest (higher LAI and  $\gamma_e$ ). This also suggests that the seasonality of forest  $\Omega$  can be larger than has been shown from the MODIS retrieval.

## 4. Discussion

### 4.1. Background changes led to noise in $\Omega_{\text{MODIS}}$ retrieval

The results from this study found that precipitation led to changes in background reflectance, which introduced noise in the retrieved  $\Omega_{\text{MODIS}}$  values for the forest sites. High soil moisture content leads to lower soil reflectance in red spectral band, and as the understory develops shortly after the start of rainy season at sparse sites, the total background reflectance in the red spectral band is decreased further (Ryu et al., 2010a). Whilst the forest canopy can be denser after the rain if new leaves appear, significant decreases of  $\Omega_{\text{MODIS}}$  after rain events in the time series are likely noise.

### 4.2. Uncertainties in ground measurements of $\Omega$

The modeled  $\Omega_{\text{MODIS}}$  values were compared to the ground measurements in terms of both magnitude and seasonality, in order to validate the  $\Omega_{\text{MODIS}}$  results. However, due to the compilation of ground data that was used from multiple sources, there may be significant discrepancies in the different ground measurement collection methods used to collect the data (Chen and Cihlar, 1995; Gonsamo and Pellikka, 2009; Leblanc et al., 2005; Leblanc and Fournier, 2014; Pisek et al., 2011). To quantify the uncertainty of  $\Omega_{\text{MODIS}}$  in the middle-summer, we also calculated  $\Omega$  from litter-fall collection and LAI-2000 measurements. It is understandable that the measured  $\Omega$  values using eq. (3) are also prone to uncertainties due to errors related to  $\alpha$  (Chen et al., 1997), LAI-2000 measurement ( $\text{PAI}_e$ ) (Ryu et al., 2010b), and litter-fall collection (LAI).

## 5. Conclusions

The clumping index ( $\Omega$ ) and its seasonality are critical in global LAI mapping and ecosystem modeling. In this study, we investigate the inter- and intra-annual variations of  $\Omega_{\text{MODIS}}$  derived from the MODIS BRDF parameter product. We found that the magnitude of  $\Omega_{\text{MODIS}}$  at each site is comparable from year to year and the seasonality of  $\Omega$  is well captured after noise removal. The seasonality of  $\Omega_{\text{MODIS}}$  for conifer sites is very small and consistent with the ground measurements. For the broadleaved and mixed forest, i.e., Tonzi, and Borden Forest, the change of  $\Omega_{\text{MODIS}}$  is driven by the phenology of leaves such as canopy thickening and defoliation, and the minimum  $\Omega_{\text{MODIS}}$  is generally found in the season when LAI is the maximum.  $\Omega_{\text{MODIS}}$  can explain 75% variation of  $\Omega$  which is derived from litterfall collection and LAI-2000 measurements, although the variation of  $\Omega_{\text{MODIS}}$  is smaller in amplitude than that of ground measurements.  $\Omega_{\text{MODIS}}$  agrees well with the ground measurements around the median values, but underestimates clumping index at the high end and overestimates lower measured values, suggesting that the seasonality of forest  $\Omega$  can be larger than the MODIS retrieval.

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## Appendix A. Supplementary data

Supplementary data associated with this article can be found, in the online version, at <http://dx.doi.org/10.1016/j.jag.2015.07.007>

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