Monitoring elevation variations in leaf phenology of deciduous broadleaf forests from SPOT/VEGETATION time-series

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Abstract

In mountain forest ecosystems where elevation gradients are prominent, temperature gradient-based phenological variability can be high. However, there are few studies that assess the capability of remote sensing observations to monitor ecosystem phenology along elevation gradients, despite their relevance under climate change. We investigated the potential of medium resolution remotely sensed data to monitor the elevation variations in the seasonal dynamics of a temperate deciduous broadleaf forested ecosystem. Further, we explored the impact of elevation on the onset of spring leafing. This study was based on the analysis of multi-annual time-series of VEGETATION data acquired over the French Pyrenees Mountain Region (FPMR), in conjunction with simultaneous ground-based observations of leaf phenology made for two dominant tree species in the region (oak and beech). The seasonal variations in the perpendicular vegetation index (PVI) were analyzed during a five-year period (2002 to 2006). The five years of data were averaged into a one sole year in order to fill the numerous large spatio-temporal gaps due to cloud and snow presence – frequent in mountains – without altering the temporal resolution. Since a VEGETATION pixel (1 km²) includes several types of land cover, the broadleaf forest-specific seasonal dynamics of PVI was reconstructed pixel-by-pixel using a temporal unmixing method based on a non-parametric statistical approach. The spatial pattern of the seasonal response of PVI was clearly consistent with the relief. Nevertheless the elevational or geographic range of tree species, which differ in their phenology sensitivity to temperature, also has a significant impact on this pattern. The reduction in the growing season length with elevation was clearly observable from the delay in the increase of PVI in spring and from the advance of its decrease in the fall. The elevation variations in leaf flushing timing were estimated from the temporal change in PVI in spring over the study area. They were found to be consistent with those measured in situ (R² > 0.95). It was deduced that, over FPMR, the mean delay of leaf flushing timing for every 100 m increase in elevation was estimated be approximately 2.3 days. The expected estimation error of satellite-based leaf unfolding date for a given elevation was approximately 2 days. This accuracy can be considered as satisfactory since it would allow us to detect changes in leafing timing of deciduous broadleaf forests with a magnitude equivalent to that due to an elevation variation of 100 m (2.3 days on average), or in other words, to that caused by a variation in the mean annual air temperature of 0.5 °C. Although averaging the VEGETATION data over five years led to a loss of interannual information, it was found to be a robust approach to characterise the elevation variations in spring leafing and its long-term trends.

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level (e.g. for Europe: Menzel & Fabian, 1999; Menzel et al., 2006). Satellite-based observations have revealed the shifts in leaf phenology of ecosystems at global scale (Myneni et al., 1997; Zhou et al., 2001).

Retrospective approaches are crucial to quantify the phenological shifts and to link them to climate change. Remote sensing time-series data offering an extensive coverage of land surfaces complement the long-term records provided by ground observation networks and historical reconstructions (Rutishauser et al., 2007), although their temporal coverage spans only the most recent 30 years.

The use of daily data at medium spatial resolution provided by satellite sensors such as AVHRR, MODIS or VEGETATION to investigate the timing of vegetation green-up (Beck et al., 2006; Delbart et al., 2006; Fisher et al., 2006; Maingnan et al., 2008; Soudani et al., 2008; Zhang et al., 2003), and its interannual changes or its long-term trends (Delbart et al., 2006; Maingnan et al., 2008; Myneni et al., 1997; Stöckli & Vidale, 2004; Zhou et al., 2001) on large extents has been widely developed during the last decade. These numerous studies benefited from substantial improvements in the reconstruction of land surface reflectance time-series, in particular due to the recent advances in filtering of cloudy or snowy pixels, correction of atmospheric disturbances and normalisation of directional effects (Bacour et al., 2006; Hagolle et al., 2005) and also to the launch of new sensors of higher quality (Badeck et al., 2004) in geometry and radiometry. The timing of phenology of forest ecosystems from remote sensing is commonly based on the analysis of the seasonal trajectory of vegetation indices (e.g. NDVI) pixel-by-pixel. The onset and the end of the growing season are identified from the increase of vegetation index in spring and its decrease in autumn with time. For this purpose the seasonal variations in vegetation index are modelled. Several approaches are possible. Non-parametric methods with various temporal or spatio-temporal interpolation algorithms have been developed (Beck et al., 2006; Maingnan et al., 2008; Stöckli & Vidale, 2004). Statistical fitting of predefined curves (e.g. double logistic function) has also been used with the assumption that the vegetation dynamics is known a priori, ignoring the effects of disturbance (Fisher et al., 2006; Zhang et al., 2003). The timing of phenological transitions is then inferred either by thresholding the modelled vegetation index at a predefined value (Delbart et al., 2006; Maingnan et al., 2008) or by using some parameters of the fitted parametric functions (Beck et al., 2006; Fisher et al., 2006; Soudani et al., 2008; Zhang et al., 2003) such as the inflection points.

The coarse spatial resolution of the most commonly used datasets – 8 km for AVHRR or 1 km for MODIS and VEGETATION – is relevant to relate the phenology global patterns to climate warming, as shown by the studies applied to global or continental scales on large latitude ranges (Delbart et al., 2006; Maingnan et al., 2008; Myneni et al., 1997; Stöckli & Vidale, 2004; Zhou et al., 2001). However, as a given pixel contains a mixture of different species and land-cover types, it is not easy to clearly extract the phenological response of a given type of vegetation (Badeck et al., 2004). Also, Fisher et al. (2007) highlighted that, in deciduous forests, the mixture of species differing in their phenological behaviour makes it difficult to understand the link between satellite information and temperature variability if the species composition is unknown. The temporal unmixing is then a useful approach to downscale from the medium resolution pixel to the local seasonal dynamics of each land-use or vegetation type (Cardot et al., 2008).

Mountain forest ecosystems where the phenology variability can be observed along the broad temperature gradient associated with the large elevation gradient are particularly vulnerable to global warming. Consequences can already be observed on the elevation range of species (Bertin, 2008; Lenoir et al., 2008; Peñuelas & Boada, 2003). Species can either adapt via their phenotype plasticity and/or their genetic diversity, phenological changes reflecting the adaptive response of species, or migrate to milder elevations. However distributional changes are likely to be much slower than the phenological changes (Bertin, 2008). Moreover the climate forcing does not completely explain the observed elevation shifts in plant species as there are some other confounding factors such as changes in land management (Peñuelas & Boada, 2003).

A few studies (e.g. Vitasse et al., 2009a, b) have investigated the seasonal forest species dynamics along elevation gradients and papers based on remote sensing are rare. Beck et al. (2008) presented the gradation of the seasonal course of NDVI derived from MODIS time-series depending on elevation in a mountainous area of China; with a clear decrease in the duration of the green-up period over a 1500 m gradient. Using high resolution data (Landsat TM at 30 m), Fisher et al. (2006) have quantified the effect of the local topography on the initiation of growing season. The too coarse resolution of global 8-km AVHRR data did not allow Maingnan et al. (2008) to capture the effect of temperature variations on the onset of the growing season of mountain forests in Switzerland because of the high within-pixel heterogeneity in elevation and vegetation.

In this paper, we investigated the potential of medium resolution remote sensing to monitor the elevation variations in the seasonal dynamics of temperate deciduous broadleaf forests and to estimate the impact of the elevation on the spring leafing timing of deciduous species. This study is based on a multi-annual time-series of VEGETATION data (2002 to 2006) acquired over an area with large elevation gradients in the French Pyrenees mountains region. Although the spatial resolution (1-km) of this dataset is coarser than that of some MODIS land products (250 and 500 m), we chose to use the VEGETATION observations for the following reasons. Firstly, VEGETATION observations were corrected for the directional effects, which was not the case for the MODIS reflectance products available at the finest resolution (250 m). Secondly, the temporal frequency of the reconstructed reflectance time-series is larger (three times a month) than the one given by the MODIS nadir adjusted reflectance products available at 500 m resolution (two times a month). An unmixing technique was then applied to retrieve the pure seasonal course of reflectance signal of the broadleaf forests pixel-by-pixel. The analysis of the satellite time-series to retrieve the timing of leaf unfolding was supported by the availability of simultaneous in situ observations of phenology for the two main deciduous species in the study area — oak and beech.

2. Materials and methods

2.1. Study area

The study was carried out in a 135 km × 100 km area which covers a large part of the Pyrenean region in South-West France between longitudes 1.24°W to 0.25°E and latitudes 42.71°N to 43.61°N (Fig. 1). This area is characterized by a temperate oceanic climate, with a mean annual temperature of 12 °C and a mean annual precipitation of 1079 mm (observations of Météo-France from 1946 to 2001 in Tarbes, 43°11′N, 00°00′W, 360 m asl (above sea level). The elevation varies from 0 m asl in the plains in the North, to 3100 m in the Pyrenees Mountains in the South. The upper elevation limit of broadleaf forests is approximately 1800 m, whereas the tree line of coniferous and mixed forests is approximately 2000 m. Oak (mainly sessile oak, Quercus petraea) and beech (Fagus sylvatica) are the main deciduous broadleaf species of the study area. Their distribution differs according to elevation; oak occurs over elevations lower than beech as shown in Fig. 2, even though it is still present at high elevation.

Geographical information on the elevation and the land use were respectively derived from the Shuttle Radar Topography Mission (USGS, 2005) and the European CLC2000 database (EEA, 2000).

2.2. Field phenological observations

We used the phenological data set measured by Vitasse et al. (2009b) over the study area. The leaf unfolding of sessile oak and beech was monitored at ground level over 22 sites during three...
consecutive years from 2005 to 2007. The sites were located in hilly and mountain areas along two transects following two valleys: the Ossau valley (Pyrénées Atlantiques) and the Gave valley (Hautes Pyrénées). These were more or less parallel and at a distance of approximately 30- to 50-km apart. Elevation increases from North to South along each transect and the temperature lapse rate over the elevation gradient was approximately 0.4 °C for every 100 m increase in elevation (Vitasse et al., 2009a,b).

Both species were sampled in each transect at five elevation levels: 100 m, 400 m, 800 m, 1200 m and 1600 m above sea level (±50 m). Four intermediate levels were added in the Gave valley for oak: 350 m, 600 m, 1000 m, and 1300 m. In this way 10 populations of beech and 14 populations of sessile oak were selected. The timing of leaf unfolding (LU) was monitored in situ every ten days over ten dominant and mature trees sampled in each population. The exact date of LU (LUD) of each tree sample was estimated by linear interpolation between the measurement dates. At the population level, LUD was calculated as the mean of the ten individual values. Details on the spatial sampling of elevation and on the method used for the phenological observations are given by Vitasse et al. (2009a,b).

Measurements of the elevation variations in LUD from 2005 to 2007 for oak and beech populations are given in Fig. 3a (Vitasse et al., 2009a,b). Both species showed different elevation patterns of LUD and LUD appears to be more sensitive to the elevation gradient for oak than for beech (3.2 and 1 days.100 m−1, respectively). To simulate the expected mean variations in deciduous forests LUD (LUDd) depending on the elevation for the mean climatic conditions over the three years, we combined the phenological patterns of the two species (equations given in Fig. 3a) with a weighting corresponding to their relative elevation distribution (given in Fig. 2). LUDd elevation variations were found to be similar to the LUD elevation variations of beech at an elevation greater than 900 m. At lower elevations LUDd was delayed by 5 to 6 days in comparison with the LUD of pure oak stands (Fig. 3b), even though its sensitivity to elevation gradient was similar (the slope of LUD as function of elevation is approximately 3 days.100 m−1 in both cases). The mean delay of LUDd due to a 100 m elevation increase was approximately 2.3 days over the whole elevation range. In this study, we will consider the curve of LUDd (Fig. 3b) corresponds to the elevation pattern of LUD variations of broadleaf forests by assuming that the latter were composed of only oak and beech. With the same assumption, the mean LUD of broadleaf forests (denoted as LUDREF) in 2005, 2006 and 2007 was approximated by averaging LUDd as a function of elevation over the study area, with a weighting by the elevation distribution of surface fraction containing broadleaf forests derived from CLC2000 database. LUDREF was equal to 105.5 (15 April).

Fig. 1. Location and elevation (asl, in meters) of the study area. White: mask over Spain.

Fig. 2. Elevation repartition of the deciduous broadleaf species: presence frequency of oak versus beech, according to statistics provided by the French office of national forest inventory (Inventaire Forestier National, IFN) from n=1052 ground observations. Frequency of oak = 1 – frequency of beech.

Fig. 3. Dates of the leaf unfolding of deciduous species observed at ground level in 2005, 2006 and 2007 as a function of elevation: (a) Observations for beech (Fagus sylvatica) and oak (Quercus petraea) (Vitasse et al., 2009b), (b) Elevation patterns of the two species and their weighted average (LUDd). DOY is day of the year.

2.3. VEGETATION data

A multi-annual time-series of reflectance data was produced at sampling intervals of 10 days for five years from 2002 to 2006, by using daily data from VEGETATION 1 and VEGETATION 2 instruments on board SPOT-4 and SPOT-5 satellites. After the correction of the sensors sensitivity drift and atmospheric effects, the compositing per 10-day period was performed including the elimination of cloudy or snowy observations and the normalisation of directional effects. The latter was performed with Roujean’s model (Roujean et al., 1992), which was fitted to non-cloudy and non-snowy observations gathered over a time window of ±15 days from the middle of the compositing interval. The core algorithm used is given in Hagolle et al. (2005) and Baret et al. (2007). Finally, the 10-day data produced was the top of canopy reflectance in each spectral band (red, near infrared and shortwave infrared) normalised at view zenith angle = 0° and at sun zenith angle at 10:30 UT for the median day of the ten-day compositing period. It was delivered under the lat–lon projection at 1/112° spatial resolution (i.e. approximately 700 m x 1000 m) over the study area, whereas the native size of VEGETATION pixels is 1 km².

The minimal number of instantaneous VEGETATION data (NMOD) used to estimate the 10-day reflectance was 3. As a consequence, when NMOD was under this threshold the 10-day observation was not provided. The combination of daily data coming from both sensors VEGETATION 1 and VEGETATION 2 when available increased NMOD. This was useful for improving the quality of the directional normalisation and for limiting the amount of missing data. The combination of VEGETATION 1 and 2 images occurred only in 2003 for the whole year, in 2002 after June 1, and in 2004 before April 1. VEGETATION 1, exclusively, was used before June 1, 2002 while VEGETATION 2, exclusively, was used after April 1, 2004. All yearly time-series were incomplete except for 2003 due to the cloud or the snow cover during winter and spring especially in mountains. Thus, the dataset includes both spatial and temporal gaps. The gaps were the largest before and during the leaf unfolding period and less marked during senescence. For instance, over the whole study area there were no missing data only for a small number of 10-day periods: 10 periods in 2002, 4 in 2003, 1 in 2004, 6 in 2005, and 3 in 2006. These 10-day periods only occurred in July, August, September and October. These numerous gaps in the time-series could lead to large errors in the detection of the different phenology stages each year. For instance, Zhang et al. (2009) showed that, using the 16-day MODIS products, two consecutive missing data during the phenophases of interest can multiply by 5 the risk of detection error larger than 5 days in comparison with only one missing data. Some algorithms exist to fill spatio-temporal gaps. But they are based on smoothing techniques (e.g. Gao et al. 2008) and in the case of large gaps they are not able to accurately reconstitute the annual kinetics of the remote sensing signal and its spatial variability. In addition, the algorithm we used for unmixing this kinetics required the temporal continuity of the data. Therefore, as our study was focused on the analysis of the elevation variations in phenology and not on its interannual changes, we pooled the data from the five years to build a sole mean year, assuming the interannual variations in the vegetation seasonal dynamics during the five-year period were lower than the variations due to changes in the elevation over the whole region. This later assumption was supported by the in situ measurements obtained by Vitasse et al. (2009a,b) (Fig. 3a for oak and beech trees). A pixel was thus retained if its NMOD was larger than 2 at least once during the five years (2002–2006) for each 10-day period. In order to minimise the number of rejected pixels, the study period was reduced; it was determined as March 11 to November 11, which spans the whole part of the potential growing season. After this data processing, 12686 pixels were selected. The removed pixels were mostly located at an elevation greater than 1800 m corresponding to the tree line of broadleaf forest.

The unmixing statistical model of Cardot et al. (2008) we used in this study required the remote sensing response of the pixel to be a linear combination of the responses of the sub-pixel components. The ratio-based indices commonly used in phenology studies such as NDVI (normalised vegetation index) or EVI (enhanced vegetation index;Huete et al., 2002) are not compatible with this constraint. Conversely, indices such as the DVI (Difference vegetation index) or PVI (Perpendicular Vegetation Index) are linear indices (i.e. computed from a linear combination of the measured reflectance observations) and they contain more information about the vegetation dynamics than the NDVI (higher Signal to Noise Ratio (Maignan et al. 2008), less saturation problems (Huete et al. 2002), etc.). We chose to use the PVI index which has been designed to minimize its sensitivity to soil reflectance (Richardson & Wiegand, 1977). The PVI is a linear combination of the red (RED) and near infrared (NIR) reflectances: \( PVI = \frac{(NIR - aRED) - b}{\sqrt{1 + a^2}} \) where \( a \) and \( b \) are respectively the slope and the intercept of the soil line. The soil line equation was approximated from a linear regression of the NIR reflectance as a function of RED reflectance over non-vegetated surfaces. As too few VEGETATION data were available over pure agricultural areas in winter when the soil is bare, we used the observations made over pure bare rock pixels in July and August. The linear regression was performed on the 10-day reflectances after averaging the observations over the 5 years. A significant linear relationship between NIR and RED reflectances was obtained (\( n = 312, r^2 = 0.47, p\)-value of t-statistics for the parameters \( a \) and \( b \) was < 0.0001, with \( a = 0.757 \) (standard error = 0.023) and \( b = 0.077 \) (0.002). It resulted that \( PVI = 0.797 \text{NIR} - 0.604 \text{RED} - 0.06 \).

2.4. Unmixing of the seasonal variations in PVI

The unmixing methods were initially developed to estimate the sub-pixel land use composition (Foody & Cox, 1994). Recently, the model of Cardot et al. (2008) dealt with the inverse problem to retrieve the seasonal variations in the remote sensing signal of each land use in each pixel given that the within-pixel land use is known. Due to its large size – nearly 1 km² – the VEGETATION pixel generally includes several land uses. As a consequence, the PVI computed from the VEGETATION observations can be assumed to be a linear combination of the PVI values specific to each land use element. The reflectance variability of a given land use within a pixel being assumed relatively small compared to the variability between pixels, the PVI observed by VEGETATION over the pixel \( i \) as function of time \( t \) (i.e. \( X_i(t) \)) was modelled as:

\[
\begin{align*}
X_i(t) = \sum_{j=1}^{J} \pi_j \rho_j(t) + \varepsilon_i(t) & \quad t \in \{t_1, ..., t_p \} \\
\rho_j(t) - N(\mu_j, \Gamma_j) & \quad j = 1, ..., J
\end{align*}
\]

where

\( i \) index for pixel

\( t \) time, i.e. the 10-day period

\( p \) number of 10-day periods

\( J \) number of the land use classes

\( j \) index for land use class

\( X_i(t) \) PVI of the pixel \( i \) observed from VEGETATION over the 10-day period \( t \)

\( \pi_j \) area fraction of the land use \( j \) within the pixel \( i \), with \( \sum \pi_j = 1 \)

\( \rho_j(t) \) PVI of the land use \( j \) at the 10-day period \( t \)

\( \varepsilon_i(t) \) Expectation of the random function \( \rho_j(t) \) for the land use \( j \) at the 10-day period \( t \)
\( u(t) \) error, assumed independent and Gaussian
\( \Gamma_j \) temporal covariance matrix with the following elements:

\[
[\Gamma_j]_{ll'} = \text{cov}(\rho_q(t_i), \rho_q(t_{i'})), \quad l, l' = 1, \ldots, p.
\]

Therefore the estimation of the PVI seasonal variation (\( \rho_q(t) \)) of each land use class \( j \) present in each pixel \( i \) was performed assuming the surface fraction of each land use \( j \) (\( \pi_{ij} \)) within the pixel \( i \) was known. This unmixing (or disaggregation) of \( X(t) \) was based on the varying-time random effects regression model proposed by Cardot et al. (2008). Introducing random effects allows us to estimate individual variations in PVI, i.e. between pixels.

The estimation method is detailed in Cardot et al. (2008). First, given that \( \pi_{ij} \) is known \( \rho_q(t) \), and \( \Gamma_j \) are estimated from the observed PVI \( X(t) \) and their temporal covariance \( \text{cov}(X(t), X(t)) \) by maximizing the likelihood. Each individual response \( \rho_q(t) \) is then predicted using the Best Linear Unbiased Prediction (BLUP) formula. The two steps include an approximation to the seasonal curves of \( \rho_q(t) \) and \( \rho_{ij}(t) \) with B-Splines functions, which reduces the number of parameters to be estimated and smooths the produced curves. Finally, this statistical approach produces non-parametric models of the seasonal variation in PVI, since it is based on the explicit use of the temporal covariance between numerous VEGETATION observations, without any prior knowledge of the biological and physical determination of the seasonal variations in PVI.

The area fraction of each land use within each pixel (\( \pi_{ij} \)) was provided by the seamless vector data of European CLC2000 geographical database, which describes the land use in 2000 with forty-four classes, including water bodies, which were kept in their original states: “Deciduous broadleaf forest”, “Coniferous forest”, and “Mixed forest”. The forested CLC2000 classes were pooled together to form 2 large classes. The first class, named “No or Sparse Vegetation”, pooled artificial areas (urban, industrial) and natural non or sparsely vegetated surfaces. Pixels with water bodies were discarded from the data set. The second, named “Agricultural Surfaces”, pooled the non-forested vegetation classes, mainly composed of crops, pastures, and natural grasslands. Our main land use of interest, i.e. the deciduous broadleaf forests, was present in ~70% of the studied pixels, with \( \pi_{ij} = \text{deciduous} \) varying from less than 1% to 100%.

The algorithm was applied to the observed PVI of the mean year \( X(t) \) made up of 25 successive 10-day periods from March 11 to November 11; i.e. for time \( t \) varying between DOY 70 and 315 every 10 days. The used B-Splines functions were parameterized with their order (\( q \)) and the number (\( k \)) of interior knots evenly spaced within the period of interest. These were the same for \( \rho(t) \) and \( \rho_{ij}(t) \). Some tests were made with the value range indicated by Cardot et al. (2008) in order to maximise the modelling accuracy and optimise the number of land use classes to be used. Thus, in the case of the land use distribution into the five classes previously described (i.e. \( J = 5 \)), \( q \) and \( k \) were defined as follows: \( q = 3, k = 5 \).

In the following, the modelled \( \rho(t) \) and \( \rho_{ij}(t) \) will refer to, respectively, the individual seasonal (or phenological) response of PVI at a pixel \( i \) level, and to the seasonal (or phenological) response for a given land use \( j \). The 10-day periods will be labelled with the date of their first day.
2.5. Characterising elevation variations in the PVI seasonal response of deciduous broadleaf forest

The mean elevation of each VEGETATION pixel (cf. Fig. 1) was estimated by aggregating the Shuttle Radar Topography Mission data at 90 m resolution (USGS, 2005). The relationship between elevation and the PVI seasonal signature of the deciduous broadleaf forests was investigated in two complementary ways. First, we examined the spatial variations in the PVI individual seasonal signatures of broadleaf forests (i.e. $\rho_{ij} = \text{deciduous}(t)$). The pixels containing deciduous forests were thus partitioned into several seasonal curve classes applying the K-means clustering algorithm of Hartigan & Wong (1979). After some tests, the number of classes was empirically fixed as being eight in order to best express the variability of the temporal behaviour of PVI. The distribution of elevation within and between each produced class was then investigated. Second, we compared the variations between the PVI individual seasonal responses averaged by 100 m wide elevation class.

2.6. Leaf unfolding dating

Cardot’s model does not produce any parametric function of PVI as a function of time. Moreover, because of the very high temporal autocorrelation of PVI induced by the unmixing process, the parametric regression methods were not well suited to model the PVI versus time in order to estimate the critical dates of PVI seasonal parameters. Furthermore, as the unmixing provided an estimate of the PVI of the set of all deciduous broadleaf stands included in each pixel (i.e. $\rho_{ij} = \text{deciduous}(t)$), the PVI of each tree population observed at the ground could not be distinguished and $\rho_{ij} = \text{deciduous}(t)$ could not be compared directly with the local ground-based phenology observations. For these reasons, the LUD of broadleaf forests was retrieved from the VEGETATION observations using the following two steps.

First, over each pixel $i$, an earliness index $IE_{i}$ was calculated. It was designed to be an index estimating the advance ($IE_{i}$<LUD$_{REF}$) or the delay ($IE_{i}$>LUD$_{REF}$) in leafing over each pixel in comparison with the ground-based mean date of leaf unfolding (LUD$_{REF}$). PVI$_{REF}$ denoted the value of the mean PVI ($\mu_{j} = \text{deciduous}(t)$) on the day of year = LUD$_{REF}$ (see Fig. 4). For each pixel $i$ containing broadleaf forests, $IE_{i}$ was defined as the date at which the individual PVI ($\rho_{ij} = \text{deciduous}(t)$) was equal to PVI$_{REF}$: $\rho_{ij} = \text{deciduous}(IE_{i}) = \rho_{ij} = \text{deciduous}(\text{LUD}_{REF}) = \text{PVI}_{REF}$.

PVI$_{REF}$ was estimated by linear interpolation of $\rho_{ij} = \text{deciduous}(t)$ between the two closest 10-day periods surrounding LUD$_{REF}$. $IE_{i}$ was estimated from a linear interpolation of $\rho_{ij} = \text{deciduous}(t)$ within the 10-day interval including the PVI$_{REF}$ value.

In a second step, the elevation variations in $IE_{i}$, computed from the VEGETATION observations, were evaluated by comparing with the ground-based observations of LUD. As discussed above, a direct comparison between the retrieved satellite data at pixel level and the local in situ data could not be made. Therefore, this comparison was made using averaged values of $IE_{i}$ by 100 m wide class of elevation. The ground-based mean LUD in each elevation class was given by LUDd (cf. Section 2.2, Fig. 3b). The equation linking the two variables was then statistically calibrated by linear regression. It was applied over each studied pixel to calculate SLUD, i.e. the satellite-based leaf unfolding date. Lastly a SLUD map was produced over the whole study area.

3. Results

3.1. PVI seasonal response of the various land uses

The mean phenological PVI curves obtained for each land use class ($\rho_{i}(t)$) and the variability ($\pm$ 2 standard deviation) of the estimated individual PVI are shown in Fig. 4. The seasonal variations of “No or sparse vegetation” were very weak. Conversely, “Deciduous broadleaf forest”, “Agriculture surfaces”, and “Mixed forest” showed the highest amplitudes during the year. The greatest variability of PVI individual values was observed with the two former classes. It was maximal for the “Agricultural surfaces” class, which regroups various crops and grasslands with different seasonal leaf area cycles due to species and crop calendars diversity. The mean curve for broadleaf forests is realistic and consistent with ground observations: a minimum and maximum, occurring respectively in March (DOY = 80) and in June (DOY = 162), was in agreement with the time interval of the oak and beech flushing (from DOY 80 to 150, Fig. 3). The individual PVI variability was maximal during the transitional periods of foliar phenology: at the end of winter and the beginning of spring, when the annual growth cycle of leaves started again, and in fall, when the cycle finished with senescence, i.e. yellowing and falling of leaves. A lower dynamics throughout the year can be seen for the coniferous forests, where non deciduous species were dominant.

3.2. Accuracy in the unmixed PVI seasonal response of deciduous broadleaf forest

Fig. 5 shows the distribution of errors on the modelled individual responses and their seasonal variations for the pixels containing broadleaf forests. These are the residuals between the observed PVI ($X_{i}(t)$) and the modelled PVI ($\sum_{j=1}^{n_{i}} \pi_{ij} \rho_{ij}(t)$). The errors were minimal

when the number of PVI data per 10-day period used to calculate the mean year is maximal, i.e. when NMODR which is the number of times when NMOD > 2 equalled 5. This was the case from DOY 141 to DOY 284 except on DOY 223. It is likely that the isolated very high errors obtained for DOY 223 could be attributed to an insufficient filtering of pixels contaminated by clouds in 2006. Nevertheless, the largest errors occurred mainly before DOY 141, when many data were missing, especially in 2004 and 2005, due to clouds and snow. Thus, at the end of winter and at the beginning of spring, NMODR was often less than 5 and the index of quality NMOD was often lower than for the rest of the year. Finally, we can consider that the unmixing smoothed the impact of erroneous values of instantaneous PVI due to cloud or snow effects and reduced the noise induced by missing data.

The accuracy of PVI individual seasonal responses estimates \( \langle \rho \rangle_{j=deciduous} \) of broadleaf forests seems to depend strongly on their proportion \( \pi_{j=deciduous} \) within the pixel. As shown in Fig. 6, the smaller \( \pi_{j=deciduous} \), the smaller the deviation of the individual PVI from the mean response of the land use class \( \langle \rho \rangle_{=deciduous} \), namely, the PVI signature of the deciduous fraction within the pixel became identical to the mean PVI response of deciduous forests, computed over the whole study area. The deviation was almost equal to zero when \( \pi_{j=deciduous} \) was smaller than 10%. This underestimation of the individual effect – in absolute value – was found to be very significant when \( \pi_{j=deciduous} \) was lower than approximately 40% (Cf Fig. 6). Consequently, we assumed in this study that the estimates of PVI individual seasonal responses of deciduous forests were not satisfactory as long as \( \pi_{j=deciduous} \) was lower than 40%. In the following, only the pixels exceeding this threshold of 40% will be analysed.

3.3. Effect of elevation on the PVI seasonal response of deciduous broadleaf forest

The K-means classification over the deciduous forests led to pool the individual seasonal curves \( \rho_{j=deciduous(t)} \) of similar shape (Fig. 7). The eight obtained classes showed various seasonal patterns of PVI (Fig. 7b), which appeared to depend mainly on elevation (Fig. 7c). Their spatial distribution also exhibited a patchy structure which seems to reflect the relief pattern (Fig. 7a). Therefore, the classes with the lowest PVI at the beginning and at the end of the annual cycle (classes 1 to 4) could be found mostly in the southern part of the study area at the highest elevations (approximately >500 m) and their seasonal amplitude was the greatest. Conversely, K-means classes with the highest PVI values at the onset and at the end of the year (classes 5 to 8) were located in the plain or hilly area (approximately <500 m) in the northern part of the study area. The date at which the maximal PVI was reached increased as elevation increased. The PVI seasonal pattern was found to be more sensitive to elevation (Fig. 7c) within the group of classes 1 to 4, i.e. for elevation >500 m, than within the other group (classes 5 to 8) at lower elevation. However, the gradation of the eight PVI curves within each group over the whole annual cycle, given in Fig. 7b, was not in close agreement with

![Fig. 6](image-url). Deviations between individual \( \rho_{j=deciduous(t)} \) and mean \( \langle \rho \rangle_{=deciduous} \) PVI of deciduous broadleaf forest, estimated from Cardot’s model, as a function of the fraction of broadleaf forest \( \pi_{j=deciduous} \) in the pixel. Boxes and bars give the quantiles 1, 25, 50, 75 and 99.
that of elevation. It also depended on the area fraction covered by deciduous as shown in Fig. 7d. In addition, an analysis of variance (one-way ANOVA) showed elevation and \( \pi_{ij} = \text{deciduous} \) were significantly different between the eight PVI signature classes with F-statistics equal respectively to 788.4 and 88.4, i.e. p-value < 0.0001 for degree of freedom = 7 for both variables. In addition, a multiple comparison of means (paired t-tests with Bonferroni correction) showed there was a significant difference (p-value < 0.001) between all K-means classes in mean elevation, except between classes 2 and 3, 5 and 7, 6 and 8, and in mean \( \pi_{ij} = \text{deciduous} \), except between classes 1 and 3, 2 and 4, 2 and 8, 4 and 8, 6 and 7.

Furthermore, when the PVI individual curves were averaged by 100 m wide class of elevation (Fig. not shown, results are similar to those given in Fig. 7b), it was found that the seasonal course of PVI changed progressively with elevation increase. For instance, as elevation increases, we note a decrease in PVI at the beginning and the end of the vegetation cycle (black arrows in Fig. 7b) and a shift in the peak of maximal PVI from the spring end towards the summer onset with shortening of the duration of high PVI values (white arrows in Fig. 7b). The weaker sensitivity of the PVI seasonal course to elevation for the forests of plain, hill or piedmont SLUD showed a clear spatial pattern. It spanned the large range of values around this ground-based pattern. However, for \( \pi_{ij} = \text{deciduous} \) < 40%, when the elevation is smaller than 500 m, SLUD appears to be slightly overestimated: many retrieved values are concentrated near DOY 105 and the SLUD values averaged by elevation class have an elevation variation lower than the ground-based LUD. These effects were clearly attenuated for \( \pi_{ij} = \text{deciduous} \) > 60% (not shown) and disappeared for pure pixels. Whatever the elevation, the dispersion of individual values of SLUD was very large, approximately ± 20 days. The spatial pattern of SLUD is shown in Fig. 10. The impact of the relief can be clearly seen for forests in mountains, with SLUD varying mainly between DOY 115 and 140 (i.e. from 25 April to 30 May) similarly to in situ observations. In the forests of plain, hill or piedmont SLUD showed a clear spatial pattern. It spanned the large range of values – approximately from DOY 85 to 115 (i.e. from 25 March to 25 April) – measured at ground level on beech and oak populations.

4. Discussion

4.1. Remote sensing time-series

All results presented in this study are based on the analysis of the seasonal variability of the five-year average PVI vegetation index derived from VEGETATION data measured during 5 successive years from 2002 to 2006. The building of an averaged 2002–2006 year allowed us to fill the large temporal gaps in the VEGETATION time-series due to cloud and snow presence – frequent in mountains – at the end of winter and at the beginning of spring, i.e. the period of green-up of deciduous forests. Methods based on a spatio-temporal smoothing of data year by year (e.g. Gao et al., 2008), or on the use of a compositing interval wider than 10 days could not provide satisfactory results (Robin et al., 2008), since they would limit capabilities to detect gradual changes in green leaf area due to leaf flushing and to date accurately leaf unfolding. Aggregating the pixels also could not be a suitable solution. In mountains, the coarse resolution pixel, for instance with the global 8 km AVHRR data often used at continental scale, includes a range of elevation which is too large to capture accurately the interannual changes in phenology of broadleaf forests (Maignan et al., 2008). The number of available VEGETATION data

![Table 1](image)

<table>
<thead>
<tr>
<th>Elevation classe</th>
<th>Elevation range (m)</th>
<th>Mean elevation (m)</th>
<th>Mean ( \pi_{ij} = \text{deciduous} ) (%)</th>
<th>Pixels number</th>
</tr>
</thead>
<tbody>
<tr>
<td>(a) pixels with ( \pi_{ij} = \text{deciduous} ) &gt; 40%, n = 3183</td>
<td>0 0–100</td>
<td>65</td>
<td>55</td>
<td>152</td>
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<tr>
<td>1</td>
<td>100–200</td>
<td>148</td>
<td>57</td>
<td>481</td>
</tr>
<tr>
<td>2</td>
<td>200–300</td>
<td>249</td>
<td>58</td>
<td>735</td>
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<tr>
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<tr>
<td>4</td>
<td>400–500</td>
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<tr>
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<td>1000–1100</td>
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<td>1600–1700</td>
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<td>46</td>
<td>2</td>
</tr>
</tbody>
</table>

(b) pure pixels (\( \pi_{ij} = \text{deciduous} \) = 100%), n = 135
| 0 0–100 | 0 |
| 1 100–200 | 138 | 100 | 4 |
| 2 200–300 | 256 | 100 | 14 |
| 3 300–400 | 351 | 100 | 8 |
| 4 400–500 | 438 | 100 | 5 |
| 5 500–600 | 548 | 100 | 7 |
| 6 600–700 | 651 | 100 | 9 |
| 7 700–800 | 754 | 100 | 19 |
| 8 800–900 | 850 | 100 | 12 |
| 9 900–1000 | 939 | 100 | 19 |
| 10 1000–1100 | 1038 | 100 | 19 |
| 11 1100–1200 | 1149 | 100 | 10 |
| 12 1200–1300 | 1244 | 100 | 10 |
| 13 1300–1400 | 1368 | 100 | 3 |
| 14 1400–1500 | 0 |
| 15 1500–1600 | 0 |
| 16 1600–1700 | 0 |
per 10-day period for each selected pixel was variable in spring during the 2002–2006 period: varying from 1 to 5. This might have a strong impact on the estimates of the 5-year mean PVI. However, the resulting noise seemed to have been smoothed by the Cardot’s algorithm, as suggested by the seasonal distribution of errors between modelled and observed data averaged over the five years (cf. Fig. 5). Finally, although averaging the VEGETATION data over five years into a single representative year led to a loss in information about the interannual variability of leaf phenology, this approach made it possible to investigate the elevation variations in the seasonal remote sensing response over a large range of elevation (0–1700 m) and over a very short range of latitude (approximately 1°) covering a relatively small area.

As measurements of the reflectance of soil under the forest canopy of the study area were unavailable, the parameters of the soil line equation were estimated from the VEGETATION data on pure pixels of bare rock in summer. Their values were close to those estimated in

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winter from the same VEGETATION time-series on pure pixels of maize crops located on the sandy soils of South-West France (Guyon et al., 2006). In both cases the slope of the soil line was smaller than unity (0.757 for the bare rock, 0.883 for the sandy soils). The use of these soil line equations could lead to overestimate the contribution of NIR in the PVI formula compared to that estimated from ground measurements over various soil types (whose slope has been found to be always greater than unity (Gilbert et al., 2002; Rondeaux et al., 1996)). Nevertheless, possible errors in the estimation of PVI should be not critical in our study, since the calculation of the soil line equation was made from the same dataset, i.e. with the same spectral sensitivity and with the same radiometric processing.

The Cardot’s method was used to unmix the seasonal radiometric response of each land use class present within each 1-km² pixels. It allowed us to assess the elevation variations in the phenological behaviour specific to the deciduous broadleaf forests, even though this land use class pooled several tree species and various forest types. Thus, all pixels which spanned the whole elevation range (from 0 to 1700 m) of the deciduous forests in the study area could be analysed. Using only pure pixels (n = 139), a more restricted range of elevation (from 100 to 1300 m) could be explored because of the fragmentation of the forests at a scale of 1-km² pixel. Nevertheless, the individual response of broadleaf forests could not be accurately unmixed for pixels when the area fraction of this forest type is too low (<20%).

4.2. Retrieving the seasonal dynamics of deciduous broadleaf forest

The retrieved seasonal dynamics of the PVI vegetation index is consistent with the seasonal changes in the green leaf area expected over the study area. As expected, seasonal variations in PVI were stronger for deciduous broadleaf forests than for forests including evergreen species (i.e. coniferous). The elevation gradient of temperature explains a large part of the spatial distribution of the PVI phenological responses of the deciduous forests. Shortening of the vegetative season length through elevation was revealed in the delay of the PVI increase in spring and the advance of its decrease in fall, as observed by Beck et al. (2008) for seasonal trajectory of NDVI of deciduous and mixed forests ranging from 1000 to 2900 m in China. The decrease in PVI in autumn was more variable than its increase in spring (as shown in Fig. 7b). This could attest the complexity of the determinism of processes of yellowing and falling of foliage compared to the leafing ones. For instance Vitasse et al. (2009b) found no correlation between senescence and air temperature for ash (Fraxinus excelsior) and sycamore maple (Acer pseudoplatanus). Plain and hill forests showed phenological patterns quite different from mountainous ones, particularly with a greater earliness of maximum PVI which is likely to be due to the earlier growth of leaves. Other factors related or not to elevation contribute to enhance the patchy pattern of the spatial distribution of PVI phenological responses, such as the elevation or geographic range of tree species which differ in their phenology sensitivity to temperature. It is likely the elevation range of species led to accentuate the difference between mountain and low-lying areas since the pure forests of beech were more frequent in mountains. Conversely, for elevations lower than 500 m, the sensitivity of PVI phenology to the elevation gradient of temperature was most likely attenuated by the geographic pattern of species. At low elevation, the pure forests of sessile oak and the forests containing various deciduous species (such as ash and beech) with different phenological properties (Vitasse et al., 2009a,b) were not located in the same areas. The effect of the within-pixel fraction of deciduous forest over the PVI seasonal course, shown in Fig. 7d and by the ANOVA tests, could be an artefact due to the unmixing method. However it could also express the high heterogeneity in species composition of the very fragmented forests of the study area. Lastly, the understory vegetation plays certainly a central role in the seasonal course of reflectance of forest stands (Rautiainen et al., 2009). Its impact should be considered in the analysis, especially for forest types where the undergrowth species leaf out before the tree layer ones (Ahl et al., 2006). Nevertheless, our results were consistent with those of Vitasse et al. (2009a) based on ground observations, which showed that the timing of leaf unfolding of trees is mostly determined by
spring temperature and its altitudinal gradient and that it strongly differed among species.

4.3. Satellite-based estimates of elevation variations in leaf unfolding date

The elevation variations in satellite-based estimates of leaf unfolding date (SLUD) averaged by 100 m wide class of elevation agree with the mean elevation pattern of LUD observed at the ground (LUd), although the latter was calculated by assuming the deciduous forests are composed only of sessile oak and beech. They reproduced quite well the mean delay of approximately 2.3 days for each 100 m elevation increase over the whole elevation range (0 to 1700 m). Nevertheless for low elevations (<500 m) the sensitivity of SLUD to elevation was lower than the expected one: the mean delay was approximately 1.5 days 100 m\(^{-1}\). It is likely this was due to the presence of species different from beech and oak, and also, to the inaccuracy of the unmixed PVI response in the pixels including a low fraction of deciduous forest. In addition, the expected estimation error of SLUD for a given elevation was approximately 2 days (cf. Fig. 8).

4.4. Interactions between phenology and disturbances in the seasonal remote sensing signal

As previously mentioned, monitoring of leaf phenology and of its changes due to climate forcing from satellite observations could be affected by some seasonal changes in the reflectance resulting from natural environmental factors or accidental events, (e.g. snowmelt, drought, forest fires) or from anthropogenic activities (e.g. land use change, timber felling) (White et al., 2005).

A possible confusion between leaf folding and snowmelt events is not very likely. On the one hand, every snowy pixel was assumed to be filtered by the algorithm of the ten-day compositing. On the other hand, the comprehensive study of White et al. (2009) showed that the remotely sensed metrics of spring phenology are not correlated generally to the spring snowmelt onset date over the North America forest ecoregions. However, this question remains crucial as the used pre-processing algorithm which filtered both snowy and cloudy pixels was not really designed to detect snow. Future investigations should take advantage of the use of a specific snow detection algorithm designed for forest areas, such as that developed by Delbart et al. (2006) based on SWIR reflectance or of the use of the snow-cover products such as MOD10A1 from MODIS (Simic et al., 2004). In situ observations of snow (not available in this study) would also be very useful to investigate possible correlations between the dates of snowmelt and leaf unfolding.

Large unusual disturbances (due to natural environmental factors — e.g. climate, accidents or anthropogenic activities) might have an impact on the annual vegetation dynamics during the five years of the study period. They were rare, except the extreme drought event that occurred in Western Europe in summer 2003. It is possible that the latter had induced in the study area a premature leaf fall during summer and a
disturbance in budburst the following year (Bréda et al., 2006). Moreover, it is likely that averaging data per 100 m wide elevation class attenuated a large part of the possible disturbance effects. Similarly, averaging 5 years of VEGETATION data into a single mean year to fill the large spatio-temporal gaps also contributed to enhance the robustness of characterization of the elevation variations in spring leaf phenology from VEGETATION time-series.

5. Conclusion

This study showed the potential of reflectance time-series at medium resolution, such as those provided by VEGETATION sensors, to monitor the elevation variations in leaf phenology over deciduous broadleaf forests in mountainous regions. The unmixing method of the 1-km² pixels made it possible to analyse the phenological behaviour specific to the deciduous forests when the latter were quite fragmented. The impact of the elevation temperature gradient on the spring leaf phenology was clearly detected over the study area with a high spatial and seasonal consistency of the remote sensing response. These results were obtained from satellite data averaged over 5 successive years to fill the large spatio-temporal gaps in the VEGETATION time-series due to clouds and snow. Applying a five-year running window over many decades, retrospectively from satellite data time-series accumulated over the most recent 30 years, could provide a robust approach to monitor the trends in long-term changes in the spring leafing timing along elevation gradients as a result of phenology adaptation to climate warming or of changes in the elevation repartition of tree species.

Nevertheless some questions still remain and require more research. In particular, possible effects of snow melting at the time of vegetation growth, and of leaf dynamics and senescence in autumn on the forest remote sensing signatures could not be evaluated in this study. For instance, the processes of leaf loss and colouring in autumn are complex. They may combine the effects of phenology due to elevation variations in temperature and to photoperiod with those due a summer drought. Their interannual variations in comparison with their elevation variations could be larger than for leafing in spring. Therefore, in situ continuous measurements of the annual kinetics of snow melting in spring and of green LAI, in addition to the observations of phenology (unavailable in the present study), would be useful in future studies over the study area.

Acknowledgments

This study was partly funded by the PNTS, Programme National de Télédétection Spatiale. We thank Stephanie Hayes, Heather Lawrence and Ajit Govind for revising the English version of the manuscript. We are grateful for the helpful comments of the anonymous reviewers.

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Baret, F., Hagolle, O., Geiger, B., Bicheron, P., Miras, B., & Huc, M., et al. (2007). LAI, fAPAR revising the English version of the manuscript. We are grateful for the


