

Title	Urban density mapping of global megacities from polarimetric SAR images
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Citation	Remote Sensing of Environment (2014), 155: 334-348
Issue Date	2014-12
URL	http://hdl.handle.net/2433/192762
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Type	Journal Article
Textversion	author

Urban Density Mapping of Global Megacities from Polarimetric SAR Images

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***Abstract*—We propose an algorithm for estimating urban density from polarimetric synthetic aperture radar (SAR) images, and compare the urban density patterns of global megacities. SAR images are uniquely able to detect structural information of objects, but they are very sensitive to orientation angle. This issue has been an obstacle to applying SAR images to urban areas. Kajimoto and Susaki (2013b) proposed an algorithm to handle this issue. The effects of polarization orientation angle (POA) are removed by rotating the coherency matrix and then calculating the mean and standard deviation of scattering power by POA domain. The algorithm can estimate urban density from a single fully polarimetric SAR image but has the drawback that the generated urban density maps of multiple images are not comparable with each other because the algorithm generates a relative urban density valid only within the analyzed image. We therefore extend the method by calculating POA-domain statistics from all images of interest so that the generated maps can be compared. Estimated urban densities are assessed on two types of urban density generated from GIS data, building-to-land ratio and floor-area ratio. We demonstrate that the extended method can estimate urban density with reasonable accuracy. Finally, we generate two scattergrams of indices derived from urban density maps of global megacities.**

25 **An analysis using the scattergrams indicates insightful information about the patterns of urban development.**
26 **We conclude that the proposed algorithm and the analysis using the obtained results are beneficial to**
27 **understanding the conditions in megacities.**

28

29 ***Index Terms*—Urban density, megacities, polarimetric synthetic aperture radar, polarization orientation angle.**

30

31 1. Introduction

32 Mapping of human settlements is one of the most important applications of remote sensing. As the world population has
33 increased, many megacities with populations exceeding one million have emerged, especially in Asia. Megacities such
34 as Beijing, Bangkok, and Jakarta are still rapidly growing. Rapid growth of megacities in developing countries can
35 cause severe urban problems, including problems related to traffic congestion, water supply, sewage disposal, air
36 pollution, and housing. Before national or local governments can plan countermeasures against such urban problems,
37 the areas of human settlement must be delineated. Population density should also be mapped at the district level to
38 effectively determine budgets and improve the quality of urban life.

39 One traditional approach to mapping urban areas and density is to use census data to generate maps with the help of a
40 geographic information system (GIS). However, the initial cost of collecting census data and converting them into
41 digital data, and the ongoing cost of updating such data, are significant. This is true not only in developing countries, but
42 also in developed countries. For example, in Japan, Zenrin Co. Ltd. is well known for selling detailed census data and
43 manually updating this data. These data are sold commercially as Zmap Town II by local government organizations. For
44 example, the Tokyo metropolitan area includes Chiba, Saitama, and Kanagawa prefectures and parts of Ibaraki
45 prefecture. The area had a population of 37.6 million in an area of 14,000 km² in 2010 (Statistics Bureau, 2011). It costs
46 approximately 300,000 USD to purchase the Zmap Town II data that includes the number of stories of buildings in the
47 Tokyo metropolitan area (Zenrin, 2014). Because these data are so costly, most social science, civil engineering, and
48 architecture researchers interested in urban areas have to find other sources of urban area data.

49 The estimation of population density in urban areas can be difficult because it requires an accurate population census.
50 Building density can be used as an alternative index to reflect the activities in urban areas. Hereinafter, urban density
51 denotes building density. In this research, our motivation is to map urban density and urban areas for megacities

52 throughout the world, thus promoting analysis and research on urban environments.

53 Remote sensing has the potential to map urban areas and density via several approaches. As daytime optical images,
54 Landsat-series images have been widely used to monitor urban areas (Schneider, 2012; Zhu et al., 2012). Landsat has
55 carried the Multispectral Scanner System (MSS), Thematic Mapper (TM), and Enhanced Thematic Mapper Plus
56 (ETM+) devices. Because their basic designs are highly similar, long-term monitoring is possible. Bagan and Yamagata
57 (2012) conducted an analysis of urban growth in the metropolitan Tokyo area by fusing long-term Landsat imagery and
58 statistical data. High-temporal-resolution sensors, such as the Advanced Very High Resolution Radiometer (AVHRR)
59 and Moderate Resolution Imaging Spectroradiometer (MODIS) have been also used for global mapping of urban areas
60 (Friedl et al., 2002; Schneider et al., 2010). Nighttime optical sensors were used to extract urban areas by detecting
61 nighttime illumination from urban areas. Defense Meteorological Satellite Programme–Operational Line Scanner
62 (DMSP-OLS) provided such nighttime imagery, and urban maps generated using that imagery have been reported
63 (Elvidge et al., 1997; Elvidge et al., 1998; Sutton, 2003). However, optical sensors have a critical drawback: they are
64 sensitive to atmospheric conditions. For example, few clear optical images of Asian countries can be acquired during the
65 monsoon season.

66 Synthetic aperture radar (SAR) and other microwave-based radar sensors are generally insensitive to atmospheric
67 conditions, and interferometric SAR (InSAR) may be a useful approach to estimating heights for urban density mapping.
68 Scattering mechanisms are very complex in urban areas due to multiple scattering by man-made structures (Margarit et
69 al., 2010). Urban digital elevation models (DEM) estimated by InSAR are thus generally not accurate, but several
70 approaches to improving accuracy have been presented (Thiele et al., 2007; Shabou et al., 2012). Permanent scatter
71 InSAR (PSInSAR) (Ferretti et al., 2001) and SqueeSAR (Ferretti et al., 2011) generate DEM with very high accuracy
72 (millimeter scale), even for urban areas (Ferretti et al., 2000; Stramondo et al., 2008; Perissin & Wang, 2012; Chaussard
73 et al., 2014). However, the major obstacle to implementing such techniques is that they require dozens of SAR images,
74 making it hard to map many megacities.

75 Another feature of SAR is detection of structural information of surface targets. Fully polarimetric SAR (PolSAR)
76 can provide data for four different combinations of horizontal (H)- and vertical (V)-polarization reception and
77 transmission: HH, HV, VH, and VV. Three-component (Freeman & Durden, 1998) and four-component decomposition
78 algorithms (Yamaguchi et al., 2005; Yamaguchi et al., 2006) decompose multi-polarization data into three or four
79 scattering components: surface, double-bounce, and volume scatterings are common to both algorithms, and helix

80 scattering was added by the latter algorithm. Such analysis is quite different from when optical images are used.

81 This feature can be used to map urban density. Niu and Ban used PolSAR data to extract high- and low-density urban
82 areas (Niu and Ban, 2012) where no density information was given for industrial, commercial, and construction areas.
83 One obstacle to mapping using SAR data is the effect of polarization orientation angle (POA) (Kimura, 2008). The
84 scattering received by SAR sensor is very sensitive to the POA of the target. This effect is more evident in urban areas
85 than with vegetated land cover such as forests and agricultural areas. Kajimoto and Susaki (2013b) overcame this POA
86 effect and succeeded in mapping urban density from only one PolSAR image of an area of interest. However, the
87 method generates a relative density index that is applicable to only the analyzed image. The method is therefore not
88 guaranteed to be applicable to all urban areas for comparing the status of urbanization of different megacities.

89 We extended the method proposed in Kajimoto and Susaki (2013b), and propose a method that estimates urban
90 density from only one PolSAR image and enables comparison of urban densities of different cities. As described in
91 Section 3, building density can be defined in several ways, such as building-to-land ratio and floor-area ratio. In this
92 paper, the urban density estimated using PolSAR images is not defined in advance but rather assessed according to the
93 kind of building density the estimated urban density is attributed to. Urban areas are defined as areas where artificial
94 objects are dominant. The remainder of this paper is organized as follows: Section 2 describes the new method.
95 Experimental results are reported in Section 3 and discussed in Section 4. Finally, we present our conclusions in Section
96 5.

97

98 2. Methods

99

100 2.1 Outline of the Method

101 Fig. 1 shows a flowchart of the proposed method, which uses fully polarimetric phase and amplitude data. First, POA is
102 calculated, and four components with POA effect correction are generated. Next, urban areas are extracted using the
103 method proposed by Kajimoto and Susaki (2013a). Finally, urban densities of multiple scenes are calculated. In this
104 process, statistics (mean and standard deviation of scattering) are obtained by POA, as is homogeneous (or
105 heterogeneous) status over the entire study area.

106

107 2.2 Polarimetric SAR Data

108 The format of PolSAR data consists of a complex scattering matrix

$$109 \quad s = \begin{pmatrix} S_{HH} & S_{HV} \\ S_{VH} & S_{VV} \end{pmatrix} = \begin{pmatrix} a & c \\ c & b \end{pmatrix} \quad (1)$$

111

112 Here, for simplicity, S_{HV} and S_{VH} are assumed to be equivalent, so the coherency matrix is given by

113

$$114 \quad T = \begin{pmatrix} T_{11} & T_{12} & T_{13} \\ T_{21} & T_{22} & T_{23} \\ T_{31} & T_{32} & T_{33} \end{pmatrix}$$

$$115 \quad = \frac{1}{2} \begin{pmatrix} |a+b|^2 & (a+b)(a-b)^* & 2(a+b)c^* \\ (a-b)(a+b)^* & |a-b|^2 & 2(a-b)c^* \\ 2c(a+b)^* & 2c(a-b)^* & 4|c|^2 \end{pmatrix} \quad (2)$$

118

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121 2.3 Polarization Orientation Angle (POA)

122 The polarization orientation angle (POA) estimates the azimuth angle of the target (Kimura, 2008). In this paper, the

123 POA is denoted by ϕ , which is not the typical notation for POA. We do this because we discuss the effect of the off-nadir

124 angle difference in Section 4.4, and the off-nadir angle of radar is denoted by θ in this paper. ϕ is estimated as

125

$$126 \quad \phi = \frac{1}{4} \tan^{-1} \frac{2 \operatorname{Re}(T_{23})}{T_{22} - T_{33}}, \left(-\frac{\pi}{4} \leq \phi \leq \frac{\pi}{4} \right) \quad (3)$$

128

129 The angle ϕ is determined by minimizing $T_{33}(\phi)$.

130

131 2.4 Four-component Decomposition

132 Four-component decomposition decomposes observed backscattering into four components calculated from the

133 coherency matrix (Yamaguchi et al., 2005; Yamaguchi et al., 2006). Applying the four-component decomposition

134 method to the full PolSAR data gives the surface scattering power (P_s), the double-bounce scattering power (P_d), the
 135 volume scattering power (P_v), and the helix scattering power (P_c).

136 Four components are sensitive to POA. Yamaguchi et al. (2011) proposed an algorithm that rotates the coherency
 137 matrix by the POA to reduce the dependence of the components on the relative azimuth angle. A rotation is applied to
 138 the coherency matrix:

139

140

141

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$$T(\phi) = \begin{pmatrix} T_{11}(\phi) & T_{12}(\phi) & T_{13}(\phi) \\ T_{21}(\phi) & T_{22}(\phi) & T_{23}(\phi) \\ T_{31}(\phi) & T_{32}(\phi) & T_{33}(\phi) \end{pmatrix} = [R_p(\phi)]T[R_p(\phi)]^\dagger. \quad (4)$$

143

144

145

146 Here, \dagger denotes complex conjugation and transposition, and $R_p(\phi)$ is the rotation matrix given by

147

148

149

$$[R_p(\phi)] = \begin{pmatrix} 1 & 0 & 0 \\ 0 & \cos 2\phi & \sin 2\phi \\ 0 & -\sin 2\phi & \cos 2\phi \end{pmatrix} \quad (5)$$

150

151 However, components remain dependent on the relative azimuth angle even after this correction (Iwasa & Susaki, 2011),
 152 and removal of the remaining angular effects is a nontrivial problem.

153

154 2.5 Urban Area Classification

155 Urban areas are discriminated from other types of land cover (mountain, farmland, bare ground, and sea surface) by
 156 using the method proposed by Kajimoto and Susaki (2013a). Analysis using L-band PolSAR images indicated that
 157 POA-corrected P_v generated by four-component decomposition with Eq. (4) is less sensitive to POA than other
 158 POA-corrected components, but there is still a dependency on POA. Another difficulty is that the scattering intensity in
 159 non-orthogonal urban areas and that in orthogonal farmland is similar in some cases. Here, an ‘‘orthogonal’’ area denotes
 160 an area that has an almost 0° POA. Therefore, in the first stage, POA-corrected P_v and total power (TP) data are used for

161 classification. TP is derived as $TP = |a|^2 + |b|^2 + 2|c|^2$. The combination of the two variables improves classification of
162 land cover. In addition, pixels are categorized on POA as $(-7.5^\circ$ to $7.5^\circ)$, $(-22.5^\circ$ to 7.5° , 7.5° to $22.5^\circ)$, $(-37.5^\circ$ to $-$
163 22.5° , 22.5° to $37.5^\circ)$, and $(-45.0^\circ$ to -37.5° , 37.5° to $45.0^\circ)$. A different classification threshold is set for each category.

164 In this classification, training data for urban areas and farmland in the study area are manually selected. Principal
165 component analysis is applied to the training data, and the threshold on the first principal component for discriminating
166 between urban areas and farmland is determined. The threshold is determined from the means and standard deviations of
167 the first principal components of the two land cover types. When classifying multiple images, optimal thresholds for the
168 study area of interest are automatically updated. The difference between the means of the two land covers is divided by
169 the standard deviations, and the breakpoint is used as the threshold. The threshold is then applied to another study area,
170 and an attempt is made to separate the urban areas from farmland. The difference is calculated between the urban gravity
171 points in the new area and in the initial study area, and this difference is used to adjust the threshold. The updated
172 threshold is again applied to the new study area, and the gravity point difference is calculated. Iteration of this process is
173 terminated when the change in the threshold is within a predefined limit.

174 After the first stage of classification, both urban areas and mountainous areas are discriminated from the other three
175 land covers (farmland, bare ground, and sea surface). Because most of the pixels of urban areas and mountainous areas
176 overlap in Pv-TP space, the two land covers are not discriminated by using values of only scattering components.
177 Therefore, in the second step, urban areas are discriminated from mountainous areas using POA randomness, rather than
178 variance of POA. The procedure to count POA randomness is as follows. First, each pixel is labeled using one of five
179 POA-based groups, $(-45^\circ$ to $25^\circ)$, $(-25^\circ$ to $-5^\circ)$, $(-5^\circ$ to $5^\circ)$, $(5^\circ$ to $25^\circ)$, and $(25^\circ$ to $45^\circ)$. Next, a window is set around
180 the pixel to be analyzed. Taking each window pixel in turn, the POA labels of the four neighboring pixels are compared
181 with the label of the central pixel, defined as the reference pixel. If all four pixels have labels that are equal to the
182 reference pixel's label or that differ by exactly one, the pixel is not counted. In all other cases, the pixel is counted. The
183 number of pixels counted is then assigned to the reference pixel. Using this procedure, the pixel count is expected to be
184 small in urban areas and large in mountainous areas.

185

186 2.6 Urban Density Estimation

187 The method used to estimate urban density is based on the method proposed by Kajimoto and Susaki (2013b). It
 188 consists of two steps, the extraction of homogeneous-POA city districts and the normalization of scattering-power
 189 components in each POA space. They classified urban areas into homogeneous and heterogeneous areas because even if
 190 two pixels have nearly the same POA, their scattering intensities can be very different, especially in orthogonal building
 191 areas. After that, an index for urban density is calculated for each category of urban area, homogeneous or
 192 heterogeneous.

193 First, POA variance is calculated as follows:

194

195

196

$$Var(i, j) = \frac{1}{N_{mn}} \sum_m \sum_n (\phi(m, n) - \mu_\phi(i, j))^2. \quad (6)$$

197

198 Here, $Var(i, j)$ is the POA variance of the pixel (i, j) , N_{mn} is the pixel count in the local Lee sigma filtering window of
 199 the pixel (i, j) , ϕ is the POA, (m, n) indicates the location of pixels lying within the local window, and $\mu_\phi(i, j)$ is the
 200 average POA within the local window. This calculation is done for all pixels of an image. The POA type $H(i, j)$ of pixel
 201 (i, j) is given by

202

203

204

$$H(i, j) = \begin{cases} HomoPOA & (Var(i, j) < Threshold) \\ HeteroPOA & (Var(i, j) > Threshold). \end{cases} \quad (7)$$

205

206 The threshold in Eq. (7) is set by using training data. As a result, urban areas are classified as either homogeneous or
 207 heterogeneous.

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The influence of POA can be removed by normalizing scattering-power components in each POA space. First, the
 whole POA space is divided into specific intervals. Then, in each POA interval the average and the standard deviation of
 each power component's scattering intensity in urban areas are calculated separately for homogeneous and
 heterogeneous POA areas. Finally, the power component's scattering intensity is normalized for all pixels in each POA
 interval. According to the results reported by Kajimoto and Susaki (2013b), we selected P_{v+c} as an optimal scattering to
 represent urban density. The normalized scattering intensity is expressed as follows:

214

215

216

$$T_{v+c}(i, j, k) = \frac{P_{v+c}(i, j, k, \phi, H) - \mu_{v+c}(\phi, H)}{\sigma_{v+c}(\phi, H)} \quad (8)$$

217

218

219

$$\mu_{v+c}(\phi, H) = \frac{1}{N(\phi, H)} \sum_i \sum_j \sum_k P_{v+c}(i, j, k, \phi, H) \quad (9)$$

220

221

222

$$\sigma_{v+c}^2(\phi, H) = \frac{1}{N(\phi, H)} \sum_i \sum_j \sum_k (P_{v+c}(i, j, k, \phi, H) - \mu_{v+c}(\phi, H))^2. \quad (10)$$

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$$T'_{v+c}(i, j, k) = \begin{cases} 0 & (T_{v+c}(i, j, k) < -A) \\ \frac{T_{v+c}(i, j, k) + A}{2A} & (-A \leq T_{v+c}(i, j, k) \leq A) \\ 1 & (T_{v+c}(i, j, k) > A) \end{cases} \quad (11)$$

237

Here, A is a constant.

238

3. Dataset

239

240

This study uses fully polarimetric Advanced Land Observing Satellite (ALOS)/Phased Array type L-band SAR (PALSAR) level 1.1 (L1.1) data. The images have slant-range coordinate data. Furthermore, ALOS/Advanced Visible

241 and Near Infrared Radiometer type 2 (AVNIR-2) optical sensor data were used as a reference. It is known that L-band
 242 SAR observation has significant effects from Faraday rotation, a phenomenon by which the plane of polarization is
 243 rotated, especially in tropical regions. This experiment assumed negligible effects of Faraday rotation, because
 244 correction was successful. We have two categories of PALSAR data: data with a 21.5° off-nadir angle against the center
 245 of the scene (Data A) and data with a 23.1° off-nadir angle (Data B). Table 1 shows a listing of Data A and B,
 246 respectively.

247 Accurate information on urban density for Japanese cities was obtained from Zmap-TOWN II (ZENRIN) data, which
 248 are residential maps of Japan. Accurate urban density data were generated from Zmap-TOWN II (GIS) data, with
 249 reference to previous research (Tanaka, 2011). Two measures of urban density were defined: building-to-land ratio and
 250 floor-area ratio. First, building polygon data are intersected by a mesh. Buildings lying across the mesh border are
 251 divided into pieces by the border line. The mesh size was tentatively set to $20\text{ m} \times 20\text{ m}$, which approximately
 252 corresponds to the ground resolution of PALSAR after a multilooking process. Building density is calculated as follows:

$$\begin{aligned}
 253 \quad & D_{\text{Building-to-Land}}(i, j, k) = \frac{\sum_{l=1}^n S_l(i, j, k)}{S_{\text{Land}}(i, j, k)} \\
 254 \quad & D_{\text{Floor}}(i, j, k) = \frac{\sum_{l=1}^n S_l(i, j, k) \times F_l(i, j, k)}{S_{\text{Land}}(i, j, k)} \quad (l \in (i, j, k) \text{ pixel}).
 \end{aligned}
 \tag{12}$$

258
 259 Here, D is the estimated building density, S is an area, and F is a building floor. The pair (i, j) is the location of the
 260 reference pixel, k indicates the SAR image number, and l denotes the l th building included in the (i, j) pixel. Finally, GIS
 261 images were co-registered to PALSAR images by manually selecting ground control points between the images.
 262 Coefficients recorded in the leader files of PALSAR data calculate latitude and longitude for each pixel. With these
 263 latitudes and longitudes, urban density maps were automatically converted to the WGS 1984 coordinate system with
 264 UTM (Universal Transverse Mercator) projection. In this research, the UTM image grid size was set to 25 m.

265 For cities outside Japan, we used Open Street Map (2014). Shape files of building distributions were available for
 266 Munich and New York. We therefore generated building-to-land images for those two cities, and used them for
 267 assessment of the estimated urban densities.

268 4. Experiments

269 In this study, Lee's sigma filter is applied to PALSAR images as a speckle filter (Lee et al., 2009). The local window
 270 size for the filtering was set to 5×5 . In the process of urban area extraction, a 3×3 boxcar filter was applied to the
 271 coherency matrix. The boxcar filter is effective in removing speckle noise but blurs an image quite substantially.
 272 However, in urban density estimation, preserving a target signature is a top priority, so Lee's sigma filter with the
 273 smallest window size, 5×5 , was selected.

274 In urban area extraction, we followed the thresholds used in Kajimoto and Susaki (2013a). The minimum change in
 275 the urban gravity point was set to 0.01 dB to terminate the optimization loop. For POA randomness calculations, the
 276 window size was set at 31×31 pixels, and the ratio between the pixel count and the total number of pixels in the window
 277 for discriminating between urban and mountainous areas was set to 0.35. The threshold in Eq. (7) is 185.5° square,
 278 following Kajimoto and Susaki (2013b). The procedure for obtaining this value was determined by considering
 279 orthogonal building areas in Tokyo and Sapporo images. After manually determining regions of interest (ROIs) of
 280 homogeneous orthogonal building areas in the Tokyo and Sapporo areas, the thresholds, which include 95% of all pixels
 281 belonging to the ROIs, were 188° square (Tokyo) and 183° square (Sapporo). The average of the two study area
 282 thresholds, 185.5° , was used. Because application of this threshold value to the study areas was successful in the
 283 experiments, we did not change the value.

284 In urban density estimation, A in Eq. (11) was set to 3 to normalize T in Eq. (8).

285

286 4.1 Examination of Two Dataset Differences

287 We first examined the differences between the two datasets: Data A and B. Figs. 2(a) and (b) show the relation
 288 between POA and TP of homogeneous and heterogeneous districts, respectively, in eight Japanese cities. Data A
 289 includes the Tokyo metropolitan area (hereafter, "Tokyo"), Kyoto, Nagoya, Sendai, and Kobe, and Data B includes
 290 Osaka, Sapporo, and Fukuoka. Fig. 2 indicates that there is a significant gap between the curves of Data A and those of
 291 Data B. To examine differences between the two datasets in specific areas, we used Data A and B of Tokyo and Sapporo
 292 (Table 1). Figs. 3(a) and (b) show the relation between POA and TP of homogeneous and heterogeneous districts in the
 293 two cities. Fig. 3 indicates that the relation is dependent not on the orbital difference (ascending or descending), but on
 294 off-nadir angle. Data B (23.1° off-nadir angle) are not reliable because the relations between peaks of the curves of
 295 Sapporo A and Tokyo D are inconsistent between homogeneous and heterogeneous districts (Figs. 3(a) and 3(b)); the

296 peak of the curve of Sapporo A is higher than that of Tokyo D in Fig. 3(a), but this is not the case in Fig. 3(b). This may
 297 be due to the quality of the calibration. As a result, we decided to use only Data A for further analysis.

298

299 4.2 Effect of Spatial Scale

300 In this research, we used **fully polarimetric** PALSAR images whose ground range resolution is approximately 25 m,
 301 and generated urban density maps by aggregating the results of each pixel. As expected, the accuracy obtained at smaller
 302 spatial scales (e.g. 1 km, 10 km) is better than that obtained at larger scales (e.g. 10 m, 100 m), but the results lose more
 303 information. We investigated the optimal spatial scale for maps in terms of accuracy and detail. For accuracy, we
 304 examined the correlation coefficients using GIS data at different spatial scales such as 100 m, 200 m, and 300 m, as
 305 shown in Fig. 4(a). For the map detail, we examined mutual information (Kullback–Leibler information or distance),
 306 expressed as

$$307 \quad D(P \parallel Q) = \sum_i P(i) \log \frac{P(i)}{Q(i)} .$$

308 (13)

309 Here, $D(P \parallel Q)$ denotes Kullback–Leibler information, and P and Q are discrete probability distributions. In this
 310 experiment, we compared the distribution of urban density [0:1] at each spatial scale to that of a 50 m scale (Fig. 4(b)).
 311 The interval of urban density for calculating Eq. (13) was set to 0.01. This index represents how much detail is lost with
 312 a spatial scale change.

313 The greatest difficulty in assessing optimal spatial scale is how to combine the correlation coefficient and the mutual
 314 information, because the mutual information represents only the relative distance between two probabilistic
 315 distributions. Because it seems quite difficult to find a reasonable solution, we did not combine them, but we
 316 qualitatively assessed the optimal spatial resolution by referring to the two results. The spatial scale of a thematic map
 317 depends on the map purpose. In this research, we decided that the correlation coefficient should not be less than a certain
 318 threshold, which we set as 0.7 for all cities. Then, according to Fig. 4(a), the optimal spatial scale was selected as 300 m.

319

320 4.3 Effect of Incident Angle of Radar

321 Fig. 5 and Table 2 show the effect of incident angle difference on the accuracy of urban density estimation. Note that
 322 the results were obtained using slant-range coordinate (original coordinate) images, for ease in calculating the incident
 323 angle of each pixel. Because the off-nadir angle was 21.5° against the scene center, the incident angle at the scene center
 324 was approximately 24.0° . The incident angle, θ , was classified into three ranges: $\theta \leq 23.0^\circ$, $23.5^\circ \leq \theta \leq 24.5^\circ$, and $\theta \geq$
 325 25.0° . Table 2 shows the results of correlation coefficient calculations for 300-m-resolution GIS images. It shows that
 326 there is a significant difference among the correlation coefficients of the three ranges.

327 One approach to correcting the incident angle effect is to divide the backscatter coefficient by $\cos \theta$ (Shimada et al.,
 328 2007). We corrected the original fully polarimetric data by multiplying them by the factor $(\cos 24.0^\circ / \cos \theta)$ and assessed
 329 the estimated urban densities with GIS images. As a result, the correlation coefficients became a little worse (by about
 330 0.01) than those without incident angle correction. Although a significant effect of the incident angle difference was
 331 found, it may not be simple to remove it. This improvement is left as a future task for mapping urban densities from SAR
 332 images.

333

334 4.4 Accuracy Assessment of Urban Density Estimation

335 Figs. 6, 7, 8, and 9 show the respective results for Tokyo, Kyoto, Munich, and New York, two Japanese cities and
 336 two non-Japanese cities. We selected these Japanese cities because Tokyo is a highly dense city; Kyoto is relatively
 337 homogeneous in terms of building height due to building regulations. In Figs. 6 and 7, panel (a) shows the AVNIR-2
 338 image, (b) and (e) show the estimated urban density from PALSAR images, (c) and (f) show the building-to-land ratio,
 339 and (d) and (g) show the floor-area ratio. In Figs. 8 and 9, panel (a) shows the AVNIR-2 image, (b) and (d) show the
 340 estimated urban density from PALSAR images, and (c) and (e) show the building-to-land ratio. Floor-area ratio data
 341 were not available for Munich or New York.

342 The effect of the mean and standard deviation (Eqs. (9) and (10)) on the final results was examined. In this study, we
 343 defined a calibration that calculates the mean and standard deviation over all images used for the analysis, following Eqs.
 344 (9) and (10). Figs. 10(a) and 11(a) show scattergrams of GIS data and the results before calibration, meaning that the
 345 mean and standard deviation used for Eq. (8) were calculated within the individual scene. In contrast, Figs. 10(b) and
 346 11(b) show the scattergram of GIS data and the results after calibration. These results were obtained with a 300 m

347 resolution. Table 3 shows the results of correlation coefficient calculations for 300 m resolution with using GIS images.
348 On the whole, correlations with the building-to-land ratio are higher than those with the floor-area ratio. This means that
349 building-to-land ratio is better than floor-area ratio for estimating urban density from PolSAR images..

350 This paper extends the method previously proposed in Kajimoto and Susaki (2013b) to application for multi-scenes.
351 The technique calculates statistics for multiple images, and then applies them to all multi-scene images. While this
352 improvement might seem small, it has two important aspects from a statistical viewpoint. The first is normalization of
353 the data. The previously proposed method is based on correction of POA effects in backscattering and related
354 components. For instance, when the POA interval is set to 1° , we take samples and calculate statistics (mean and
355 standard deviation) for $-45^\circ, -44^\circ, \dots, 44^\circ, 45^\circ$ POA. The sum of volumetric and helix scatterings is normalized by Eq.
356 (8). Assume that we separately generate two urban density maps for two images. Because the statistics of the two images
357 are different, the values have different meanings. Thus, urban density maps generated in this way are not comparable.
358 Calculating statistics based on multiple images, however, enables generation of comparable urban density maps.

359 Another improvement is the robustness required for generating urban densities from multi scene images. We need
360 samples for all POAs, and, as above, when the interval of POA is set to 1° , we need samples at $-45^\circ, -44^\circ, \dots, 44^\circ, 45^\circ$
361 POA. Of course, some POAs have a small number or no samples for a given scene. POA statistics derived from a small
362 number of samples are unstable. This instability has less effect when the method is applied to one scene for estimating
363 urban density because the pixels affected are very limited in the scene. When statistics obtained from one scene are used
364 to correct POA effects in another, however, the instability becomes significant. We thus need samples from all POAs to
365 generate sufficiently stable statistics for POA effect correction. Even given a certain number of samples for a specific
366 POA from one scene, the proposed method takes samples from multi-scenes to calculate statistics. The statistics from
367 multi-scenes may not be optimal for any individual scene, but they are of use in reducing error caused by applying the
368 statistics from one scene to another.

369 We examined the effect of the number of cities used to calculate statistics. The results became stable when the
370 number of cities was around 10, and adding additional cities resulted in little improvement. This indicates that robust
371 estimation of urban density in multiple images requires a certain number of images, but that robustness can be achieved
372 when sufficient samples for each POA are obtained.

373 Here again, we discuss the implications of Table 3. The calibration of mean and standard deviation contributed to a
374 slight improvement of correlation with the building-to-land ratio (by 0.026 for 7 cities), and with the floor-area ratio (by

375 0.025 for 5 cities). Figs. 10 and 11 show that changes in the estimated urban density caused by calibration are significant
376 for some data in Tokyo and Sendai. The correlation coefficients of some areas after calibration were worse than those
377 before calibration. The average and standard deviation (Eqs. (9) and (10)) were calculated for each area before
378 calibration, and thus they may be optimal for the area. However, an important point is that generated urban density maps
379 are not comparable because of the normalization by using the statistics specific to the area. After calibration, the
380 statistics common to all 17 areas were used to normalize. Because this normalization functioned to shift plots of each
381 city to a common line (Figs. 10(a) to 10(b) and Figs. 11(a) to 11(b)), it contributed to overall improvement of the
382 correlation. Because our objective is to compare the urban densities of global megacities, such normalization is
383 necessary. In this context, in Table 3, the results of overall scenes are much more important than those of each scene.
384 While the improvement indicated by correlation coefficients was small, we continued to apply the proposed method to
385 global megacities.

386

387 4.5 Estimation of Urban Density of Global Megacities

388 The urban densities of megacities in ascending-mode Data A (Table 1) are shown in Fig. 12. The images correspond
389 to the areas of $20 \text{ km} \times 20 \text{ km}$. In addition to the images, we extended the proposed method to extracting meaningful
390 statistics in areas and districts. Two sizes of the urban area were set to $10 \text{ km} \times 10 \text{ km}$ and $20 \text{ km} \times 20 \text{ km}$. As for the
391 districts, two sizes were set to $2.5 \text{ km} \times 2.5 \text{ km}$ and $5 \text{ km} \times 5 \text{ km}$, but the center of the window was common to all
392 window sizes. These sizes were selected as follows. We first set a district of $2.5 \text{ km} \times 2.5 \text{ km}$, and this district was
393 automatically determined by examining the highest mean urban densities within the window. This size was determined
394 by examining the size of the highest urban density district in multiple images. The 20 km size for areas was determined
395 by considering the area covered by PALSAR images. In polarimetric measurement mode, a PALSAR swath is 20 to 65
396 km (JAXA, 2006), and the images used in the experiment have approximately 30 km swaths. It is ideal that the whole of
397 a city should be extracted and compared with those of other cities. However, it was found that parts of some cities were
398 not observed in the PALSAR images. Therefore, we decided to limit the area to compare global megacities. Two
399 different sizes for districts and areas were set because the scattergram depended on the size and the comparison between
400 the results with two different sizes may indicate information about urban distribution patterns. The other area size, 10
401 $\text{km} \times 10 \text{ km}$, was determined by halving each dimension of $20 \text{ km} \times 20 \text{ km}$. In the same manner, if we halve the 2.5 km

402 $\times 2.5$ km size of the district we get $1.25 \text{ km} \times 1.25 \text{ km}$, which is too small to represent urban density. We use therefore
 403 use $5 \text{ km} \times 5 \text{ km}$, obtained by doubling each dimension of the $2.5 \text{ km} \times 2.5 \text{ km}$ area size.

404 In calculating the mean, aggregated urban densities were divided by the number of samples where those urban
 405 densities were more than 0. Then, it was visually checked whether the highest urban density district is included in the
 406 automatically selected district. All results except the one for Kobe were acceptable. In the case of the Kobe image, parts
 407 of the Osaka area were included, and the automatically selected district belonged to them. The highest urban density
 408 district for Kobe was automatically detected by limiting the search area. Finally, the area that includes the
 409 pre-determined district and shows the highest mean urban densities was detected for each scene. Fig. 13 shows the
 410 relation between mean urban density in a district (for each, either $2.5 \text{ km} \times 2.5 \text{ km}$ or $5 \text{ km} \times 5 \text{ km}$) and the skew of
 411 urban density in a wider area ($10 \text{ km} \times 10 \text{ km}$ or $20 \text{ km} \times 20 \text{ km}$). Skew is a statistical measure of asymmetry of a
 412 distribution, defined as follows:

$$413 \quad \text{Skew} = E \left[\left(\frac{X - \mu}{\sigma} \right)^3 \right].$$

414 (14)

415 Here, X is a random variable, and μ and σ are the mean and standard deviation of X , respectively. When the distribution
 416 has strong symmetry, the absolute value of the skew is close to 0.

417 Fig. 13 indicates several interesting findings. The vertical axis of Fig. 13 denotes homogeneity of urbanization, with
 418 larger values indicating more heterogeneously urbanized and developed cities in specific districts. The first finding is
 419 that cities such as Melbourne and Sydney show local heterogeneity because their skews are relatively high at both
 420 spatial scales ($10 \text{ km} \times 10 \text{ km}$ and $20 \text{ km} \times 20 \text{ km}$). This finding is supported by Figs. 12(d) and 13(j). The second
 421 finding is that the skew change indicates the degree of homogeneity. The skew of Ho Chi Minh City significantly
 422 increased between the 10 km and 20 km scales. This feature is unique to Ho Chi Minh City. It indicates that
 423 homogeneous areas with higher urban densities are distributed on a 10 km scale and that urban densities are significantly
 424 different between inside and outside the highly urbanized $10 \text{ km} \times 10 \text{ km}$ area. Such a homogeneous area can be found
 425 in the left area of Fig. 12(b). The white triangle shows the international airport in Ho Chi Minh City. On the other hand,
 426 Tokyo, Taipei, Tehran, and Kyoto have small skew change between the 10 km and 20 km scales. This means that the
 427 homogeneous urban areas are found in a $20 \text{ km} \times 20 \text{ km}$ area in these cities.

428 The third finding is that a few cities can be classified into same categories having similar urban structure by
429 considering both plots in two scattergrams: (1) Tokyo and Taipei, (2) Munich and Beijing, (3) Kyoto and Tehran, (4)
430 Melbourne and Sydney, and (5) Sendai and New Delhi. These similarities are also seen in Figs. 6, 7, 8 and 12. The final
431 finding is that Vientiane, the capital and the largest city in the Laos, is much less urbanized than other cities in terms of
432 urban density on a district level and an area level. On the basis of the previous discussion, we can compare the status of
433 different global megacities by using PolSAR images and the proposed method.

434

435 5. Conclusions

436 We extended an existing effective density estimation algorithm to allow application to various areas, while the
437 existing one was limited to application to single areas. A normalized combination of the volume scattering power and
438 the helix scattering power (T_{v+c}) was used to calculate urban density. The mean and standard deviation used for the
439 normalization were obtained by a calibration referring to all images to be analyzed. As a result of validation with GIS
440 images, a small improvement was confirmed and the urban density estimated from a single PolSAR image has a
441 significant correlation with the building-to-land ratio. We then applied this improved method to global megacities, and
442 generated a two-dimensional scattergram of mean and skew of urban densities. This scattergram enabled international
443 comparison of megacities in terms of urban structure, and indicated several findings. As a result, we found that the
444 proposed method and such discussion based on the scattergram were very useful in obtaining knowledge about the
445 status of megacities, especially when fundamental statistics are lacking for megacities of interest.

446 In this study, we used L-band PALSAR images because fully polarimetric PALSAR images were available for many
447 megacities over the world, and because stable results of urban mapping using L-band PolSAR images have been
448 reported (Kajimoto & Susaki, 2013b). Satellite-borne X-band PolSAR images, such as those taken by TerraSAR-X, are
449 now available, and the proposed method may be applied to such images. However, it may be expected that the obtained
450 results will be different from those obtained as L-band images because the radar sensitivity of scatterers is dependent on
451 wavelength. Because multiple scattering frequently occurs in urban areas, longer wavelength radar may be more
452 appropriate for urban densities that have high correlation with building-to-land ratio. In future work, we will compare
453 urban density maps generated from L-band PolSAR images with those generated from X-band PolSAR images.

454

455 Acknowledgments

456 This research was supported by a Grant-in-Aid for Scientific Research (KAKENHI) for Young Scientists (B) (No.
457 22760393), and by a program of the Fourth Advanced Land Observing Satellite-2 Research Announcement, Japanese
458 Aerospace Exploration Agency. Zmap-Town II (ZENRIN) was provided by the Center for Spatial Information Science,
459 The University of Tokyo.

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565 List of Figure Captions

566

567 Fig. 1. Flow of the proposed method

568

569 Fig. 2. Average TP of PALSAR images plotted against POA. (a) Average TP for homogeneous POA areas, and (b)
570 average TP for heterogeneous POA areas. Data A with 21.5° off-nadir angle against scene center includes Tokyo, Kyoto,
571 Sendai, Nagoya, and Kobe. Data B with 23.1° off-nadir angle includes Osaka, Fukuoka, and Sapporo.

572

573 Fig. 3. Average TP of PALSAR images (Sapporo and Tokyo) plotted against POA. Each city has two images with
574 different off-nadir angle. (a) Average TP for homogeneous POA areas, and (b) average TP for heterogeneous POA areas.
575 “A” denotes ascending mode of observation, and “D” denotes descending mode of observation.

576

577 Fig. 4. Effect of spatial scale on the results. (a) Correlation coefficient of estimated urban density between SAR data and
578 GIS data, (b) mutual information (Kullback–Leibler information) compared to the data at a 50 m spatial scale.

579

580 Fig. 5. Effect of incident angle θ difference to the accuracy of urban density estimation. (a) Results in case when $\theta \leq$
581 23.0° , (b) $23.5^\circ \leq \theta \leq 24.5^\circ$, and (c) $\theta \geq 25.0^\circ$.

582

583 Fig. 6. Results of urban density estimation for Tokyo. (a) AVNIR-2 image observed on January 11, 2007 (R:G:B = band
584 3:4:2), (b)(e) estimated urban density, (c)(f) building-to-land ratio, and (d)(g) floor area ratio. (b), (c), and (d) were
585 original data, and aggregated into images with 300 m mesh size (e), (f), and (g), respectively.

586

587 Fig. 7. Results of urban density estimation for Kyoto. See Fig. 4 for a description of each panel. The AVNIR-2 image
588 was observed on May 15, 2008. Note that some urban areas in (a) are not included in (c) and (d), because (c) and (d)
589 have only data from inside Kyoto.

590

591 Fig. 8. Results of urban density estimation for Munich. (a) AVNIR-2 image observed on September 22, 2010 (R:G:B =
592 band 3:4:2), (b)(d) estimated urban density, and (c)(e) building-to-land ratio. (b) and (c) were original data, and
593 aggregated into images with 300 m mesh size (d) and (e), respectively.

594

595 Fig. 9. Results of urban density estimation for New York. See Fig. 7 for a description of each panel. The AVNIR-2
596 image was observed on November 3, 2010.

597

598 Fig. 10. Effect of calibration to the assessment of the estimated urban density with building-to-land ratio. (a)
599 Scattergram of GIS data and the results before calibration, in which the mean and standard deviation used for Eq. (8)
600 were calculated within the individual scene. (b) Scattergram of GIS data and the results after calibration, in which the
601 mean and standard deviation were calculated using Eqs. (9) and (10), respectively.

602

603 Fig. 11. Effect of calibration to the assessment of the estimated urban density with floor area ratio. See Fig. 9 for a
604 description of each panel.

605

606 Fig. 12. Results of urban density estimation. (a) Beijing, (b) Ho Chi Minh, (c) Kobe, (d) Melbourne, (e) Nagoya, (f) New
607 Delhi, (g) Sendai, (h) Shanghai, (i) Singapore, (j) Sydney, (k) Taipei, (l) Tehran, and (m) Vientiane.

608

609 Fig. 13. Scattergram of indices derived from estimated urban densities. (a) Relation between the highest mean in a 2.5
610 \times 2.5 km district and the skew of urban density in a 10 \times 10 km area, and (b) relation between the highest mean in a 5
611 \times 5 km district and the skew of urban density in a 20 \times 20 km area.

Elsevier Editorial System(tm) for Remote Sensing of Environment
Manuscript Draft

Manuscript Number: RSE-D-14-00133R3

Title: Urban Density Mapping of Global Megacities from Polarimetric SAR Images

Article Type: Original Research Paper

Keywords: Urban density; megacities; polarimetric synthetic aperture radar; polarization orientation angle

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Responses to comments by the Reviewers

We are grateful to the Editor and the anonymous reviewers for their valuable comments. Below, we respond to the comment raised by the reviewers.

From: "Remote Sensing of Environment" <rse@umn.edu>
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Date: 21 Aug 2014 18:50:12 +0100
Subject: RSE-D-14-00133R2

Ref.: RSE-D-14-00133R2
Urban Density Mapping of Global Megacities from Polarimetric SAR Images

Dear Dr. Susaki,

Review of your revised paper follows. It is positive but suggests obtaining help with the English.

When you submit your revised paper, please provide a summary of the changes you have made and your responses to the review comments and recommendations. I will look forward to receiving your revised manuscript.

To submit a revision, go to <http://ees.elsevier.com/rse/> and log in as an Author. You will see a menu item called "Submission Needing Revision." You will find your submission record there. Please remove any items that have changed or are no longer needed before uploading your revised manuscript.

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Sincerely,

Marvin Bauer
Editor-in-Chief
Remote Sensing of Environment

=====

Reviewers' comments:

Reviewer #3:

The paper has been revised according to my requests. I am glad the authors followed my suggestions to try and improve their paper.

At this point I only suggest that all the text, and especially the new one, should be revised for the English. As an example, the new paragraph on page 7 has multiple issues: " fist component threshold" should be "a threshold on the first principal component", "threshold optimal" should be "optimal threshold", "in proportion to the standard deviation" should by "by the standard deviation", and so on).

Like the previous manuscript, we asked an English proof company to edit the manuscript again. We hope you will be satisfied with the revision.

=====

Highlights

- We estimated urban areas and density from a single polarimetric SAR image.
- We calculated statistics from images to reduce orientation angle effects.
- The estimated urban density has a high correlation with building-to-land ratio.
- We compared the urban density patterns of global megacities.
- Analysis using urban density maps indicates the patterns of urban development.

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Urban Density Mapping of Global Megacities from Polarimetric SAR Images

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***Abstract*—We propose an algorithm for estimating urban density from polarimetric synthetic aperture radar (SAR) images, and compare the urban density patterns of global megacities. SAR images are uniquely able to detect structural information of objects, but they are very sensitive to orientation angle. This issue has been an obstacle to applying SAR images to urban areas. Kajimoto and Susaki (2013b) proposed an algorithm to handle this issue. The effects of polarization orientation angle (POA) are removed by rotating the coherency matrix and then calculating the mean and standard deviation of scattering power by POA domain. The algorithm can estimate urban density from a single fully polarimetric SAR image but has the drawback that the generated urban density maps of multiple images are not comparable with each other because the algorithm generates a relative urban density valid only within the analyzed image. We therefore extend the method by calculating POA-domain statistics from all images of interest so that the generated maps can be compared. Estimated urban densities are assessed on two types of urban density generated from GIS data, building-to-land ratio and floor-area ratio. We demonstrate that the extended method can estimate urban density with reasonable accuracy. Finally, we generate two scattergrams of indices derived from urban density maps of global megacities.**

25 **An analysis using the scattergrams indicates insightful information about the patterns of urban development.**
26 **We conclude that the proposed algorithm and the analysis using the obtained results are beneficial to**
27 **understanding the conditions in megacities.**

28

29 ***Index Terms*—Urban density, megacities, polarimetric synthetic aperture radar, polarization orientation angle.**

30

31 1. Introduction

32 Mapping of human settlements is one of the most important applications of remote sensing. As the world population has
33 increased, many megacities with populations exceeding one million have emerged, especially in Asia. Megacities such
34 as Beijing, Bangkok, and Jakarta are still rapidly growing. Rapid growth of megacities in developing countries can
35 cause severe urban problems, including problems related to traffic congestion, water supply, sewage disposal, air
36 pollution, and housing. Before national or local governments can plan countermeasures against such urban problems,
37 the areas of human settlement must be delineated. Population density should also be mapped at the district level to
38 effectively determine budgets and improve the quality of urban life.

39 One traditional approach to mapping urban areas and density is to use census data to generate maps with the help of a
40 geographic information system (GIS). However, the initial cost of collecting census data and converting them into
41 digital data, and the ongoing cost of updating such data, are significant. This is true not only in developing countries, but
42 also in developed countries. For example, in Japan, Zenrin Co. Ltd. is well known for selling detailed census data and
43 manually updating this data. These data are sold commercially as Zmap Town II by local government organizations. For
44 example, the Tokyo metropolitan area includes Chiba, Saitama, and Kanagawa prefectures and parts of Ibaraki
45 prefecture. The area had a population of 37.6 million in an area of 14,000 km² in 2010 (Statistics Bureau, 2011). It costs
46 approximately 300,000 USD to purchase the Zmap Town II data that includes the number of stories of buildings in the
47 Tokyo metropolitan area (Zenrin, 2014). Because these data are so costly, most social science, civil engineering, and
48 architecture researchers interested in urban areas have to find other sources of urban area data.

49 The estimation of population density in urban areas can be difficult because it requires an accurate population census.
50 Building density can be used as an alternative index to reflect the activities in urban areas. Hereinafter, urban density
51 denotes building density. In this research, our motivation is to map urban density and urban areas for megacities

52 throughout the world, thus promoting analysis and research on urban environments.

53 Remote sensing has the potential to map urban areas and density via several approaches. As daytime optical images,
54 Landsat-series images have been widely used to monitor urban areas (Schneider, 2012; Zhu et al., 2012). Landsat has
55 carried the Multispectral Scanner System (MSS), Thematic Mapper (TM), and Enhanced Thematic Mapper Plus
56 (ETM+) devices. Because their basic designs are highly similar, long-term monitoring is possible. Bagan and Yamagata
57 (2012) conducted an analysis of urban growth in the metropolitan Tokyo area by fusing long-term Landsat imagery and
58 statistical data. High-temporal-resolution sensors, such as the Advanced Very High Resolution Radiometer (AVHRR)
59 and Moderate Resolution Imaging Spectroradiometer (MODIS) have been also used for global mapping of urban areas
60 (Friedl et al., 2002; Schneider et al., 2010). Nighttime optical sensors were used to extract urban areas by detecting
61 nighttime illumination from urban areas. Defense Meteorological Satellite Programme–Operational Line Scanner
62 (DMSP-OLS) provided such nighttime imagery, and urban maps generated using that imagery have been reported
63 (Elvidge et al., 1997; Elvidge et al., 1998; Sutton, 2003). However, optical sensors have a critical drawback: they are
64 sensitive to atmospheric conditions. For example, few clear optical images of Asian countries can be acquired during the
65 monsoon season.

66 Synthetic aperture radar (SAR) and other microwave-based radar sensors are generally insensitive to atmospheric
67 conditions, and interferometric SAR (InSAR) may be a useful approach to estimating heights for urban density mapping.
68 Scattering mechanisms are very complex in urban areas due to multiple scattering by man-made structures (Margarit et
69 al., 2010). Urban digital elevation models (DEM) estimated by InSAR are thus generally not accurate, but several
70 approaches to improving accuracy have been presented (Thiele et al., 2007; Shabou et al., 2012). Permanent scatter
71 InSAR (PSInSAR) (Ferretti et al., 2001) and SqueeSAR (Ferretti et al., 2011) generate DEM with very high accuracy
72 (millimeter scale), even for urban areas (Ferretti et al., 2000; Stramondo et al., 2008; Perissin & Wang, 2012; Chaussard
73 et al., 2014). However, the major obstacle to implementing such techniques is that they require dozens of SAR images,
74 making it hard to map many megacities.

75 Another feature of SAR is detection of structural information of surface targets. Fully polarimetric SAR (PolSAR)
76 can provide data for four different combinations of horizontal (H)- and vertical (V)-polarization reception and
77 transmission: HH, HV, VH, and VV. Three-component (Freeman & Durden, 1998) and four-component decomposition
78 algorithms (Yamaguchi et al., 2005; Yamaguchi et al., 2006) decompose multi-polarization data into three or four
79 scattering components: surface, double-bounce, and volume scatterings are common to both algorithms, and helix

80 scattering was added by the latter algorithm. Such analysis is quite different from when optical images are used.

81 This feature can be used to map urban density. Niu and Ban used PolSAR data to extract high- and low-density urban
82 areas (Niu and Ban, 2012) where no density information was given for industrial, commercial, and construction areas.
83 One obstacle to mapping using SAR data is the effect of polarization orientation angle (POA) (Kimura, 2008). The
84 scattering received by SAR sensor is very sensitive to the POA of the target. This effect is more evident in urban areas
85 than with vegetated land cover such as forests and agricultural areas. Kajimoto and Susaki (2013b) overcame this POA
86 effect and succeeded in mapping urban density from only one PolSAR image of an area of interest. However, the
87 method generates a relative density index that is applicable to only the analyzed image. The method is therefore not
88 guaranteed to be applicable to all urban areas for comparing the status of urbanization of different megacities.

89 We extended the method proposed in Kajimoto and Susaki (2013b), and propose a method that estimates urban
90 density from only one PolSAR image and enables comparison of urban densities of different cities. As described in
91 Section 3, building density can be defined in several ways, such as building-to-land ratio and floor-area ratio. In this
92 paper, the urban density estimated using PolSAR images is not defined in advance but rather assessed according to the
93 kind of building density the estimated urban density is attributed to. Urban areas are defined as areas where artificial
94 objects are dominant. The remainder of this paper is organized as follows: Section 2 describes the new method.
95 Experimental results are reported in Section 3 and discussed in Section 4. Finally, we present our conclusions in Section
96 5.

97

98 2. Methods

99

100 2.1 Outline of the Method

101 Fig. 1 shows a flowchart of the proposed method, which uses fully polarimetric phase and amplitude data. First, POA is
102 calculated, and four components with POA effect correction are generated. Next, urban areas are extracted using the
103 method proposed by Kajimoto and Susaki (2013a). Finally, urban densities of multiple scenes are calculated. In this
104 process, statistics (mean and standard deviation of scattering) are obtained by POA, as is homogeneous (or
105 heterogeneous) status over the entire study area.

106

107 2.2 Polarimetric SAR Data

108 The format of PolSAR data consists of a complex scattering matrix

$$109 \quad s = \begin{pmatrix} S_{HH} & S_{HV} \\ S_{VH} & S_{VV} \end{pmatrix} = \begin{pmatrix} a & c \\ c & b \end{pmatrix}. \quad (1)$$

111

112 Here, for simplicity, S_{HV} and S_{VH} are assumed to be equivalent, so the coherency matrix is given by

113

$$114 \quad T = \begin{pmatrix} T_{11} & T_{12} & T_{13} \\ T_{21} & T_{22} & T_{23} \\ T_{31} & T_{32} & T_{33} \end{pmatrix}$$

$$115 \quad = \frac{1}{2} \begin{pmatrix} |a+b|^2 & (a+b)(a-b)^* & 2(a+b)c^* \\ (a-b)(a+b)^* & |a-b|^2 & 2(a-b)c^* \\ 2c(a+b)^* & 2c(a-b)^* & 4|c|^2 \end{pmatrix}. \quad (2)$$

118

119

120

121 2.3 Polarization Orientation Angle (POA)

122 The polarization orientation angle (POA) estimates the azimuth angle of the target (Kimura, 2008). In this paper, the

123 POA is denoted by ϕ , which is not the typical notation for POA. We do this because we discuss the effect of the off-nadir

124 angle difference in Section 4.4, and the off-nadir angle of radar is denoted by θ in this paper. ϕ is estimated as

125

$$126 \quad \phi = \frac{1}{4} \tan^{-1} \frac{2\operatorname{Re}(T_{23})}{T_{22} - T_{33}}, \left(-\frac{\pi}{4} \leq \phi \leq \frac{\pi}{4} \right).$$

127

128

129 The angle ϕ is determined by minimizing $T_{33}(\phi)$.

130

131 2.4 Four-component Decomposition

132 Four-component decomposition decomposes observed backscattering into four components calculated from the

133 coherency matrix (Yamaguchi et al., 2005; Yamaguchi et al., 2006). Applying the four-component decomposition

134 method to the full PolSAR data gives the surface scattering power (P_s), the double-bounce scattering power (P_d), the
 135 volume scattering power (P_v), and the helix scattering power (P_c).

136 Four components are sensitive to POA. Yamaguchi et al. (2011) proposed an algorithm that rotates the coherency
 137 matrix by the POA to reduce the dependence of the components on the relative azimuth angle. A rotation is applied to
 138 the coherency matrix:

139

140

141

142

$$T(\phi) = \begin{pmatrix} T_{11}(\phi) & T_{12}(\phi) & T_{13}(\phi) \\ T_{21}(\phi) & T_{22}(\phi) & T_{23}(\phi) \\ T_{31}(\phi) & T_{32}(\phi) & T_{33}(\phi) \end{pmatrix} = [R_p(\phi)]T[R_p(\phi)]^\dagger. \quad (4)$$

143

144

145

146 Here, \dagger denotes complex conjugation and transposition, and $R_p(\phi)$ is the rotation matrix given by

147

148

149

$$[R_p(\phi)] = \begin{pmatrix} 1 & 0 & 0 \\ 0 & \cos 2\phi & \sin 2\phi \\ 0 & -\sin 2\phi & \cos 2\phi \end{pmatrix}. \quad (5)$$

150

151 However, components remain dependent on the relative azimuth angle even after this correction (Iwasa & Susaki,
 152 2011), and removal of the remaining angular effects is a nontrivial problem.

153

154 2.5 Urban Area Classification

155 Urban areas are discriminated from other types of land cover (mountain, farmland, bare ground, and sea surface) by
 156 using the method proposed by Kajimoto and Susaki (2013a). Analysis using L-band PolSAR images indicated that
 157 POA-corrected P_v generated by four-component decomposition with Eq. (4) is less sensitive to POA than other
 158 POA-corrected components, but there is still a dependency on POA. Another difficulty is that the scattering intensity in
 159 non-orthogonal urban areas and that in orthogonal farmland is similar in some cases. Here, an ‘‘orthogonal’’ area denotes
 160 an area that has an almost 0° POA. Therefore, in the first stage, POA-corrected P_v and total power (TP) data are used for

161 classification. TP is derived as $TP = |a|^2 + |b|^2 + 2|c|^2$. The combination of the two variables improves classification of
162 land cover. In addition, pixels are categorized on POA as $(-7.5^\circ$ to $7.5^\circ)$, $(-22.5^\circ$ to 7.5° , 7.5° to $22.5^\circ)$, $(-37.5^\circ$ to
163 -22.5° , 22.5° to $37.5^\circ)$, and $(-45.0^\circ$ to -37.5° , 37.5° to $45.0^\circ)$. A different classification threshold is set for each
164 category.

165 In this classification, training data for urban areas and farmland in the study area are manually selected. Principal
166 component analysis is applied to the training data, and the threshold on the first principal component for discriminating
167 between urban areas and farmland is determined. The threshold is determined from the means and standard deviations of
168 the first principal components of the two land cover types. When classifying multiple images, optimal thresholds for the
169 study area of interest are automatically updated. The difference between the means of the two land covers is divided by
170 the standard deviations, and the breakpoint is used as the threshold. The threshold is then applied to another study area,
171 and an attempt is made to separate the urban areas from farmland. The difference is calculated between the urban gravity
172 points in the new area and in the initial study area, and this difference is used to adjust the threshold. The updated
173 threshold is again applied to the new study area, and the gravity point difference is calculated. Iteration of this process is
174 terminated when the change in the threshold is within a predefined limit.

175 After the first stage of classification, both urban areas and mountainous areas are discriminated from the other three
176 land covers (farmland, bare ground, and sea surface). Because most of the pixels of urban areas and mountainous areas
177 overlap in Pv-TP space, the two land covers are not discriminated by using values of only scattering components.
178 Therefore, in the second step, urban areas are discriminated from mountainous areas using POA randomness, rather than
179 variance of POA. The procedure to count POA randomness is as follows. First, each pixel is labeled using one of five
180 POA-based groups, $(-45^\circ$ to $25^\circ)$, $(-25^\circ$ to $-5^\circ)$, $(-5^\circ$ to $5^\circ)$, $(5^\circ$ to $25^\circ)$, and $(25^\circ$ to $45^\circ)$. Next, a window is set around
181 the pixel to be analyzed. Taking each window pixel in turn, the POA labels of the four neighboring pixels are compared
182 with the label of the central pixel, defined as the reference pixel. If all four pixels have labels that are equal to the
183 reference pixel's label or that differ by exactly one, the pixel is not counted. In all other cases, the pixel is counted. The
184 number of pixels counted is then assigned to the reference pixel. Using this procedure, the pixel count is expected to be
185 small in urban areas and large in mountainous areas.

186

187 2.6 Urban Density Estimation

188 The method used to estimate urban density is based on the method proposed by Kajimoto and Susaki (2013b). It
 189 consists of two steps, the extraction of homogeneous-POA city districts and the normalization of scattering-power
 190 components in each POA space. They classified urban areas into homogeneous and heterogeneous areas because even if
 191 two pixels have nearly the same POA, their scattering intensities can be very different, especially in orthogonal building
 192 areas. After that, an index for urban density is calculated for each category of urban area, homogeneous or
 193 heterogeneous.

194 First, POA variance is calculated as follows:

195

$$196 \quad \text{Var}(i, j) = \frac{1}{N_{mm}} \sum_m \sum_n (\phi(m, n) - \mu_\phi(i, j))^2. \quad (6)$$

197

198

199 Here, $\text{Var}(i, j)$ is the POA variance of the pixel (i, j) , N_{mm} is the pixel count in the local Lee sigma filtering window of
 200 the pixel (i, j) , ϕ is the POA, (m, n) indicates the location of pixels lying within the local window, and $\mu_\phi(i, j)$ is the
 201 average POA within the local window. This calculation is done for all pixels of an image. The POA type $H(i, j)$ of pixel
 202 (i, j) is given by

203

$$204 \quad H(i, j) = \begin{cases} \text{HomoPOA} & (\text{Var}(i, j) < \text{Threshold}) \\ \text{HeteroPOA} & (\text{Var}(i, j) > \text{Threshold}). \end{cases} \quad (7)$$

205

206

207 The threshold in Eq. (7) is set by using training data. As a result, urban areas are classified as either homogeneous or
 208 heterogeneous.

209 The influence of POA can be removed by normalizing scattering-power components in each POA space. First, the
 210 whole POA space is divided into specific intervals. Then, in each POA interval the average and the standard deviation of
 211 each power component's scattering intensity in urban areas are calculated separately for homogeneous and
 212 heterogeneous POA areas. Finally, the power component's scattering intensity is normalized for all pixels in each POA
 213 interval. According to the results reported by Kajimoto and Susaki (2013b), we selected P_{v+c} as an optimal scattering to
 214 represent urban density. The normalized scattering intensity is expressed as follows:

215

216

217

$$T_{v+c}(i, j, k) = \frac{P_{v+c}(i, j, k, \phi, H) - \mu_{v+c}(\phi, H)}{\sigma_{v+c}(\phi, H)} \quad (8)$$

218

219

220

$$\mu_{v+c}(\phi, H) = \frac{1}{N(\phi, H)} \sum_i \sum_j \sum_k P_{v+c}(i, j, k, \phi, H) \quad (9)$$

221

222

223

$$\sigma_{v+c}^2(\phi, H) = \frac{1}{N(\phi, H)} \sum_i \sum_j \sum_k (P_{v+c}(i, j, k, \phi, H) - \mu_{v+c}(\phi, H))^2. \quad (10)$$

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$$T'_{v+c}(i, j, k) = \begin{cases} 0 & (T_{v+c}(i, j, k) < -A) \\ \frac{T_{v+c}(i, j, k) + A}{2A} & (-A \leq T_{v+c}(i, j, k) \leq A) \\ 1 & (T_{v+c}(i, j, k) > A) \end{cases} \quad (11)$$

238

Here, A is a constant.

239

3. Dataset

240

241

This study uses fully polarimetric Advanced Land Observing Satellite (ALOS)/Phased Array type L-band SAR (PALSAR) level 1.1 (L1.1) data. The images have slant-range coordinate data. Furthermore, ALOS/Advanced Visible

242 and Near Infrared Radiometer type 2 (AVNIR-2) optical sensor data were used as a reference. It is known that L-band
 243 SAR observation has significant effects from Faraday rotation, a phenomenon by which the plane of polarization is
 244 rotated, especially in tropical regions. This experiment assumed negligible effects of Faraday rotation, because
 245 correction was successful. We have two categories of PALSAR data: data with a 21.5° off-nadir angle against the center
 246 of the scene (Data A) and data with a 23.1° off-nadir angle (Data B). Table 1 shows a listing of Data A and B,
 247 respectively.

248 Accurate information on urban density for Japanese cities was obtained from Zmap-TOWN II (ZENRIN) data, which
 249 are residential maps of Japan. Accurate urban density data were generated from Zmap-TOWN II (GIS) data, with
 250 reference to previous research (Tanaka, 2011). Two measures of urban density were defined: building-to-land ratio and
 251 floor-area ratio. First, building polygon data are intersected by a mesh. Buildings lying across the mesh border are
 252 divided into pieces by the border line. The mesh size was tentatively set to $20\text{ m} \times 20\text{ m}$, which approximately
 253 corresponds to the ground resolution of PALSAR after a multilooking process. Building density is calculated as follows:

$$\begin{aligned}
 254 & \\
 255 & D_{\text{Building-to-Land}}(i, j, k) = \frac{\sum_{l=1}^n S_l(i, j, k)}{S_{\text{Land}}(i, j, k)} \\
 256 & \\
 257 & D_{\text{Floor}}(i, j, k) = \frac{\sum_{l=1}^n S_l(i, j, k) \times F_l(i, j, k)}{S_{\text{Land}}(i, j, k)} \quad (l \in (i, j, k) \text{ pixel}). \\
 258 & \tag{12}
 \end{aligned}$$

259
 260 Here, D is the estimated building density, S is an area, and F is a building floor. The pair (i, j) is the location of the
 261 reference pixel, k indicates the SAR image number, and l denotes the l th building included in the (i, j) pixel. Finally, GIS
 262 images were co-registered to PALSAR images by manually selecting ground control points between the images.
 263 Coefficients recorded in the leader files of PALSAR data calculate latitude and longitude for each pixel. With these
 264 latitudes and longitudes, urban density maps were automatically converted to the WGS 1984 coordinate system with
 265 UTM (Universal Transverse Mercator) projection. In this research, the UTM image grid size was set to 25 m.

266 For cities outside Japan, we used Open Street Map (2014). Shape files of building distributions were available for
 267 Munich and New York. We therefore generated building-to-land images for those two cities, and used them for
 268 assessment of the estimated urban densities.

269 4. Experiments

270 In this study, Lee's sigma filter is applied to PALSAR images as a speckle filter (Lee et al., 2009). The local window
 271 size for the filtering was set to 5×5 . In the process of urban area extraction, a 3×3 boxcar filter was applied to the
 272 coherency matrix. The boxcar filter is effective in removing speckle noise but blurs an image quite substantially.
 273 However, in urban density estimation, preserving a target signature is a top priority, so Lee's sigma filter with the
 274 smallest window size, 5×5 , was selected.

275 In urban area extraction, we followed the thresholds used in Kajimoto and Susaki (2013a). The minimum change in
 276 the urban gravity point was set to 0.01 dB to terminate the optimization loop. For POA randomness calculations, the
 277 window size was set at 31×31 pixels, and the ratio between the pixel count and the total number of pixels in the window
 278 for discriminating between urban and mountainous areas was set to 0.35. The threshold in Eq. (7) is 185.5° square,
 279 following Kajimoto and Susaki (2013b). The procedure for obtaining this value was determined by considering
 280 orthogonal building areas in Tokyo and Sapporo images. After manually determining regions of interest (ROIs) of
 281 homogeneous orthogonal building areas in the Tokyo and Sapporo areas, the thresholds, which include 95% of all pixels
 282 belonging to the ROIs, were 188° square (Tokyo) and 183° square (Sapporo). The average of the two study area
 283 thresholds, 185.5° , was used. Because application of this threshold value to the study areas was successful in the
 284 experiments, we did not change the value.

285 In urban density estimation, A in Eq. (11) was set to 3 to normalize T in Eq. (8).

286

287 4.1 Examination of Two Dataset Differences

288 We first examined the differences between the two datasets: Data A and B. Figures 2(a) and (b) show the relation
 289 between POA and TP of homogeneous and heterogeneous districts, respectively, in eight Japanese cities. Data A
 290 includes the Tokyo metropolitan area (hereafter, "Tokyo"), Kyoto, Nagoya, Sendai, and Kobe, and Data B includes
 291 Osaka, Sapporo, and Fukuoka. Figure 2 indicates that there is a significant gap between the curves of Data A and those
 292 of Data B. To examine differences between the two datasets in specific areas, we used Data A and B of Tokyo and
 293 Sapporo (Table 1). Figures 3(a) and (b) show the relation between POA and TP of homogeneous and heterogeneous
 294 districts in the two cities. Figure 3 indicates that the relation is dependent not on the orbital difference (ascending or
 295 descending), but on off-nadir angle. Data B (23.1° off-nadir angle) are not reliable because the relations between peaks
 296 of the curves of Sapporo A and Tokyo D are inconsistent between homogeneous and heterogeneous districts (Figs. 3(a)

297 and 3(b)); the peak of the curve of Sapporo A is higher than that of Tokyo D in Fig. 3(a), but this is not the case in Fig.
 298 3(b). This may be due to the quality of the calibration. As a result, we decided to use only Data A for further analysis.
 299

300 4.2 Effect of Spatial Scale

301 In this research, we used PALSAR images whose ground range resolution is approximately 25 m, and generated
 302 urban density maps by aggregating the results of each pixel. As expected, the accuracy obtained at smaller spatial scales
 303 (e.g. 1 km, 10 km) is better than that obtained at larger scales (e.g. 10 m, 100 m), but the results lose more information.
 304 We investigated the optimal spatial scale for maps in terms of accuracy and detail. For accuracy, we examined the
 305 correlation coefficients using GIS data at different spatial scales such as 100 m, 200 m, and 300 m, as shown in Figure
 306 4(a). For the map detail, we examined mutual information (Kullback–Leibler information or distance), expressed as

$$307 \quad D(P \parallel Q) = \sum_i P(i) \log \frac{P(i)}{Q(i)} .$$

308 (13)

309 Here, $D(P\parallel Q)$ denotes Kullback–Leibler information, and P and Q are discrete probability distributions. In this
 310 experiment, we compared the distribution of urban density [0:1] at each spatial scale to that of a 50 m scale (Figure 4(b)).
 311 The interval of urban density for calculating Eq. (1) was set to 0.01. This index represents how much detail is lost with
 312 a spatial scale change.

313 The greatest difficulty in assessing optimal spatial scale is how to combine the correlation coefficient and the mutual
 314 information, because the mutual information represents only the relative distance between two probabilistic
 315 distributions. Because it seems quite difficult to find a reasonable solution, we did not combine them, but we
 316 qualitatively assessed the optimal spatial resolution by referring to the two results. The spatial scale of a thematic map
 317 depends on the map purpose. In this research, we decided that the correlation coefficient should not be less than a certain
 318 threshold, which we set as 0.7 for all cities. Then, according to Figure 4(a), the optimal spatial scale was selected as 300
 319 m.

320

321 4.3 Effect of Incident Angle of Radar

322 Figure 5 and Table 2 show the effect of incident angle difference on the accuracy of urban density estimation. Note
 323 that the results were obtained using slant-range coordinate (original coordinate) images, for ease in calculating the
 324 incident angle of each pixel. Because the off-nadir angle was 21.5° against the scene center, the incident angle at the
 325 scene center was approximately 24.0° . The incident angle, θ , was classified into three ranges: $\theta \leq 23.0^\circ$, $23.5^\circ \leq \theta \leq$
 326 24.5° , and $\theta \geq 25.0^\circ$. Table 2 shows the results of correlation coefficient calculations for 300-m-resolution GIS images.
 327 It shows that there is a significant difference among the correlation coefficients of the three ranges.

328 One approach to correcting the incident angle effect is to divide the backscatter coefficient by $\cos \theta$ (Shimada et al.,
 329 2007). We corrected the original fully polarimetric data by multiplying them by the factor $(\cos 24.0^\circ / \cos \theta)$ and assessed
 330 the estimated urban densities with GIS images. As a result, the correlation coefficients became a little worse (by about
 331 0.01) than those without incident angle correction. Although a significant effect of the incident angle difference was
 332 found, it may not be simple to remove it. This improvement is left as a future task for mapping urban densities from SAR
 333 images.

334

335 4.4 Accuracy Assessment of Urban Density Estimation

336 Figures 6, 7, 8, and 9 show the respective results for Tokyo, Kyoto, Munich, and New York, two Japanese cities and
 337 two non-Japanese cities. We selected these Japanese cities because Tokyo is a highly dense city; Kyoto is relatively
 338 homogeneous in terms of building height due to building regulations. In Figures 6 and 7, panel (a) shows the AVNIR-2
 339 image, (b) and (e) show the estimated urban density from PALSAR images, (c) and (f) show the building-to-land ratio,
 340 and (d) and (g) show the floor-area ratio. In Figures 8 and 9, panel (a) shows the AVNIR-2 image, (b) and (d) show the
 341 estimated urban density from PALSAR images, and (c) and (e) show the building-to-land ratio. Floor-area ratio data
 342 were not available for Munich or New York.

343 The effect of the mean and standard deviation (Eqs. (9) and (10)) on the final results was examined. In this study, we
 344 defined a calibration that calculates the mean and standard deviation over all images used for the analysis, following Eqs.
 345 (9) and (10). Figures 10(a) and 11(a) show scattergrams of GIS data and the results before calibration, meaning that the
 346 mean and standard deviation used for Eq. (8) were calculated within the individual scene. In contrast, Figs. 10(b) and
 347 11(b) show the scattergram of GIS data and the results after calibration. These results were obtained with a 300 m

348 resolution. Table 3 shows the results of correlation coefficient calculations for 300 m resolution with using GIS images.
349 On the whole, correlations with the building-to-land ratio are higher than those with the floor-area ratio. This means that
350 building-to-land ratio is better than floor-area ratio for estimating urban density from PolSAR images..

351 This paper extends the method previously proposed in Kajimoto and Susaki (2013b) to application for multi-scenes.
352 The technique calculates statistics for multiple images, and then applies them to all multi-scene images. While this
353 improvement might seem small, it has two important aspects from a statistical viewpoint. The first is normalization of
354 the data. The previously proposed method is based on correction of POA effects in backscattering and related
355 components. For instance, when the POA interval is set to 1° , we take samples and calculate statistics (mean and
356 standard deviation) for $-45^\circ, -44^\circ, \dots, 44^\circ, 45^\circ$ POA. The sum of volumetric and helix scatterings is normalized by Eq.
357 (8). Assume that we separately generate two urban density maps for two images. Because the statistics of the two images
358 are different, the values have different meanings. Thus, urban density maps generated in this way are not comparable.
359 Calculating statistics based on multiple images, however, enables generation of comparable urban density maps.

360 Another improvement is the robustness required for generating urban densities from multi scene images. We need
361 samples for all POAs, and, as above, when the interval of POA is set to 1° , we need samples at $-45^\circ, -44^\circ, \dots, 44^\circ, 45^\circ$
362 POA. Of course, some POAs have a small number or no samples for a given scene. POA statistics derived from a small
363 number of samples are unstable. This instability has less effect when the method is applied to one scene for estimating
364 urban density because the pixels affected are very limited in the scene. When statistics obtained from one scene are used
365 to correct POA effects in another, however, the instability becomes significant. We thus need samples from all POAs to
366 generate sufficiently stable statistics for POA effect correction. Even given a certain number of samples for a specific
367 POA from one scene, the proposed method takes samples from multi-scenes to calculate statistics. The statistics from
368 multi-scenes may not be optimal for any individual scene, but they are of use in reducing error caused by applying the
369 statistics from one scene to another.

370 We examined the effect of the number of cities used to calculate statistics. The results became stable when the
371 number of cities was around 10, and adding additional cities resulted in little improvement. This indicates that robust
372 estimation of urban density in multiple images requires a certain number of images, but that robustness can be achieved
373 when sufficient samples for each POA are obtained.

374 Here again, we discuss the implications of Table 3. The calibration of mean and standard deviation contributed to a
375 slight improvement of correlation with the building-to-land ratio (by 0.026 for 7 cities), and with the floor-area ratio (by

376 0.025 for 5 cities). Figures 10 and 11 show that changes in the estimated urban density caused by calibration are
377 significant for some data in Tokyo and Sendai. The correlation coefficients of some areas after calibration were worse
378 than those before calibration. The average and standard deviation (Eqs. (9) and (10)) were calculated for each area
379 before calibration, and thus they may be optimal for the area. However, an important point is that generated urban
380 density maps are not comparable because of the normalization by using the statistics specific to the area. After
381 calibration, the statistics common to all 17 areas were used to normalize. Because this normalization functioned to shift
382 plots of each city to a common line (Figs. 10(a) to 10(b) and Figs. 11(a) to 11(b)), it contributed to overall improvement
383 of the correlation. Because our objective is to compare the urban densities of global megacities, such normalization is
384 necessary. In this context, in Table 3, the results of overall scenes are much more important than those of each scene.
385 While the improvement indicated by correlation coefficients was small, we continued to apply the proposed method to
386 global megacities.

387

388 4.5 Estimation of Urban Density of Global Megacities

389 The urban densities of megacities in ascending-mode Data A (Table 1) are shown in Fig. 12. The images correspond
390 to the areas of $20 \text{ km} \times 20 \text{ km}$. In addition to the images, we extended the proposed method to extracting meaningful
391 statistics in areas and districts. Two sizes of the urban area were set to $10 \text{ km} \times 10 \text{ km}$ and $20 \text{ km} \times 20 \text{ km}$. As for the
392 districts, two sizes were set to $2.5 \text{ km} \times 2.5 \text{ km}$ and $5 \text{ km} \times 5 \text{ km}$, but the center of the window was common to all
393 window sizes. These sizes were selected as follows. We first set a district of $2.5 \text{ km} \times 2.5 \text{ km}$, and this district was
394 automatically determined by examining the highest mean urban densities within the window. This size was determined
395 by examining the size of the highest urban density district in multiple images. The 20 km size for areas was determined
396 by considering the area covered by PALSAR images. In polarimetric measurement mode, a PALSAR swath is 20 to 65
397 km (JAXA, 2006), and the images used in the experiment have approximately 30 km swaths. It is ideal that the whole of
398 a city should be extracted and compared with those of other cities. However, it was found that parts of some cities were
399 not observed in the PALSAR images. Therefore, we decided to limit the area to compare global megacities. Two
400 different sizes for districts and areas were set because the scattergram depended on the size and the comparison between
401 the results with two different sizes may indicate information about urban distribution patterns. The other area size, 10
402 $\text{km} \times 10 \text{ km}$, was determined by halving each dimension of $20 \text{ km} \times 20 \text{ km}$. In the same manner, if we halve the 2.5 km

403 $\times 2.5$ km size of the district we get $1.25 \text{ km} \times 1.25 \text{ km}$, which is too small to represent urban density. We use therefore
 404 use $5 \text{ km} \times 5 \text{ km}$, obtained by doubling each dimension of the $2.5 \text{ km} \times 2.5 \text{ km}$ area size.

405 In calculating the mean, aggregated urban densities were divided by the number of samples where those urban
 406 densities were more than 0. Then, it was visually checked whether the highest urban density district is included in the
 407 automatically selected district. All results except the one for Kobe were acceptable. In the case of the Kobe image, parts
 408 of the Osaka area were included, and the automatically selected district belonged to them. The highest urban density
 409 district for Kobe was automatically detected by limiting the search area. Finally, the area that includes the
 410 pre-determined district and shows the highest mean urban densities was detected for each scene. Figure 13 shows the
 411 relation between mean urban density in a district (for each, either $2.5 \text{ km} \times 2.5 \text{ km}$ or $5 \text{ km} \times 5 \text{ km}$) and the skew of
 412 urban density in a wider area ($10 \text{ km} \times 10 \text{ km}$ or $20 \text{ km} \times 20 \text{ km}$). Skew is a statistical measure of asymmetry of a
 413 distribution, defined as follows:

$$414 \quad \text{Skew} = E \left[\left(\frac{X - \mu}{\sigma} \right)^3 \right].$$

415 (14)

416 Here, X is a random variable, and μ and σ are the mean and standard deviation of X , respectively. When the distribution
 417 has strong symmetry, the absolute value of the skew is close to 0.

418 Figure 13 indicates several interesting findings. The vertical axis of Fig. 13 denotes homogeneity of urbanization,
 419 with larger values indicating more heterogeneously urbanized and developed cities in specific districts. The first finding
 420 is that cities such as Melbourne and Sydney show local heterogeneity because their skews are relatively high at both
 421 spatial scales ($10 \text{ km} \times 10 \text{ km}$ and $20 \text{ km} \times 20 \text{ km}$). This finding is supported by Figs. 13(d) and 13(j). The second
 422 finding is that the skew change indicates the degree of homogeneity. The skew of Ho Chi Minh City significantly
 423 increased between the 10 km and 20 km scales. This feature is unique to Ho Chi Minh City. It indicates that
 424 homogeneous areas with higher urban densities are distributed on a 10 km scale and that urban densities are significantly
 425 different between inside and outside the highly urbanized $10 \text{ km} \times 10 \text{ km}$ area. Such a homogeneous area can be found
 426 in the left area of Fig. 13(b). The white triangle shows the international airport in Ho Chi Minh City. On the other hand,
 427 Tokyo, Taipei, Tehran, and Kyoto have small skew change between the 10 km and 20 km scales. This means that the
 428 homogeneous urban areas are found in a $20 \text{ km} \times 20 \text{ km}$ area in these cities.

429 The third finding is that a few cities can be classified into same categories having similar urban structure by
430 considering both plots in two scattergrams: (1) Tokyo and Taipei, (2) Munich and Beijing, (3) Kyoto and Tehran, (4)
431 Melbourne and Sydney, and (5) Sendai and New Delhi. These similarities are also seen in Figs. 6, 7, 8 and 12. The final
432 finding is that Vientiane, the capital and the largest city in the Laos, is much less urbanized than other cities in terms of
433 urban density on a district level and an area level. On the basis of the previous discussion, we can compare the status of
434 different global megacities by using PolSAR images and the proposed method.

435

436 5. Conclusions

437 We extended an existing effective density estimation algorithm to allow application to various areas, while the
438 existing one was limited to application to single areas. A normalized combination of the volume scattering power and
439 the helix scattering power ($Tv+c$) was used to calculate urban density. The mean and standard deviation used for the
440 normalization were obtained by a calibration referring to all images to be analyzed. As a result of validation with GIS
441 images, a small improvement was confirmed and the urban density estimated from a single PolSAR image has a
442 significant correlation with the building-to-land ratio. We then applied this improved method to global megacities, and
443 generated a two-dimensional scattergram of mean and skew of urban densities. This scattergram enabled international
444 comparison of megacities in terms of urban structure, and indicated several findings. As a result, we found that the
445 proposed method and such discussion based on the scattergram were very useful in obtaining knowledge about the
446 status of megacities, especially when fundamental statistics are lacking for megacities of interest.

447 In this study, we used L-band PALSAR images because fully polarimetric PALSAR images were available for many
448 megacities over the world, and because stable results of urban mapping using L-band PolSAR images have been
449 reported (Kajimoto & Susaki, 2013b). Satellite-borne X-band PolSAR images, such as those taken by TerraSAR-X, are
450 now available, and the proposed method may be applied to such images. However, it may be expected that the obtained
451 results will be different from those obtained as L-band images because the radar sensitivity of scatterers is dependent on
452 wavelength. Because multiple scattering frequently occurs in urban areas, longer wavelength radar may be more
453 appropriate for urban densities that have high correlation with building-to-land ratio. In future work, we will compare
454 urban density maps generated from L-band PolSAR images with those generated from X-band PolSAR images.

455

456 Acknowledgments

457 This research was supported by a Grant-in-Aid for Scientific Research (KAKENHI) for Young Scientists (B) (No.
458 22760393), and by a program of the Fourth Advanced Land Observing Satellite-2 Research Announcement, Japanese
459 Aerospace Exploration Agency. Zmap-Town II (ZENRIN) was provided by the Center for Spatial Information Science,
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566 List of Figure Captions

567

568 Fig. 1. Flow of the proposed method

569

570 Fig. 2. Average TP of PALSAR images plotted against POA. (a) Average TP for homogeneous POA areas, and (b)
571 average TP for heterogeneous POA areas. Data A with 21.5° off-nadir angle against scene center includes Tokyo, Kyoto,
572 Sendai, Nagoya, and Kobe. Data B with 23.1° off-nadir angle includes Osaka, Fukuoka, and Sapporo.

573

574 Fig. 3. Average TP of PALSAR images (Sapporo and Tokyo) plotted against POA. Each city has two images with
575 different off-nadir angle. (a) Average TP for homogeneous POA areas, and (b) average TP for heterogeneous POA areas.
576 “A” denotes ascending mode of observation, and “D” denotes descending mode of observation.

577

578 Fig. 4. Effect of spatial scale on the results. (a) Correlation coefficient of estimated urban density between SAR data and
579 GIS data, (b) mutual information (Kullback–Leibler information) compared to the data at a 50 m spatial scale.

580

581 Fig. 5. Effect of incident angle θ difference to the accuracy of urban density estimation. (a) Results in case when $\theta \leq$
582 23.0° , (b) $23.5^\circ \leq \theta \leq 24.5^\circ$, and (c) $\theta \geq 25.0^\circ$.

583

584 Fig. 6. Results of urban density estimation for Tokyo. (a) AVNIR-2 image observed on January 11, 2007 (R:G:B = band
585 3:4:2), (b)(e) estimated urban density, (c)(f) building-to-land ratio, and (d)(g) floor area ratio. (b), (c), and (d) were
586 original data, and aggregated into images with 300 m mesh size (e), (f), and (g), respectively.

587

588 Fig. 7. Results of urban density estimation for Kyoto. See Fig. 4 for a description of each panel. The AVNIR-2 image
589 was observed on May 15, 2008. Note that some urban areas in (a) are not included in (c) and (d), because (c) and (d)
590 have only data from inside Kyoto.

591

592 Fig. 8. Results of urban density estimation for Munich. (a) AVNIR-2 image observed on September 22, 2010 (R:G:B =
593 band 3:4:2), (b)(d) estimated urban density, and (c)(e) building-to-land ratio. (b) and (c) were original data, and
594 aggregated into images with 300 m mesh size (d) and (e), respectively.

595

596 Fig. 9. Results of urban density estimation for New York. See Fig. 7 for a description of each panel. The AVNIR-2
597 image was observed on November 3, 2010.

598

599 Fig. 10. Effect of calibration to the assessment of the estimated urban density with building-to-land ratio. (a)
600 Scattergram of GIS data and the results before calibration, in which the mean and standard deviation used for Eq. (8)
601 were calculated within the individual scene. (b) Scattergram of GIS data and the results after calibration, in which the
602 mean and standard deviation were calculated using Eqs. (9) and (10), respectively.

603

604 Fig. 11. Effect of calibration to the assessment of the estimated urban density with floor area ratio. See Fig. 9 for a
605 description of each panel.

606

607 Fig. 12. Results of urban density estimation. (a) Beijing, (b) Ho Chi Minh, (c) Kobe, (d) Melbourne, (e) Nagoya, (f) New
608 Delhi, (g) Sendai, (h) Shanghai, (i) Singapore, (j) Sydney, (k) Taipei, (l) Tehran, and (m) Vientiane.

609

610 Fig. 13. Scattergram of indices derived from estimated urban densities. (a) Relation between the highest mean in a 2.5
611 \times 2.5 km district and the skew of urban density in a 10 \times 10 km area, and (b) relation between the highest mean in a 5
612 \times 5 km district and the skew of urban density in a 20 \times 20 km area.

Table 1: Details of POLSAR images used for the experiment. All images except those with notation “descending” were observed in an ascending mode.

Data A (21.5° off-nadir angle against scene center)			
City	Observation date (yyyy/mm/dd)	City	Observation date (yyyy/mm/dd)
Tokyo	2006/07/17	New Delhi	2010/03/28
Kyoto	2007/06/02	New York	2011/04/01
Nagoya	2010/11/07	Shanghai	2011/03/29
Kobe	2007/05/04	Singapore	2007/06/01
Sendai	2009/04/19	Sydney	2007/05/04
Beijing	2011/04/08	Taipei	2011/04/03
Ho Chi Minh	2007/04/01	Tehran	2009/04/23
Melbourne	2011/04/07	Vientiane	2007/05/10
Munich	2011/03/20	Sapporo (descending)	2008/07/26
Data B (23.1° off-nadir angle against scene center)			
City	Observation date (yyyy/mm/dd)	City	Observation date (yyyy/mm/dd)
Osaka	2009/05/09	Kalach	2010/05/02
Fukuoka	2009/06/10	Kolkata	2010/05/29
Sapporo	2007/05/25	Paris	2009/05/12
Bangkok	2010/05/28	Yangon	2010/05/09
Hanoi	2010/06/06	Tokyo (descending)	2006/08/19
Jakarta	2010/05/06		

Table 2: Effect of incident angle difference to correlation coefficients of estimated urban density between SAR data (T_{v+c}) and GIS data. Five cities (Tokyo, Kyoto, Nagoya, Kobe, and Sendai) were used for the analysis.

	Before calibration		After calibration		Sample (pixel)
	Building-to-land ratio	Floor area ratio	Building-to-land ratio	Floor area ratio	
$\theta \leq 23.0$ deg	0.818	0.676	0.837	0.686	6288
$23.5 \leq \theta \leq 24.5$	0.778	0.617	0.797	0.660	3576
$\theta \geq 25.0$	0.757	0.580	0.764	0.586	4585

Table 3: Correlation coefficients of estimated urban density between SAR data (T_{v+c}) and GIS data at a 300 m spatial scale.

	Before calibration		After calibration	
	Building-to-land ratio	Floor area ratio	Building-to-land ratio	Floor area ratio
Tokyo	0.731	0.560	0.740	0.550
Kyoto	0.817	0.673	0.811	0.665
Nagoya	0.621	0.468	0.620	0.461
Kobe	0.726	0.642	0.723	0.640
Sendai	0.741	0.575	0.739	0.574
Munich	0.661	N/A	0.657	N/A
New York	0.607	N/A	0.602	N/A
All	0.702	0.553	0.728	0.578

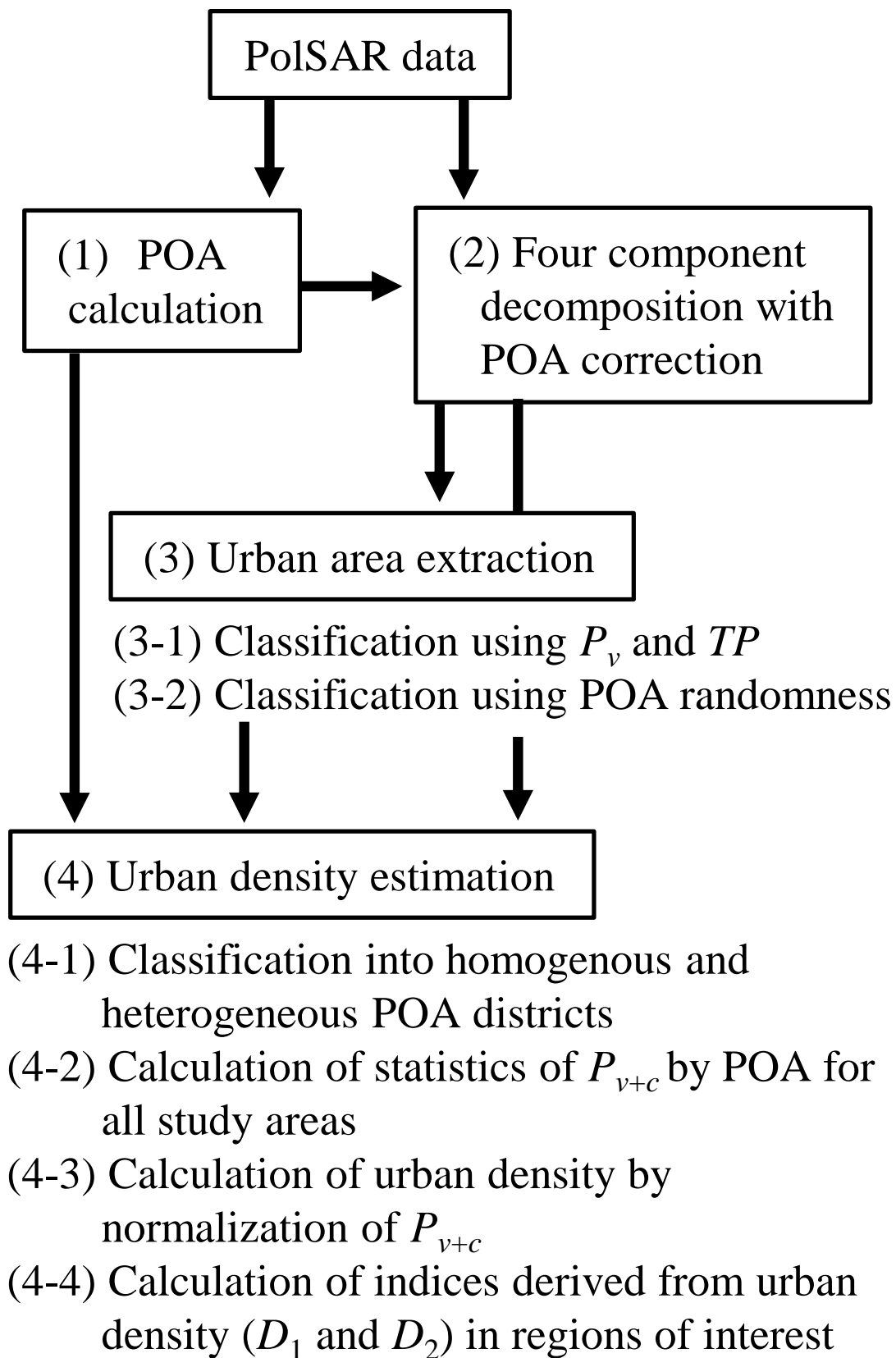
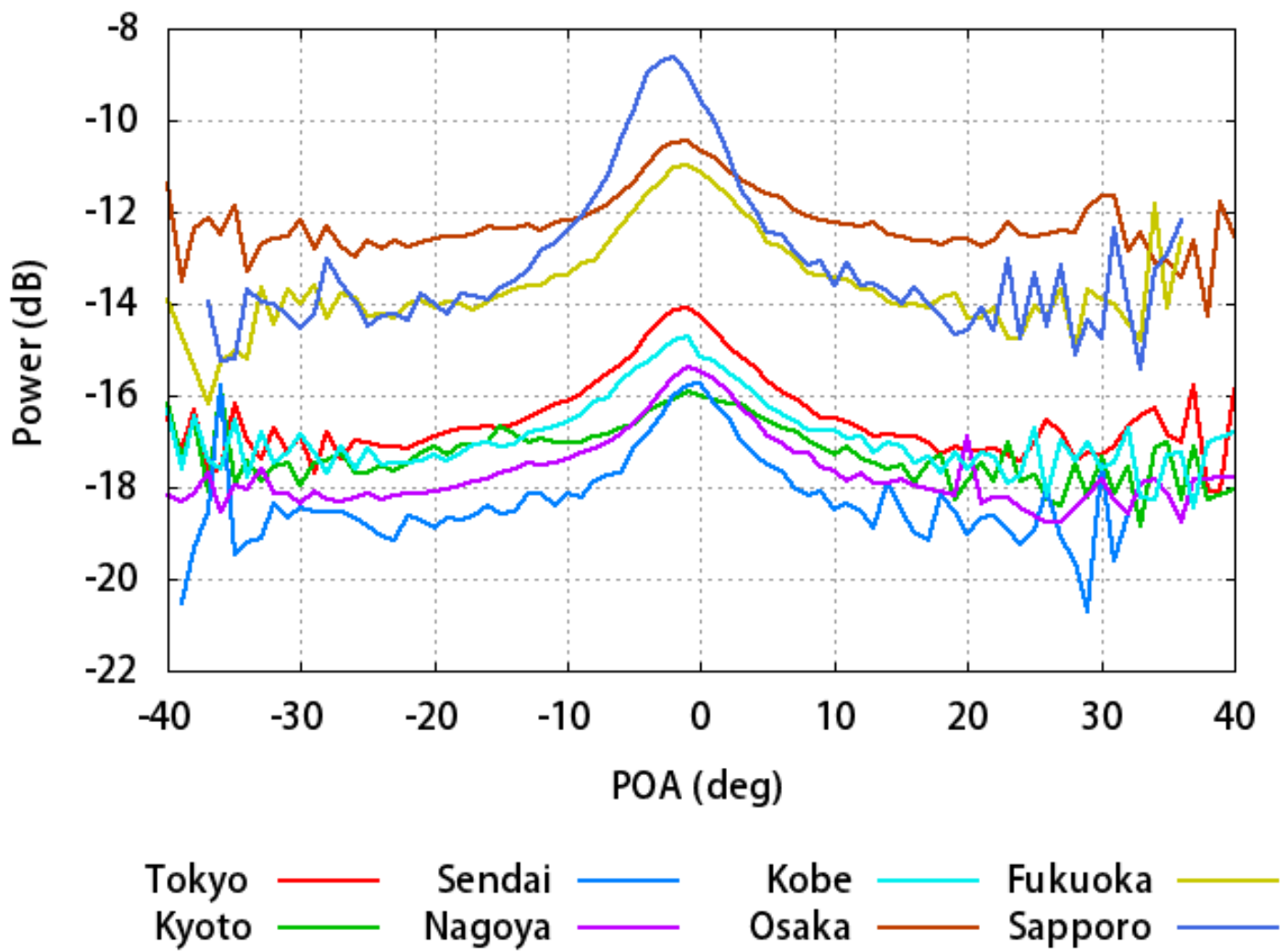
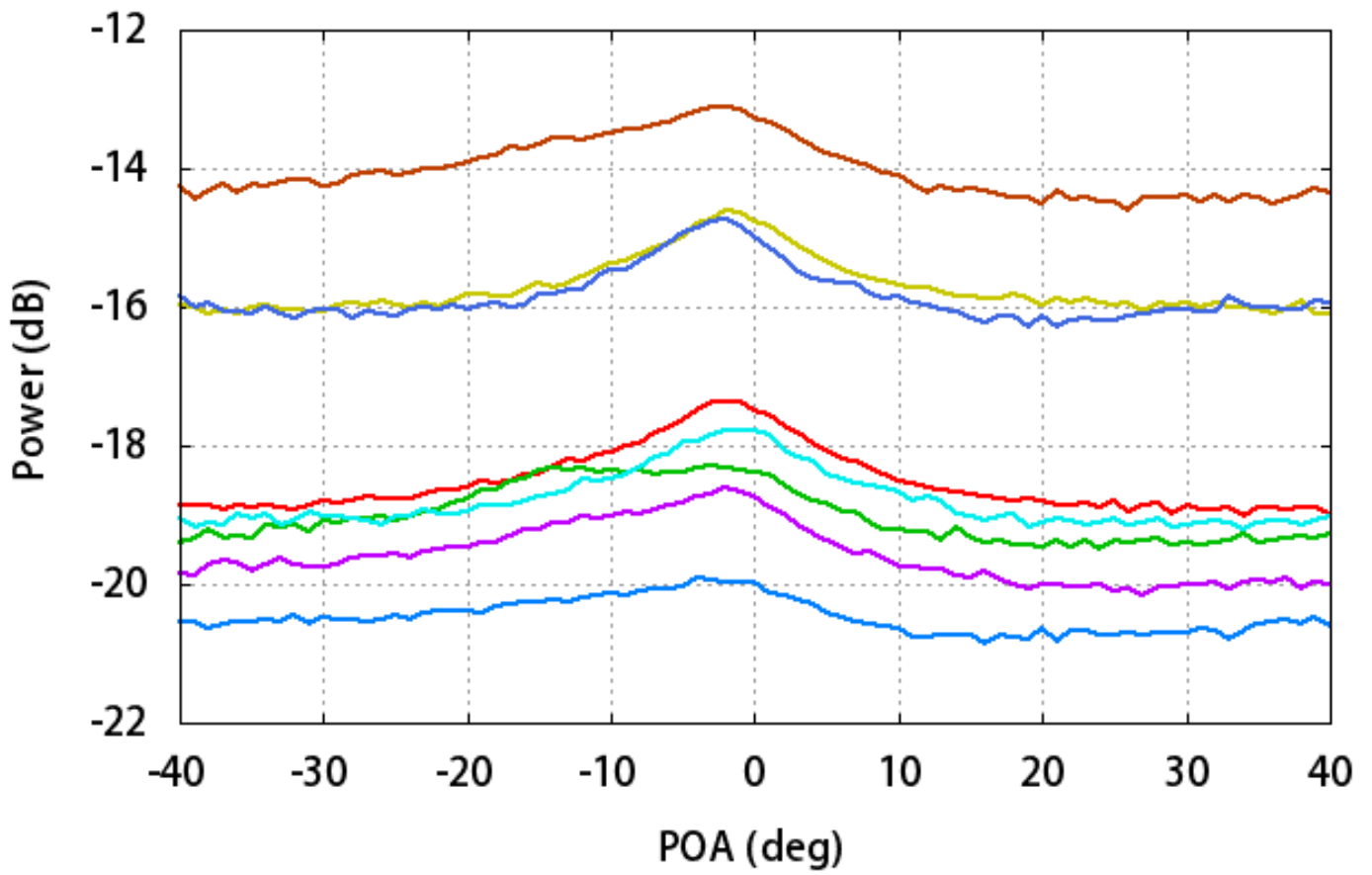


Figure2

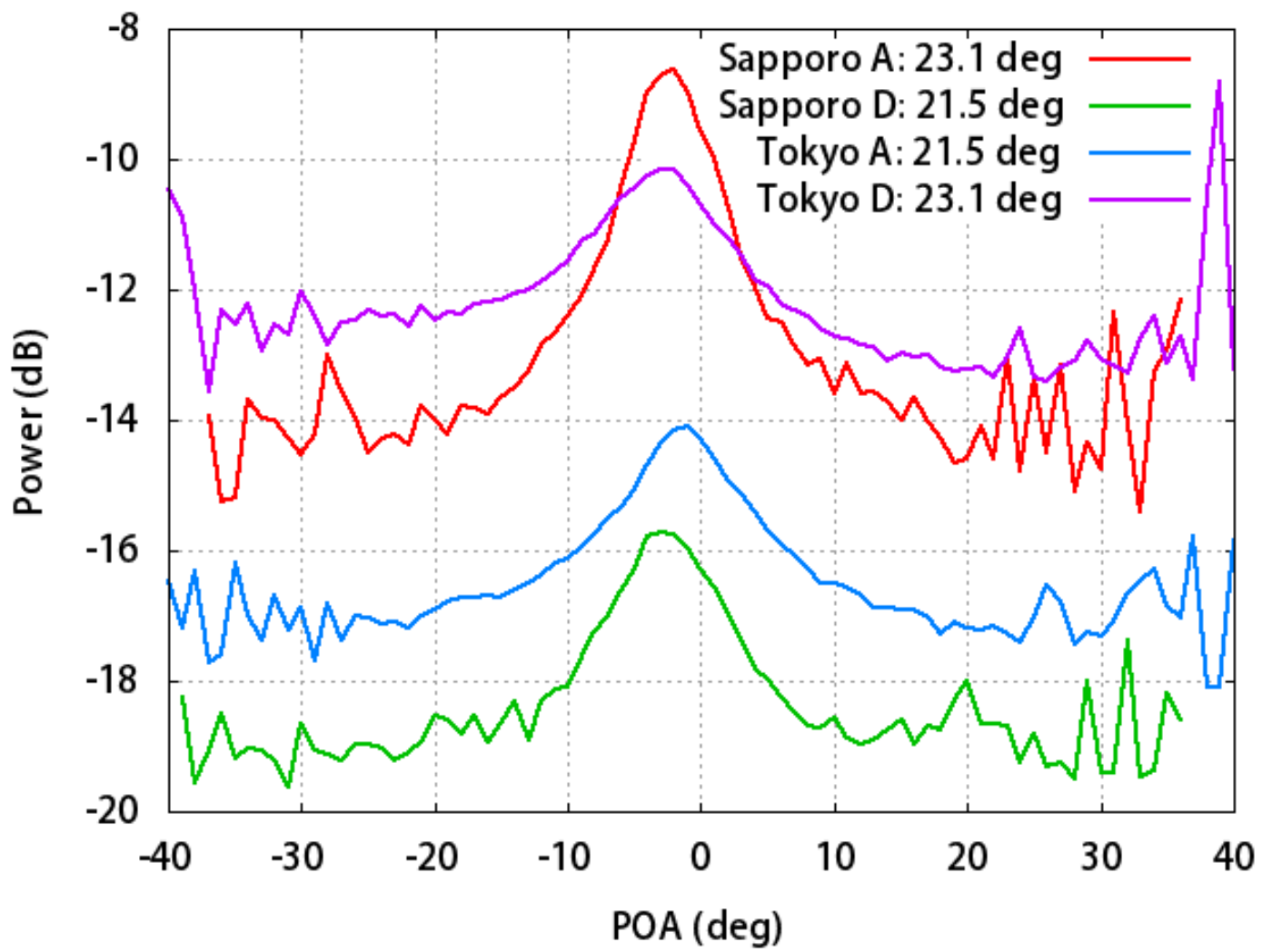
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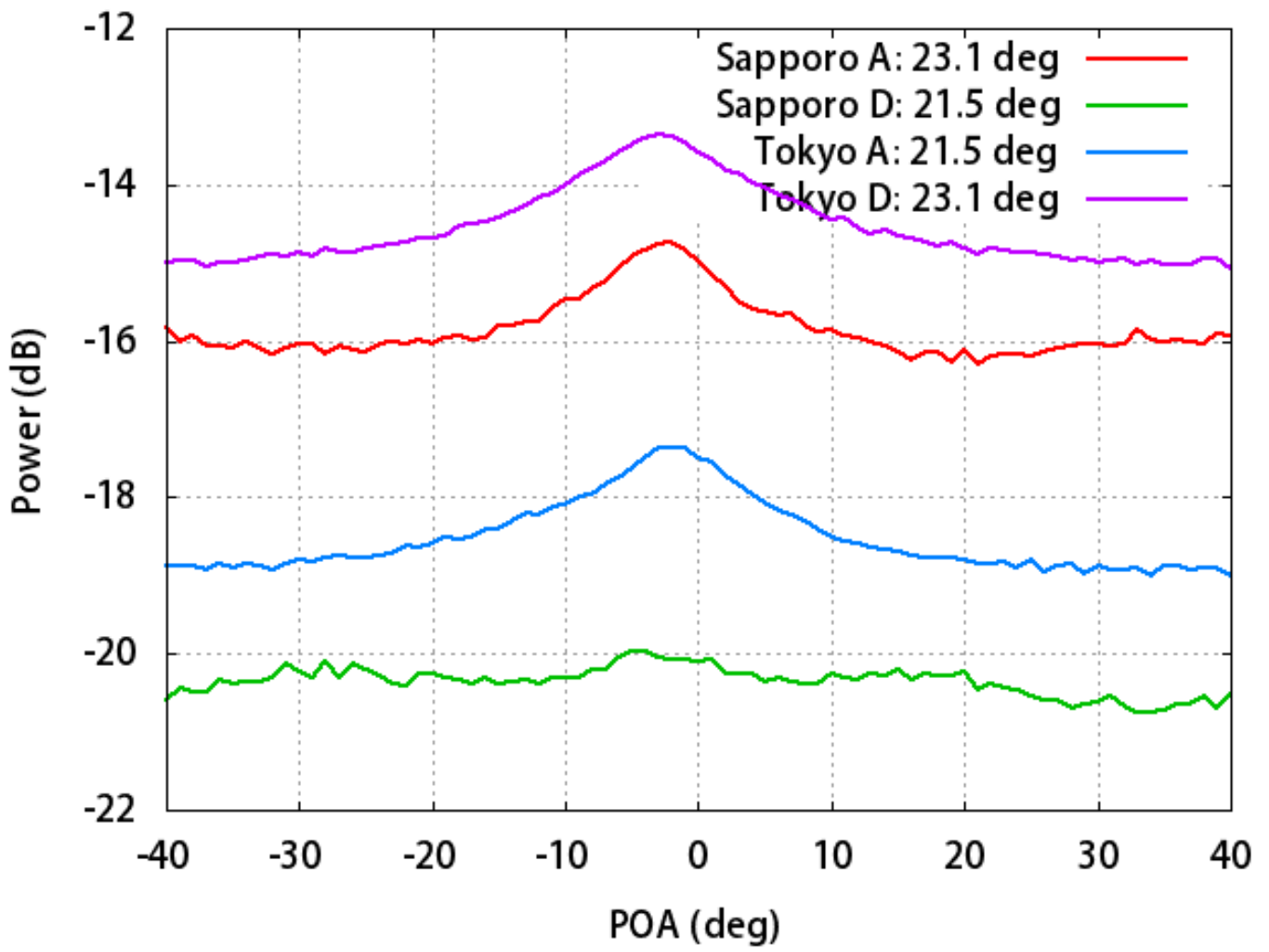
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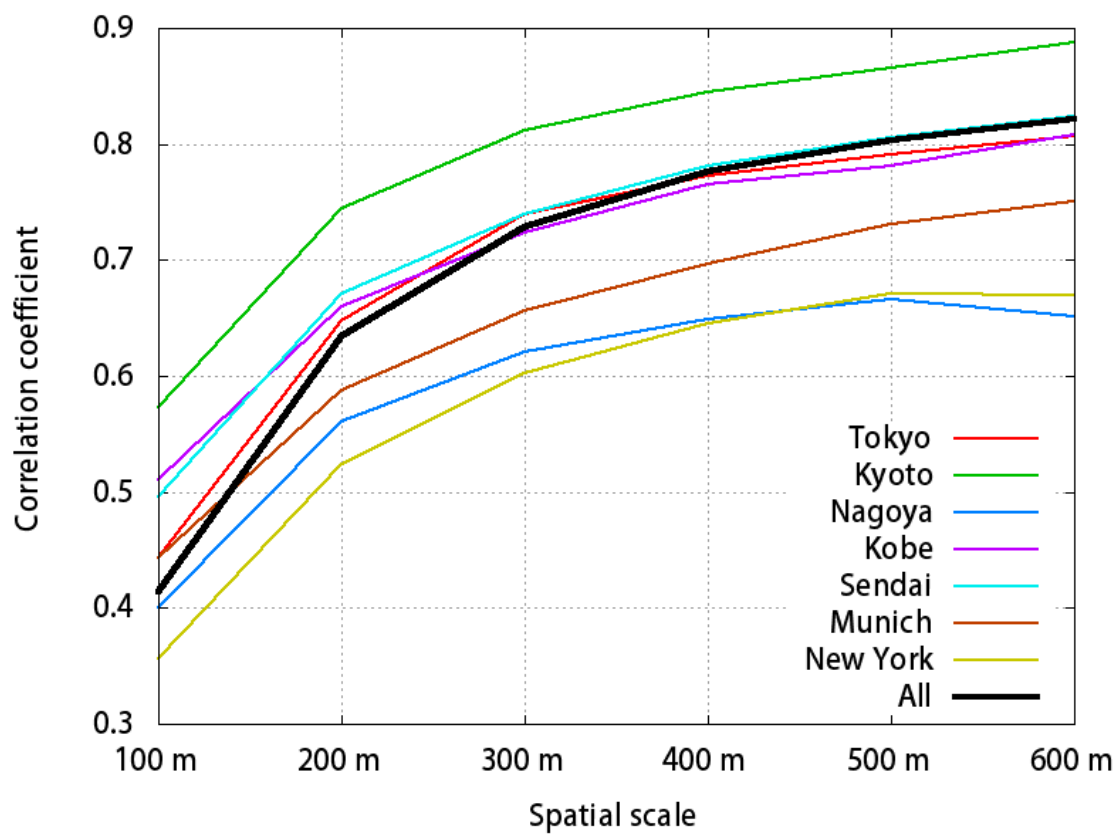
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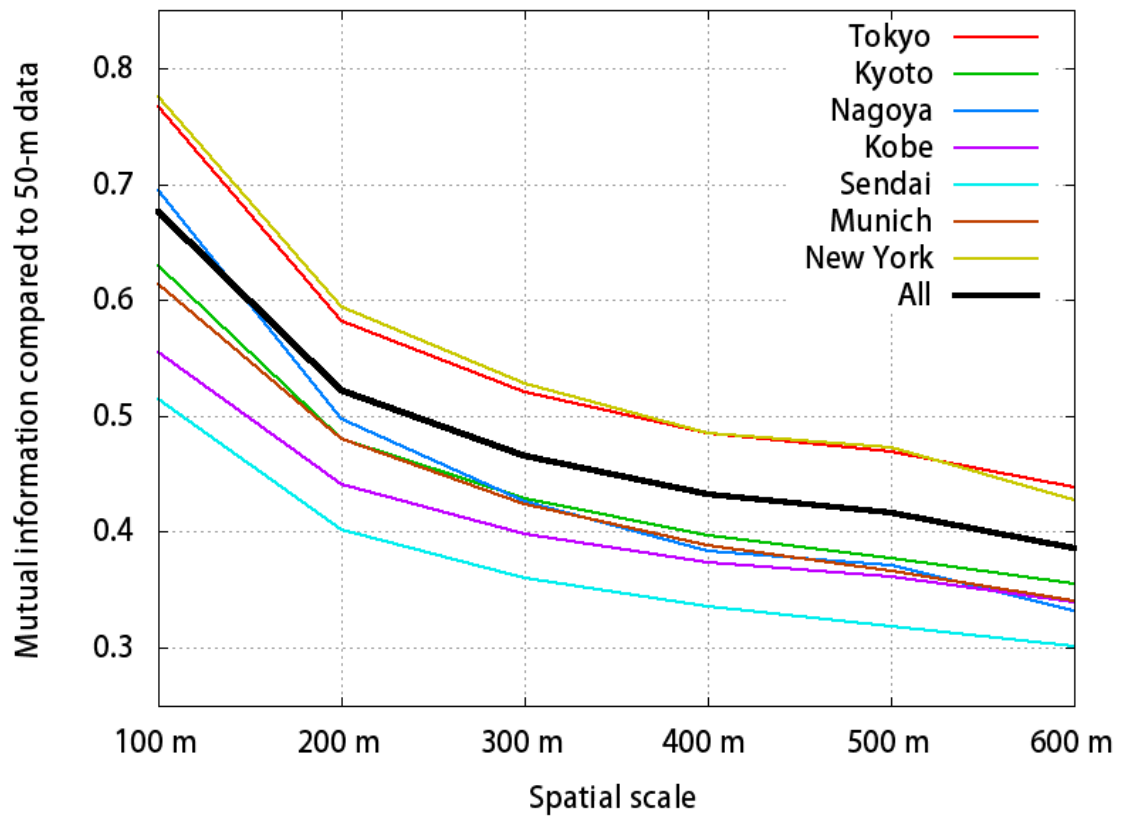
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Figure4

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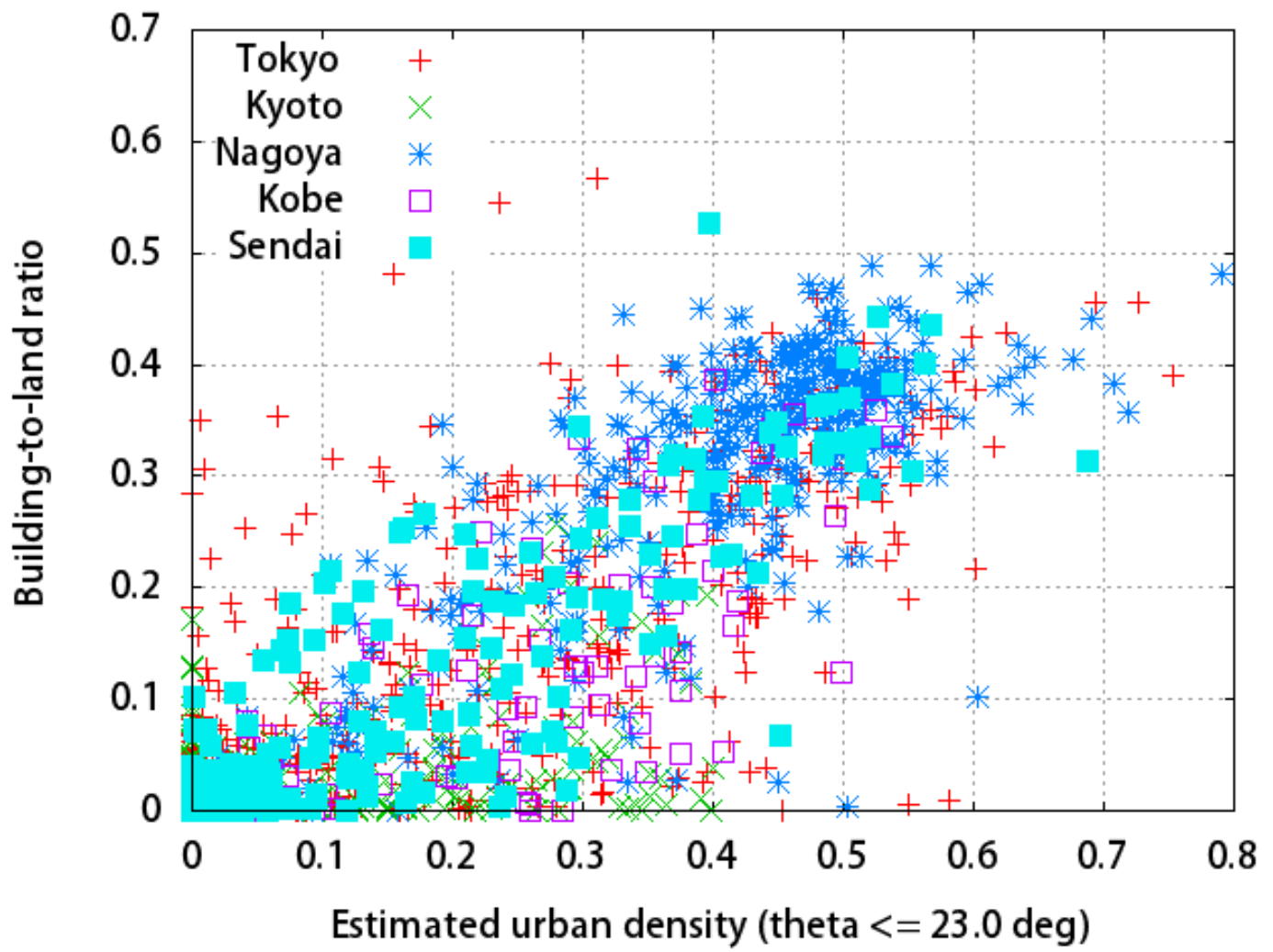
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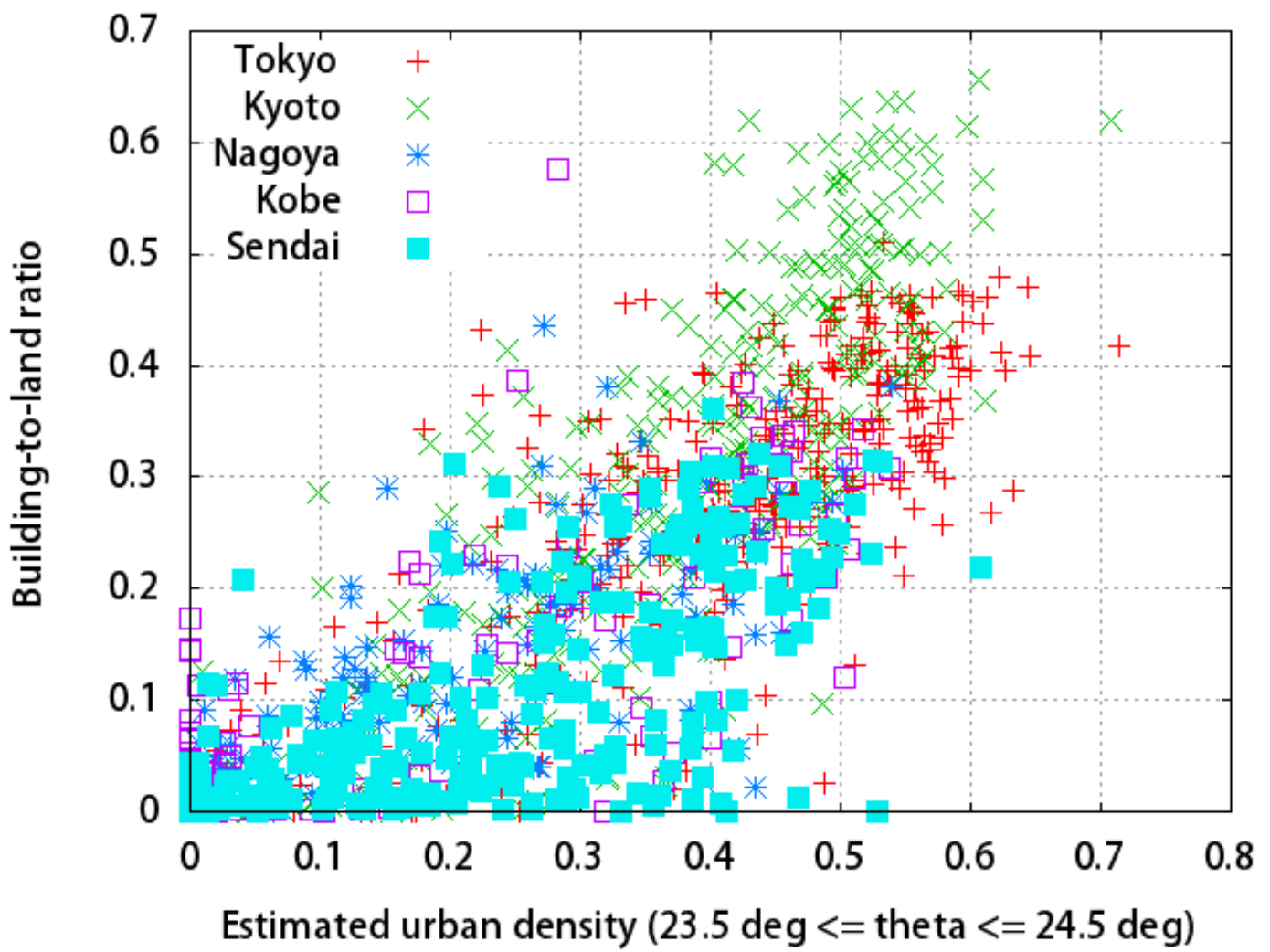
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Figure5

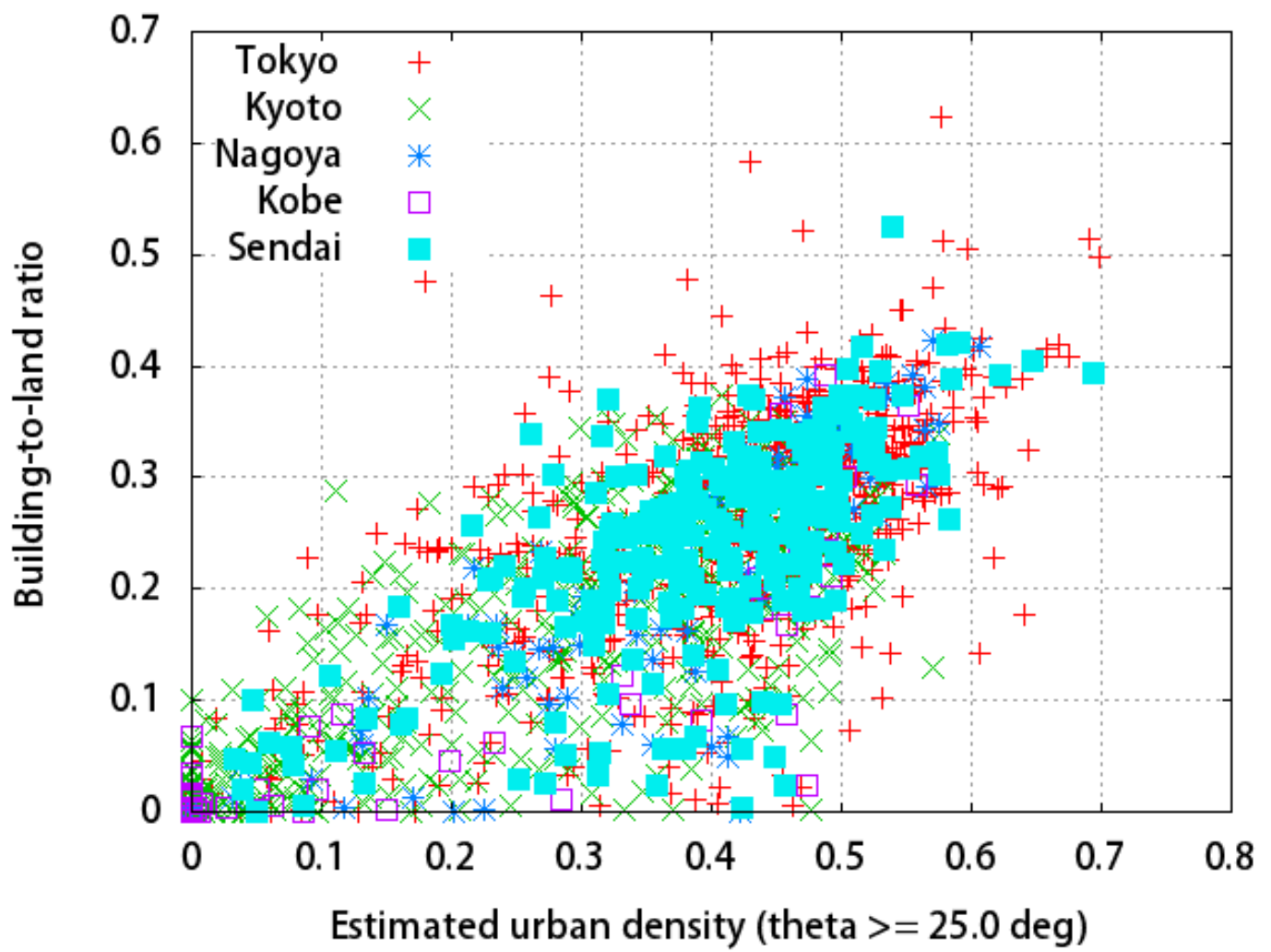
[Click here to download Figure: Figure5.docx](#)



(a)



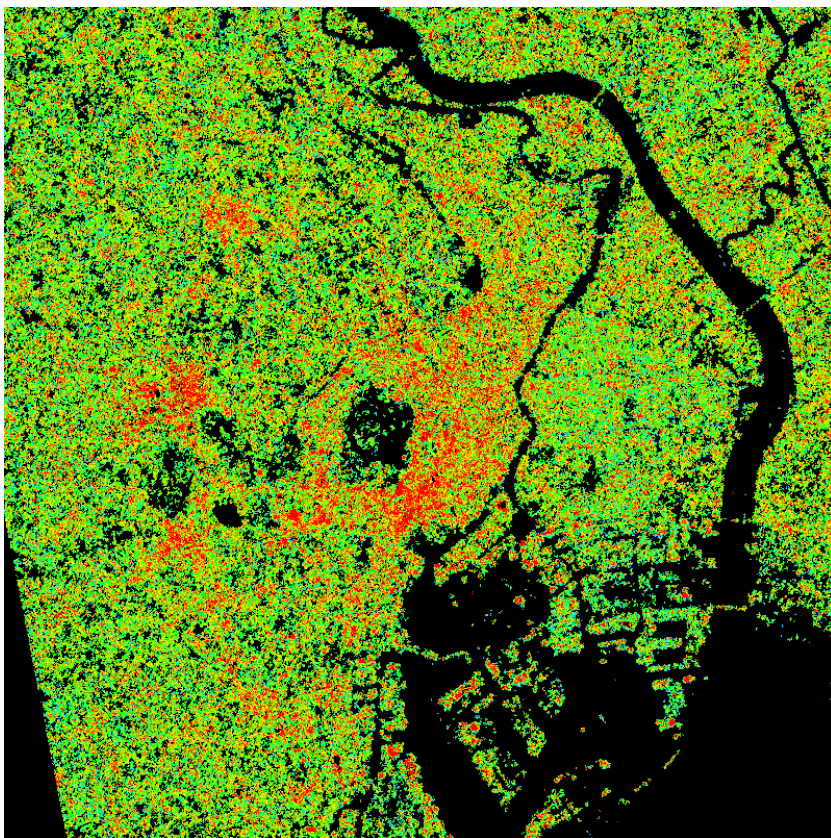
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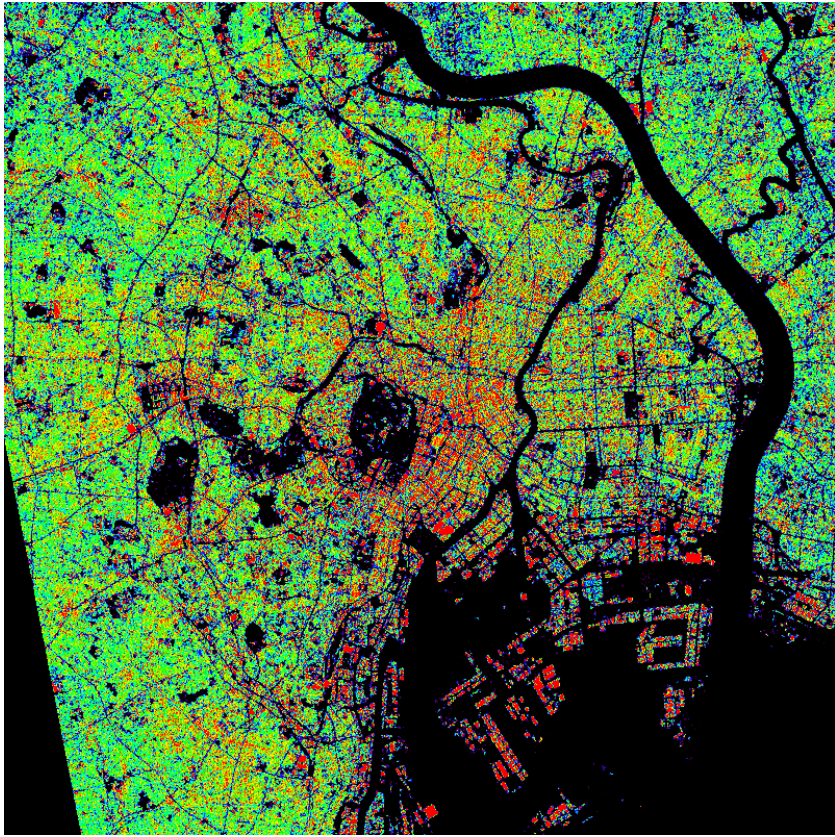
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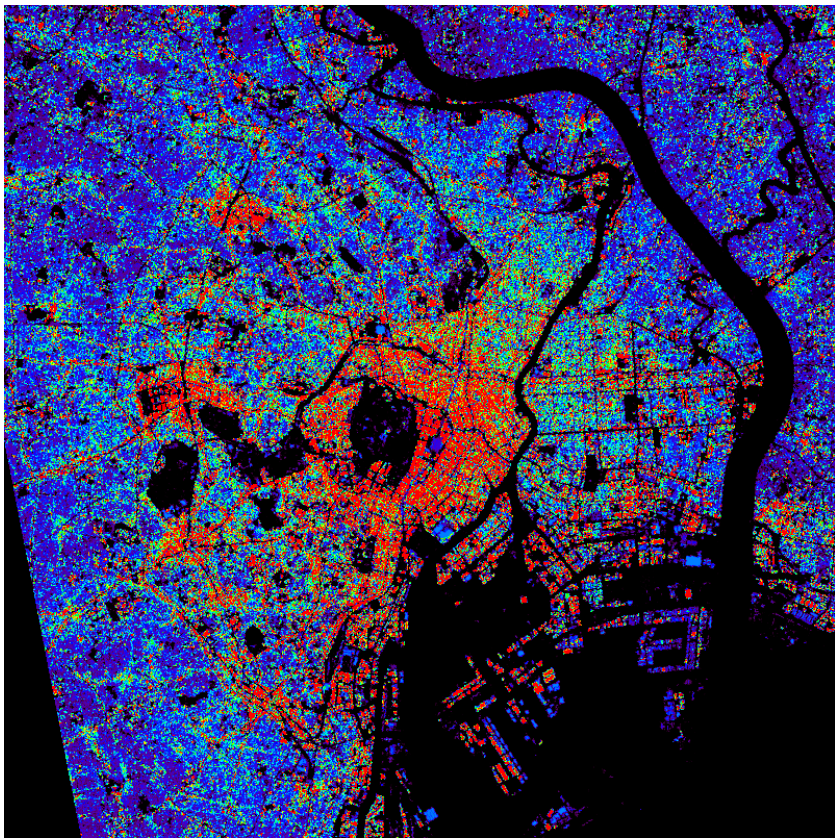
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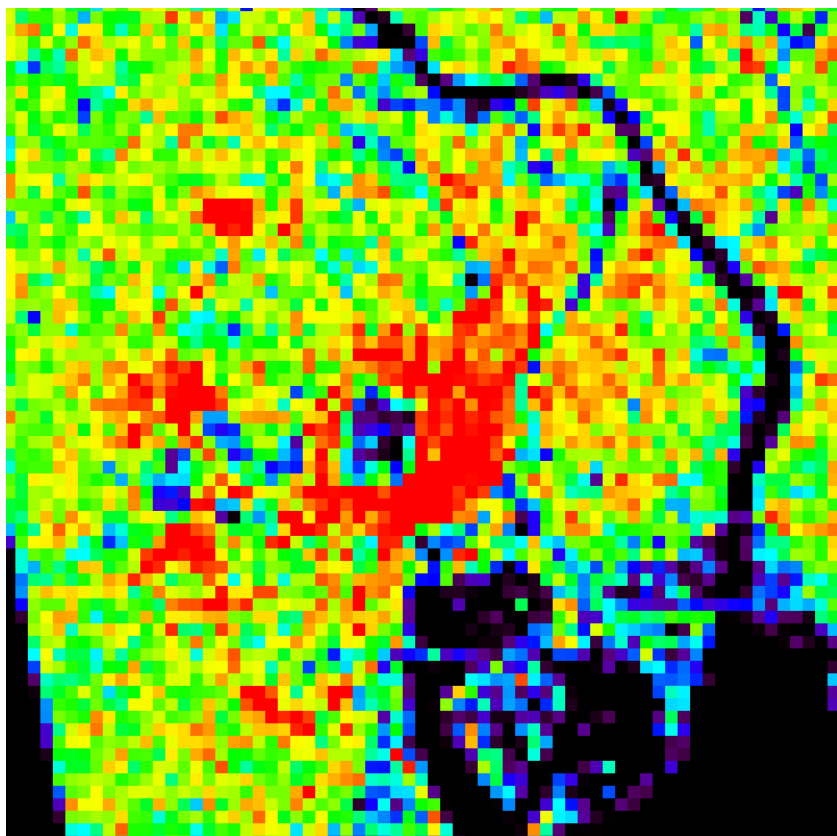
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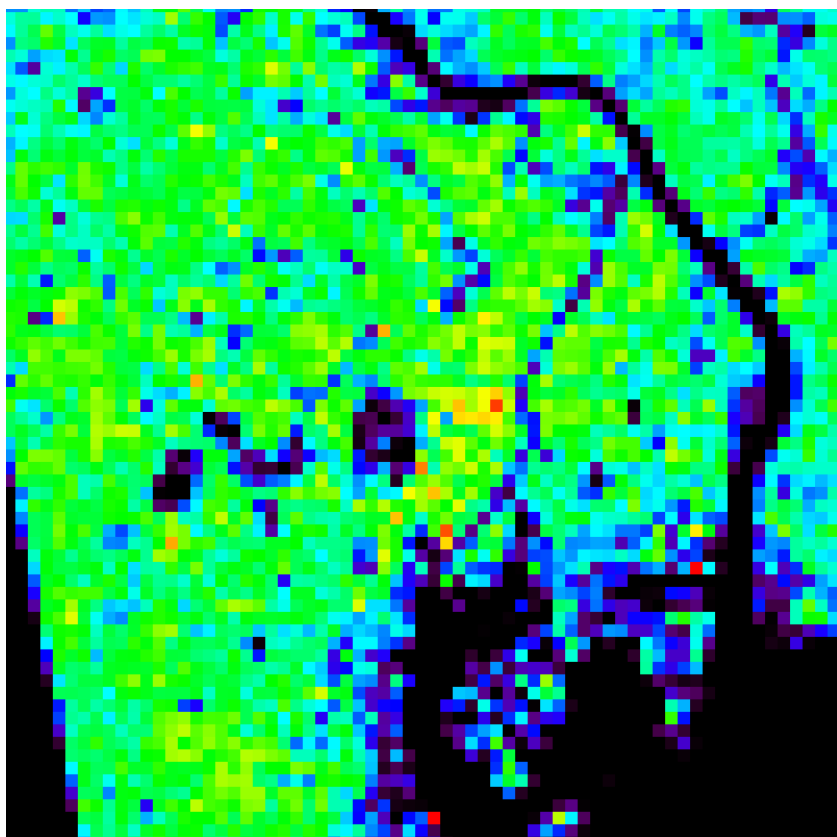
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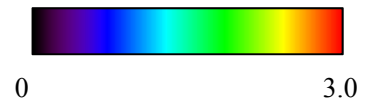
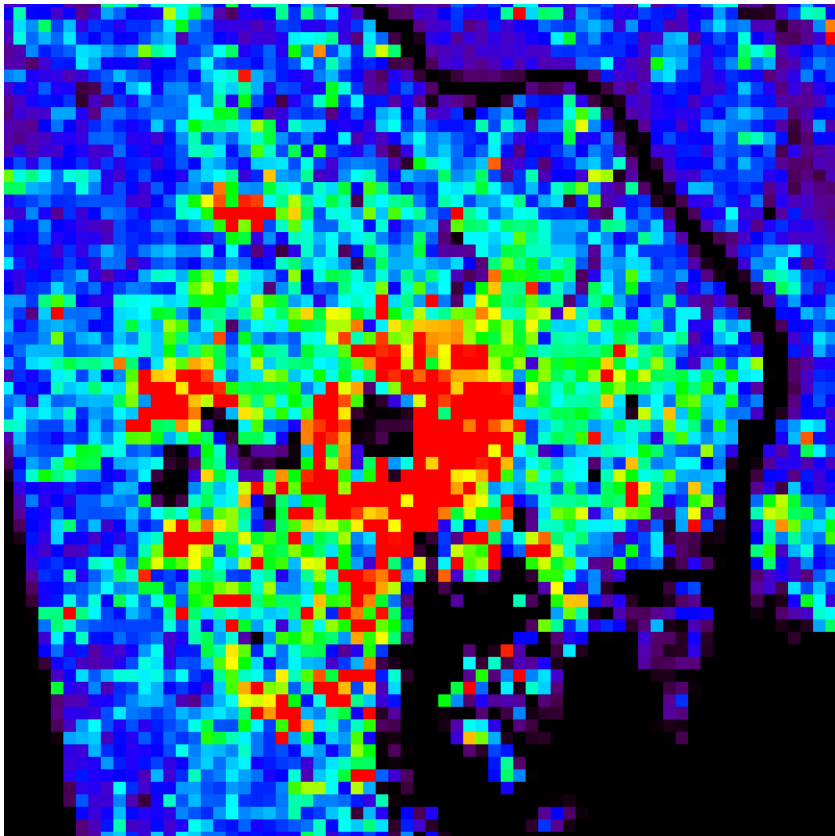
(d)



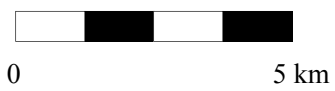
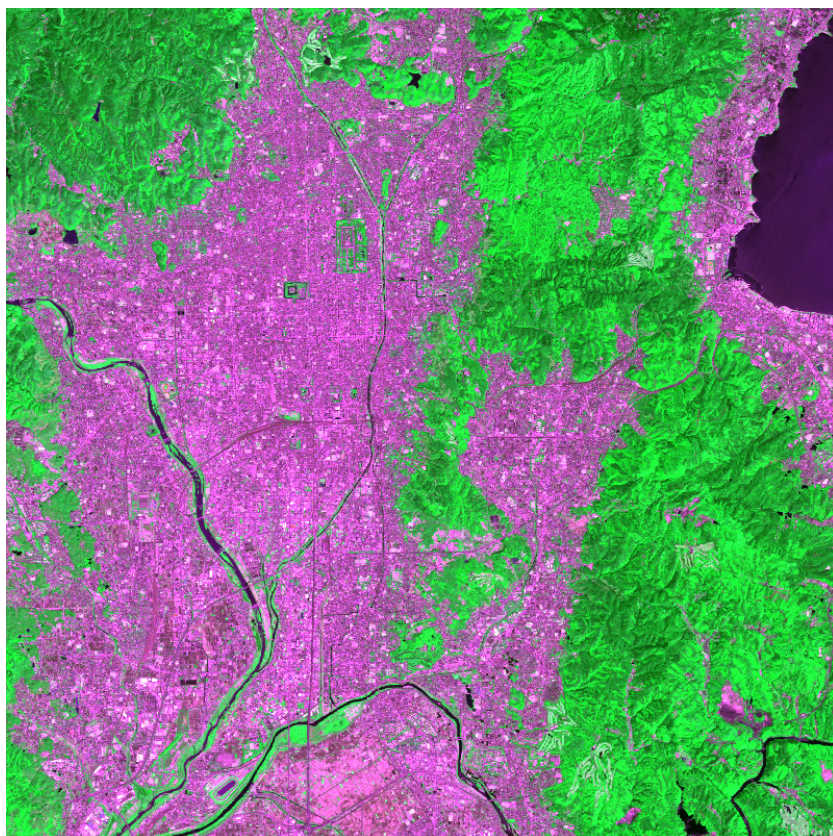
(e)



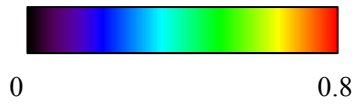
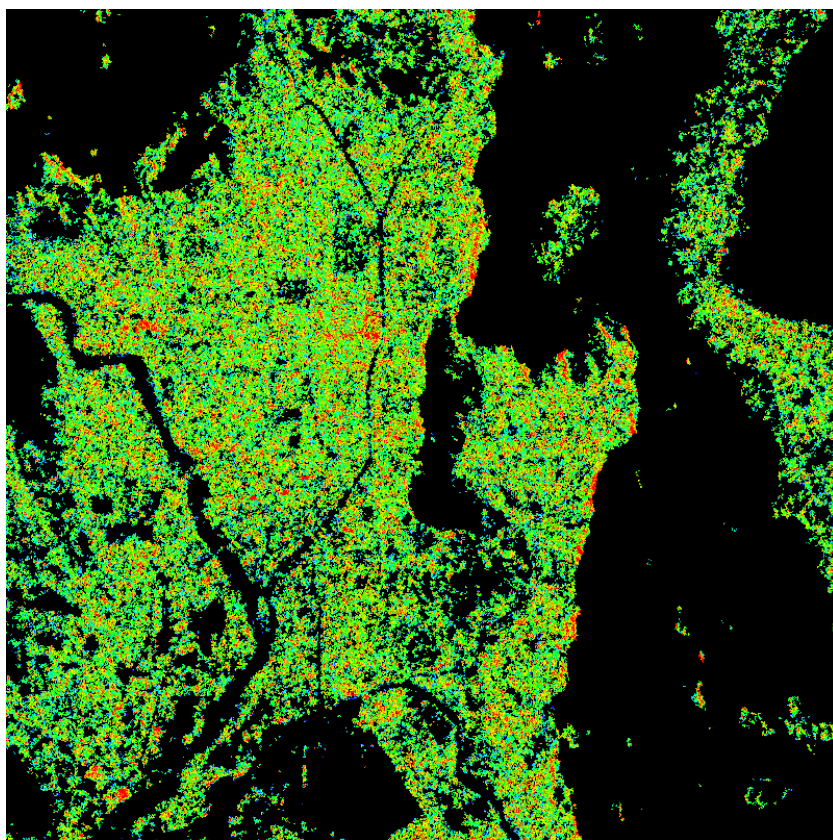
(f)



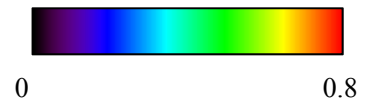
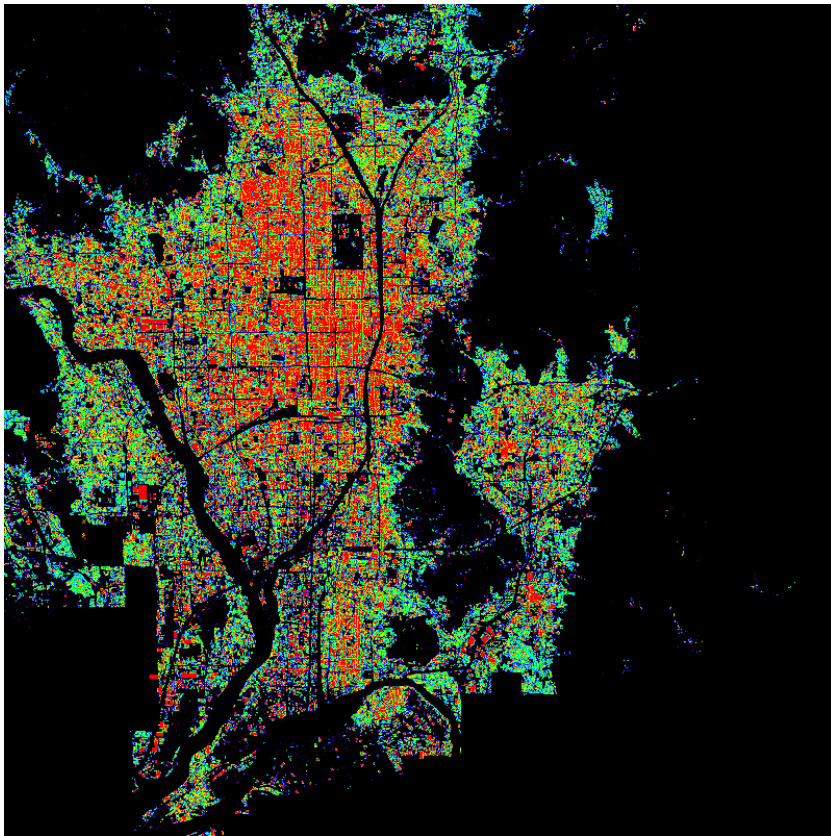
(g)



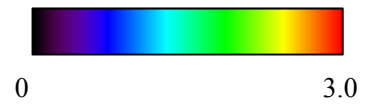
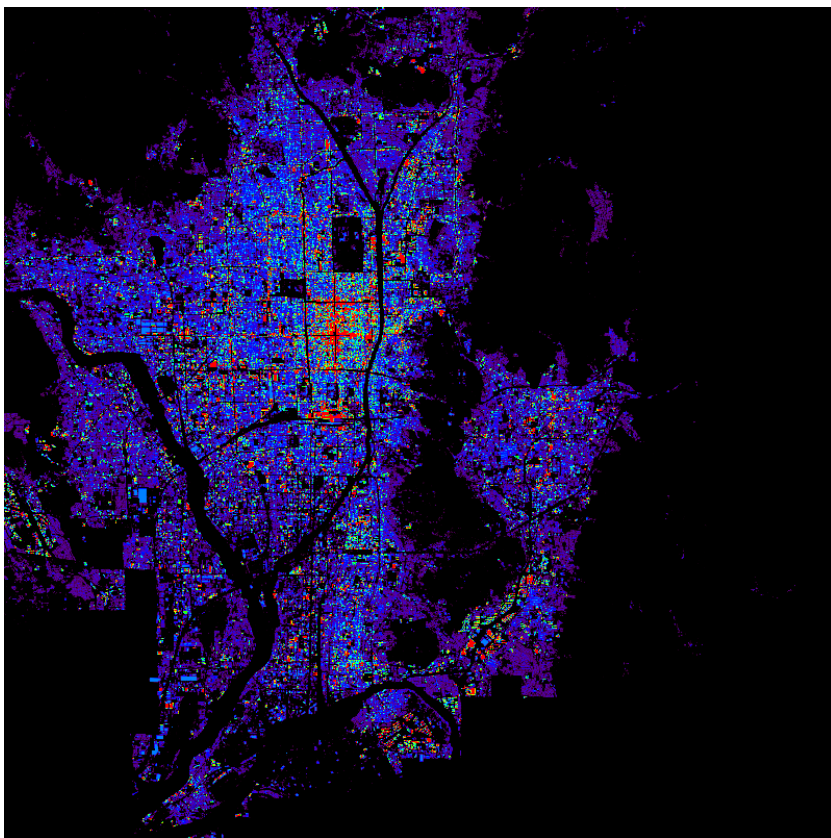
(a)



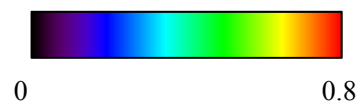
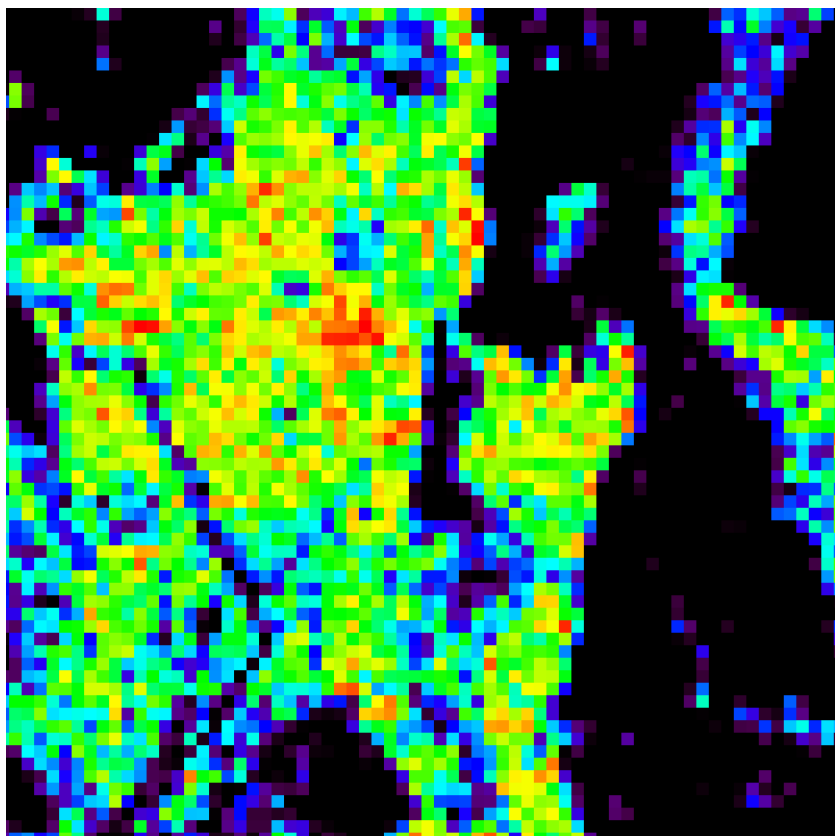
(b)



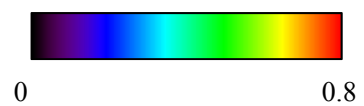
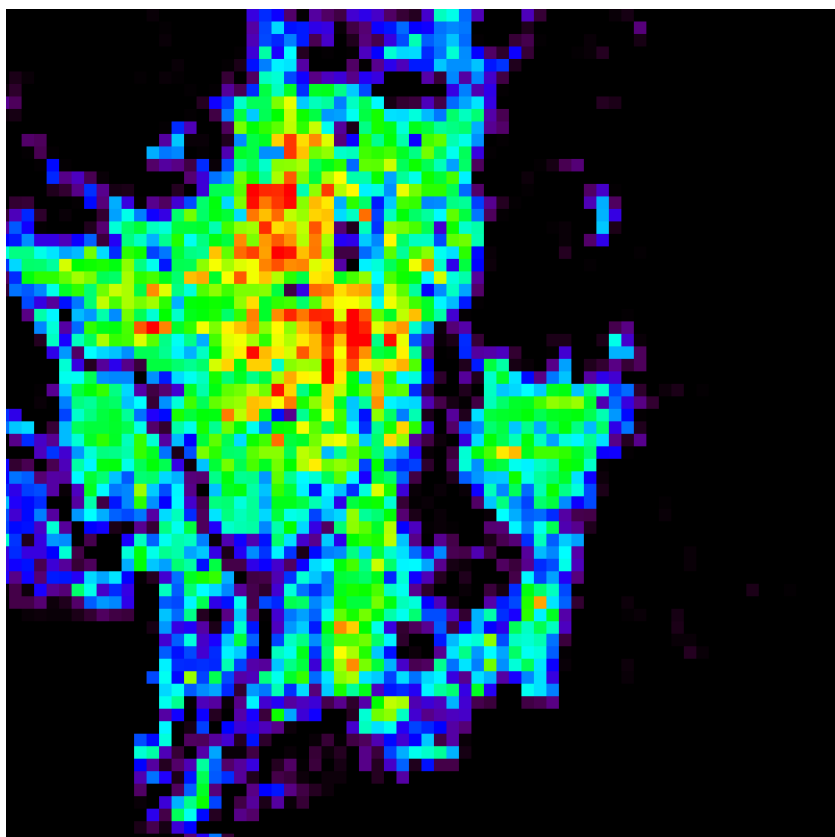
(c)



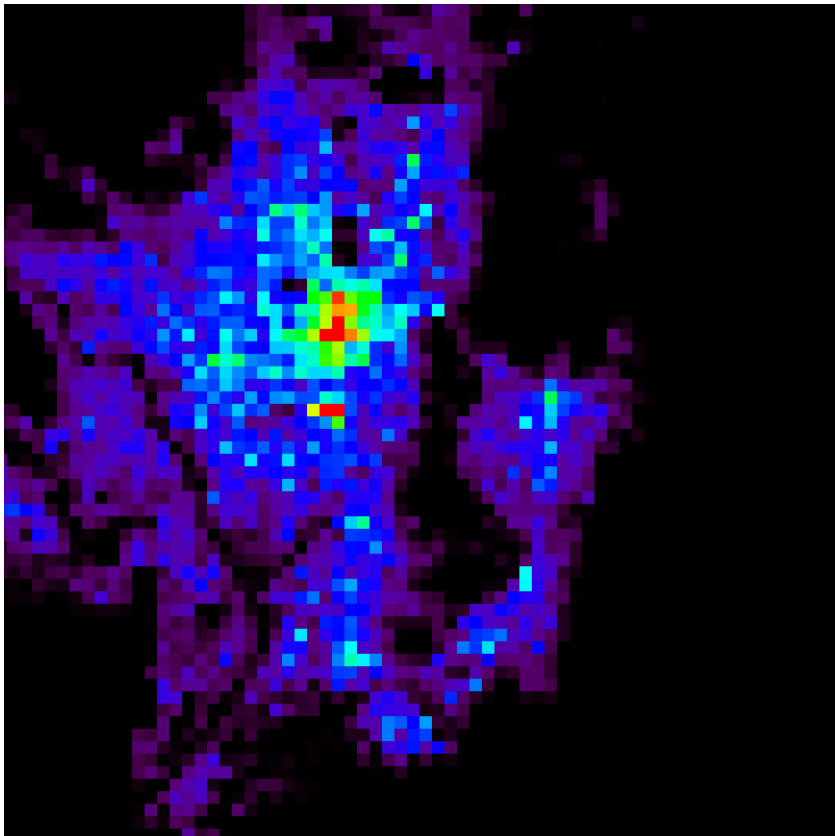
(d)



(e)



(f)



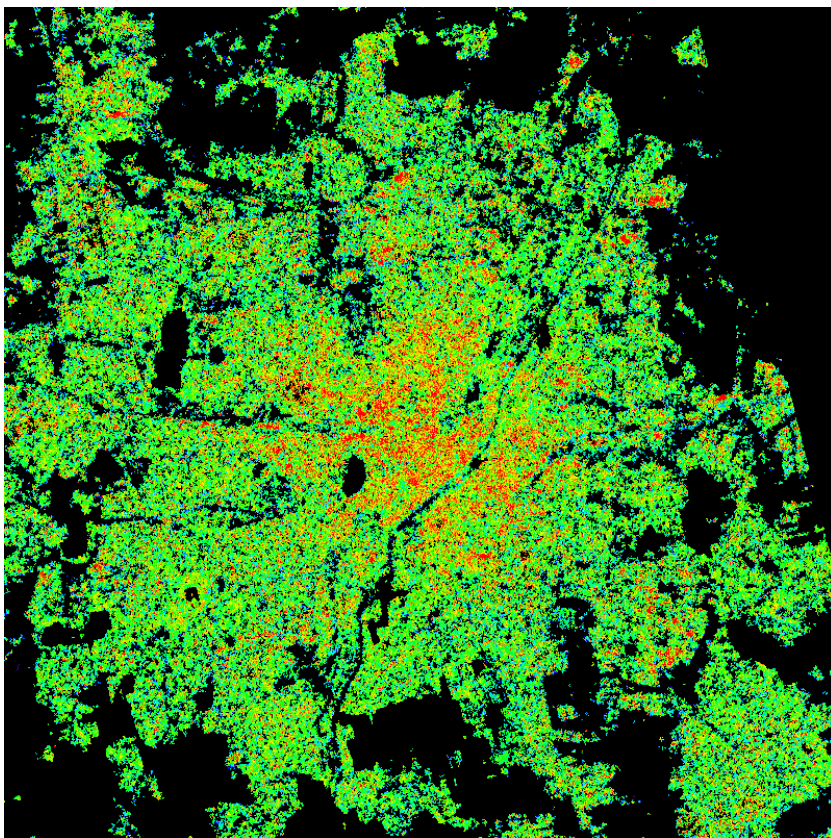
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3.0

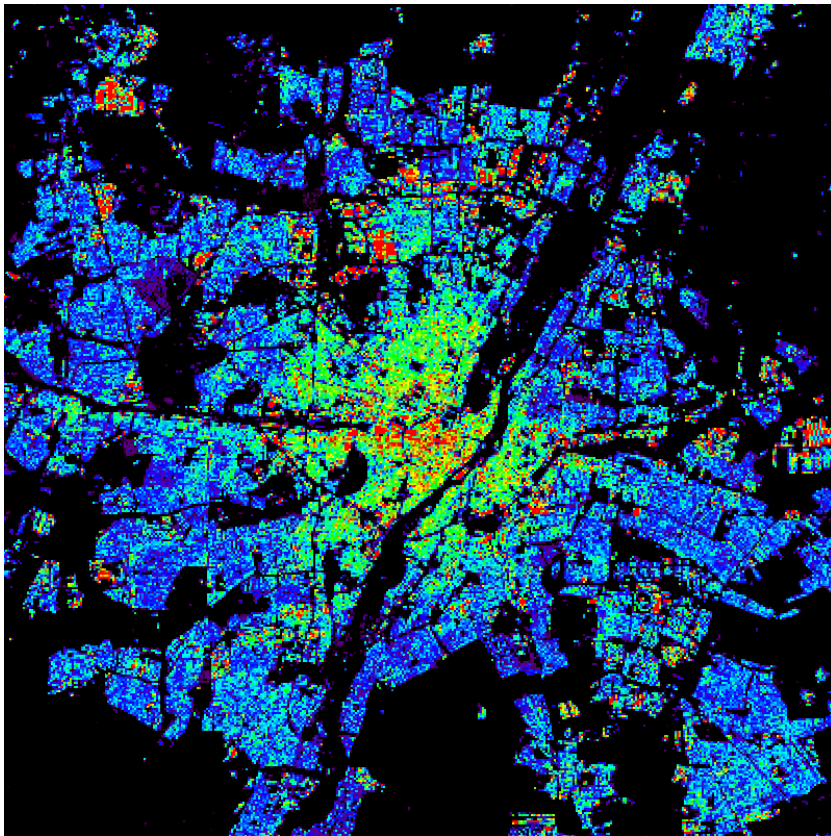
(g)



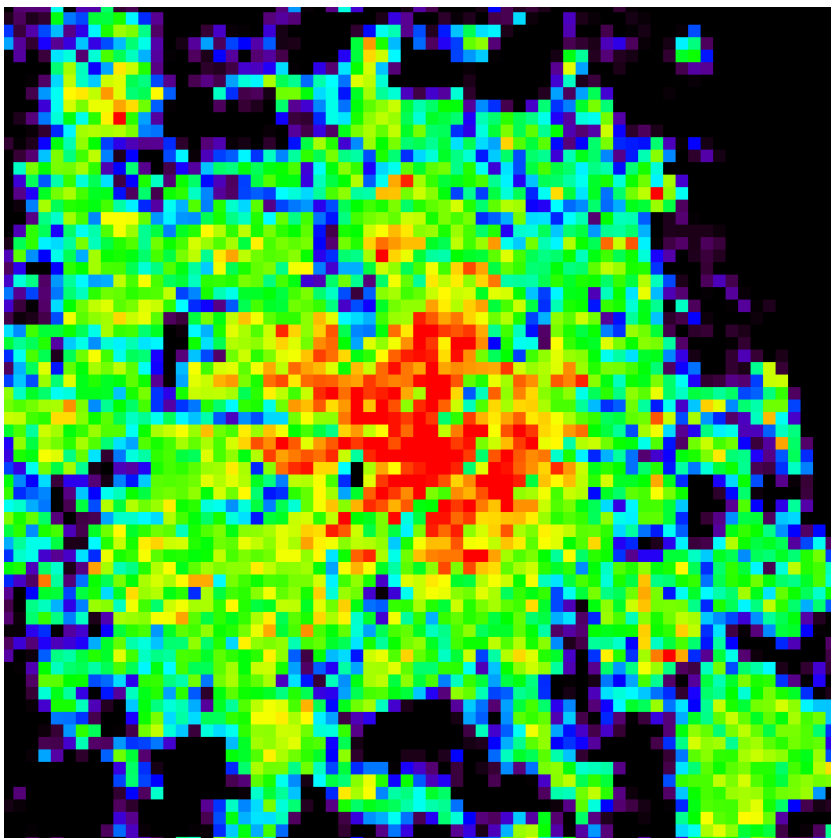
(a)



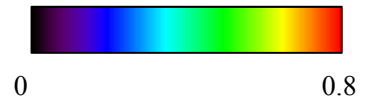
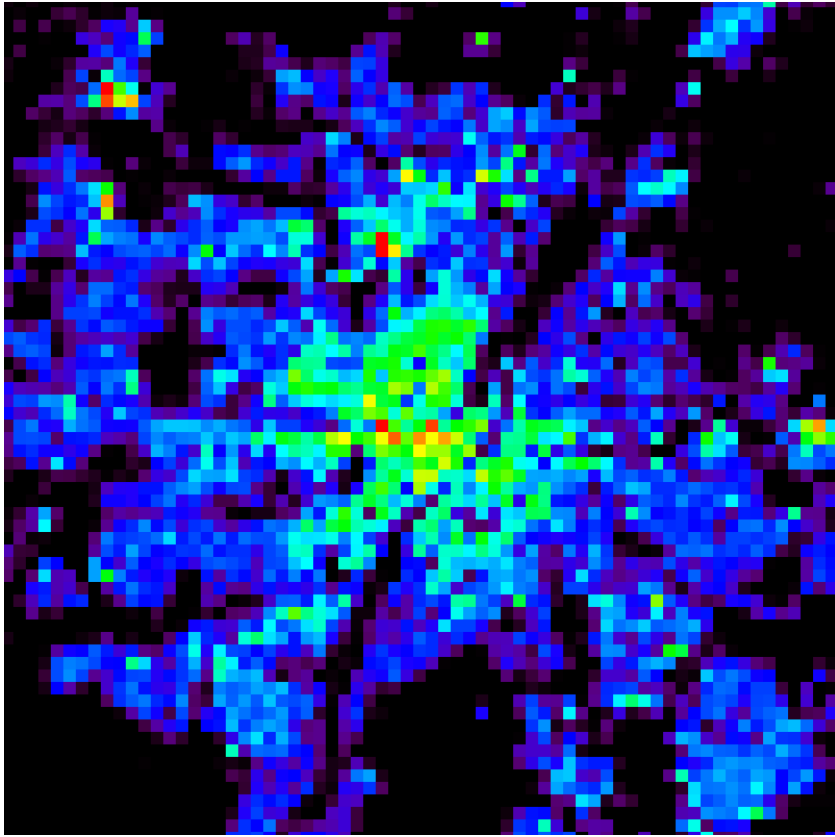
(b)



(c)



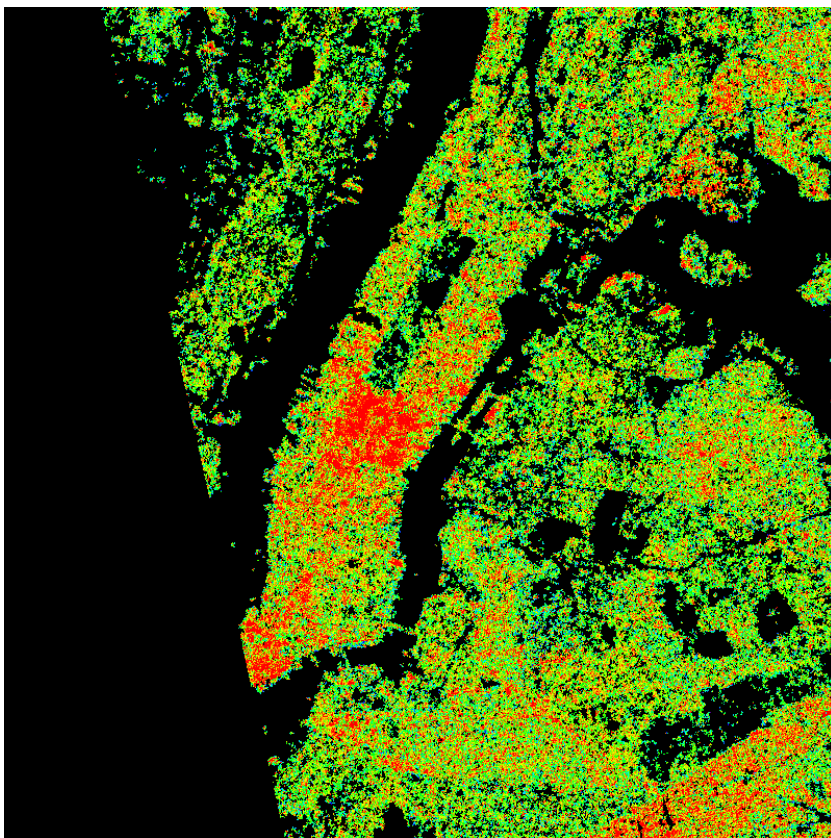
(d)



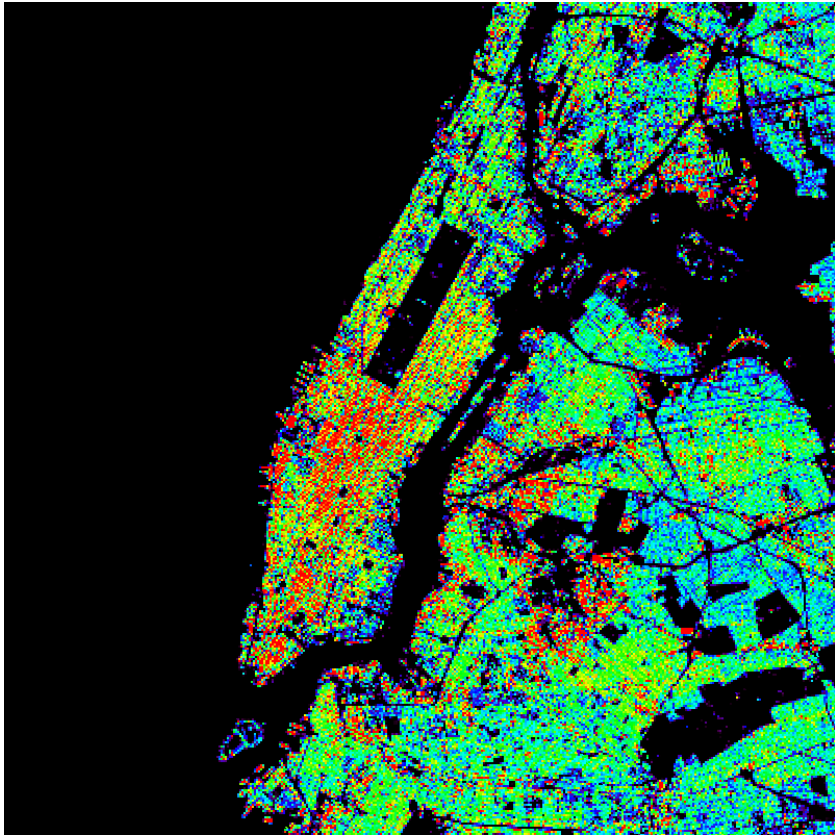
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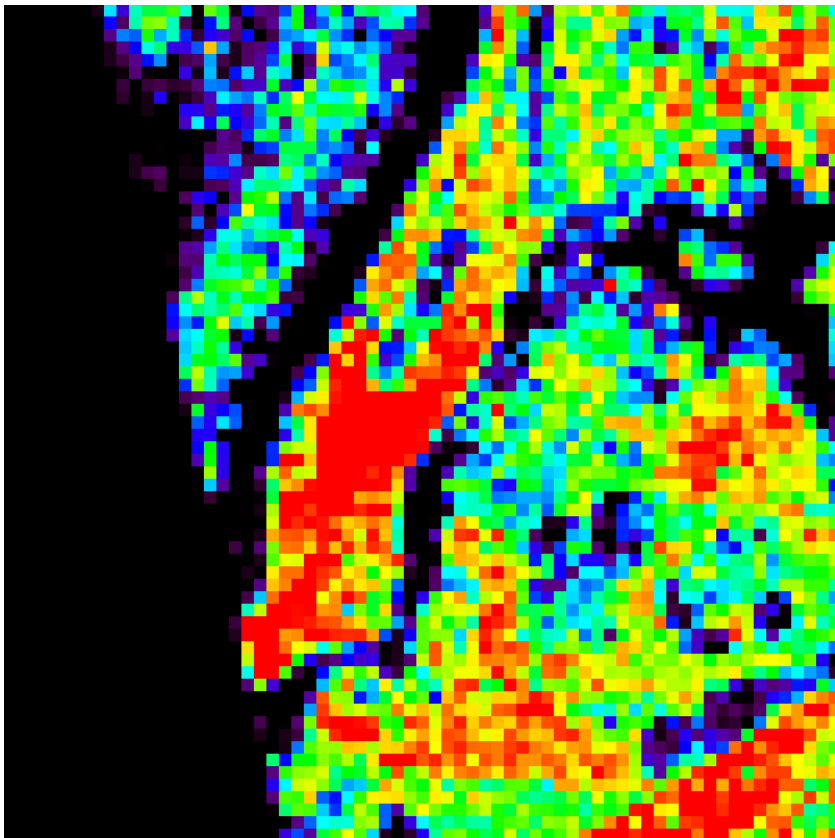
(a)



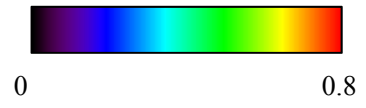
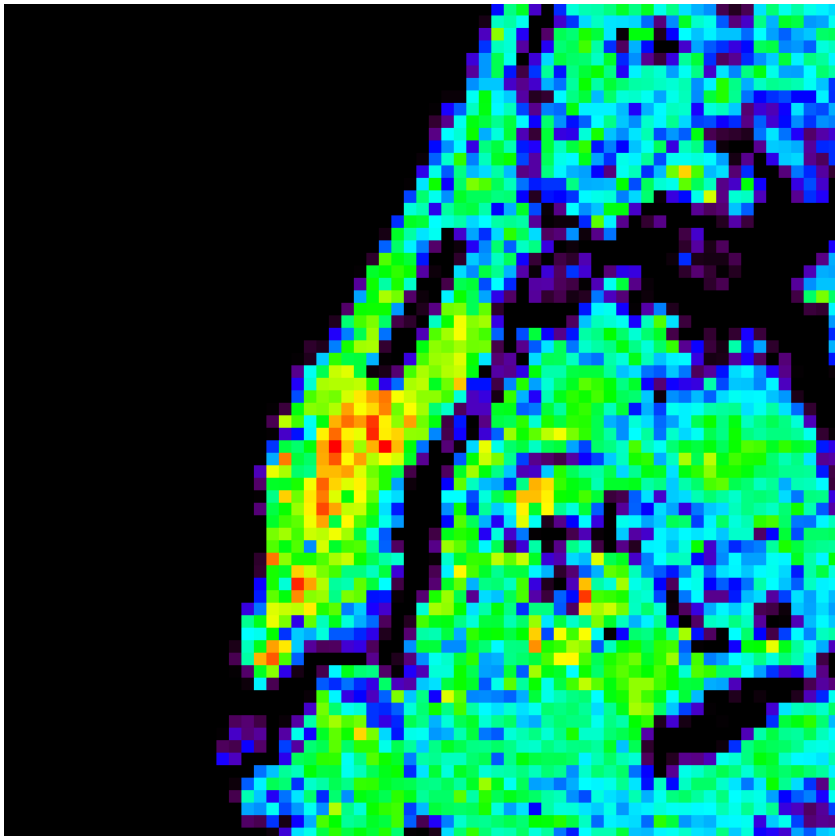
(b)



(c)



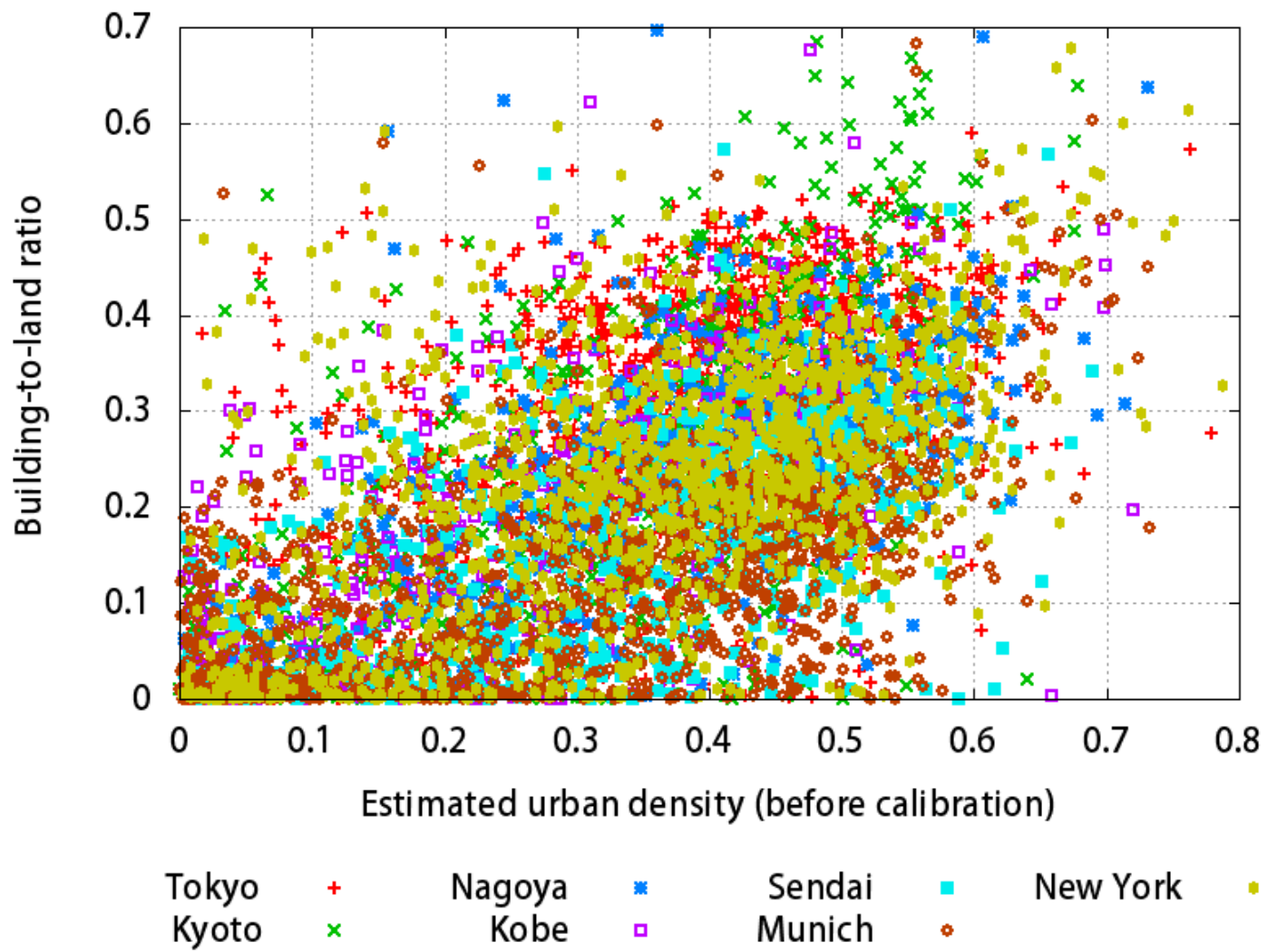
(d)



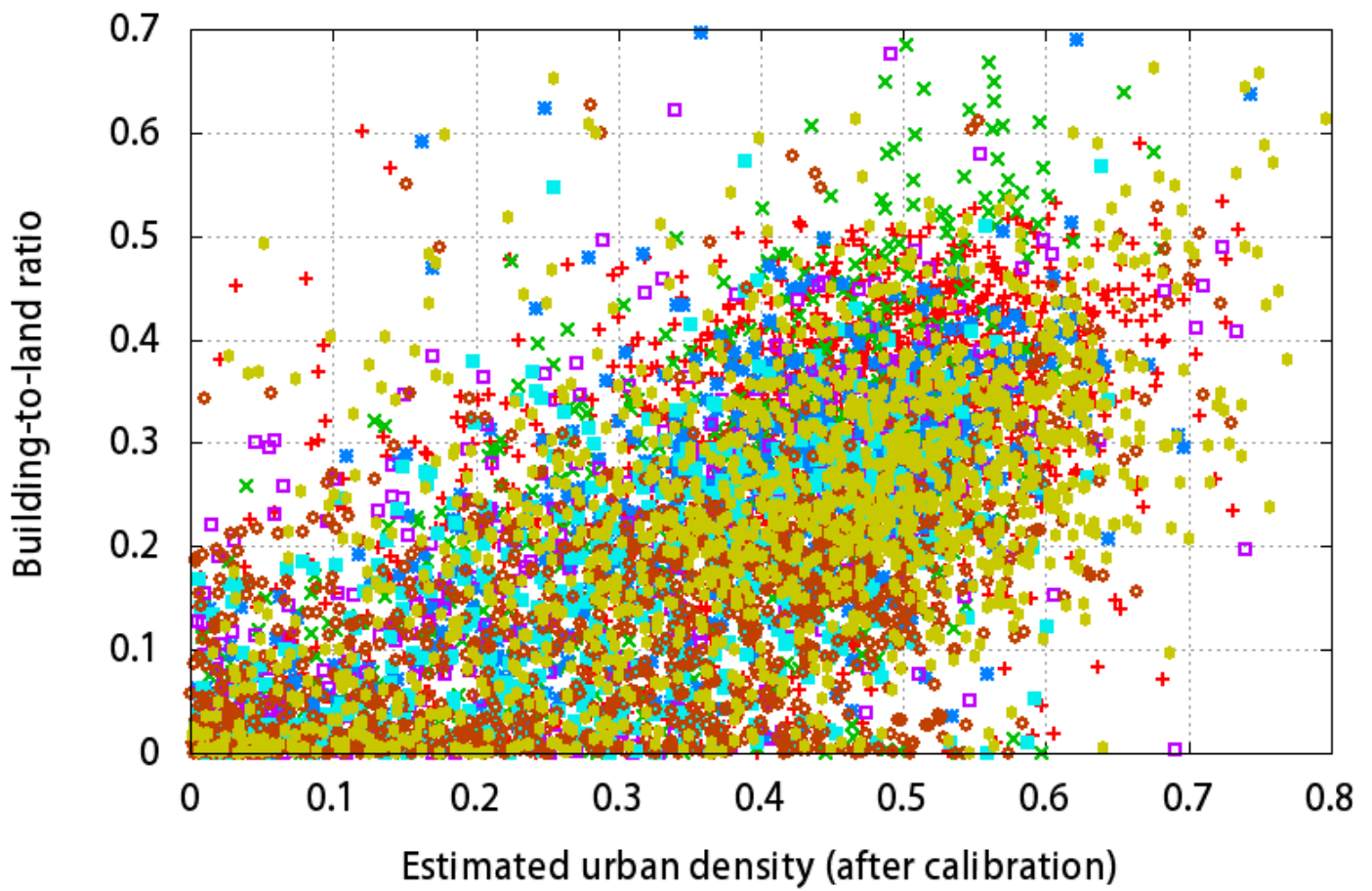
(e)

Figure10

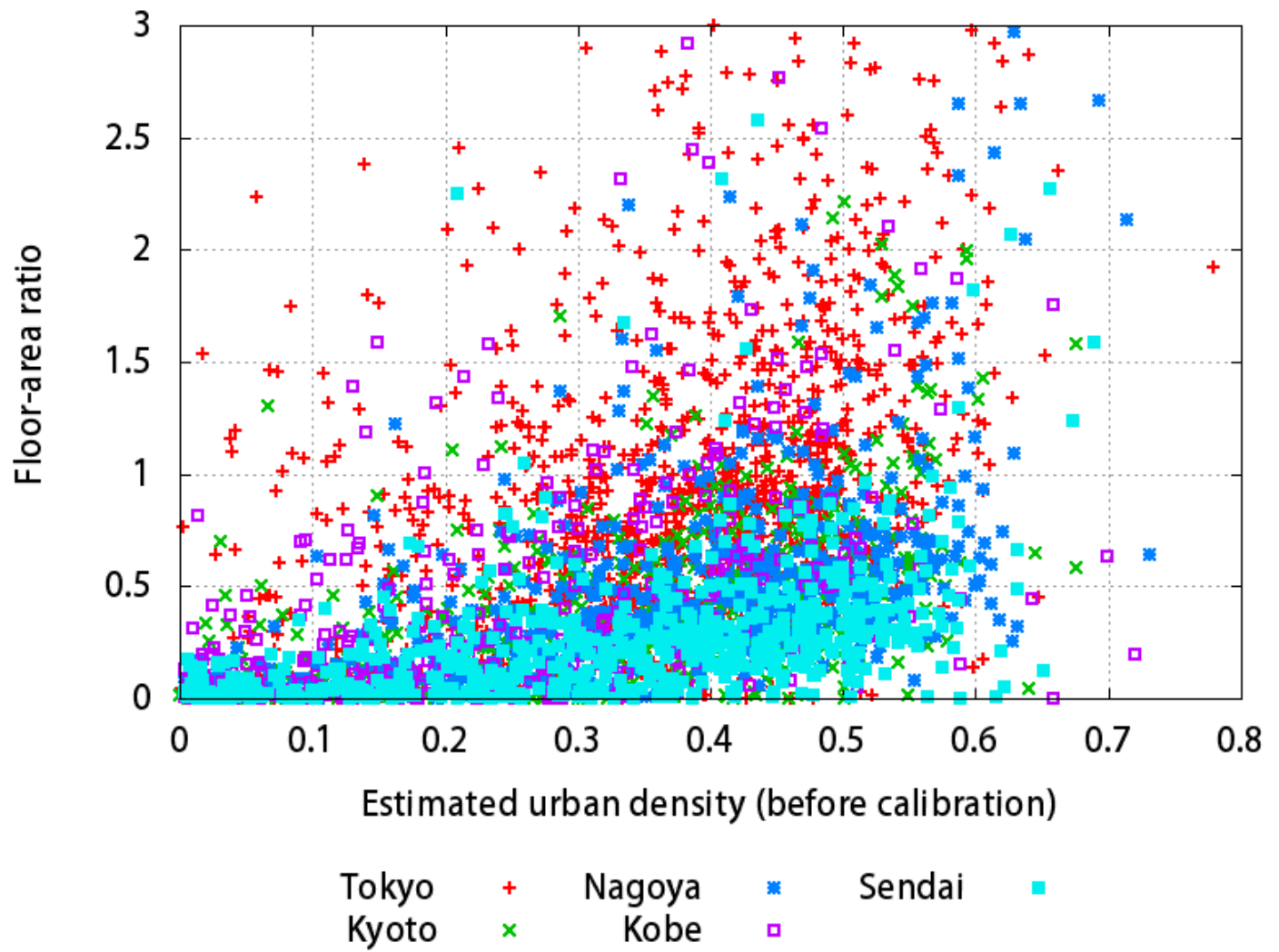
[Click here to download Figure: Figure10.docx](#)



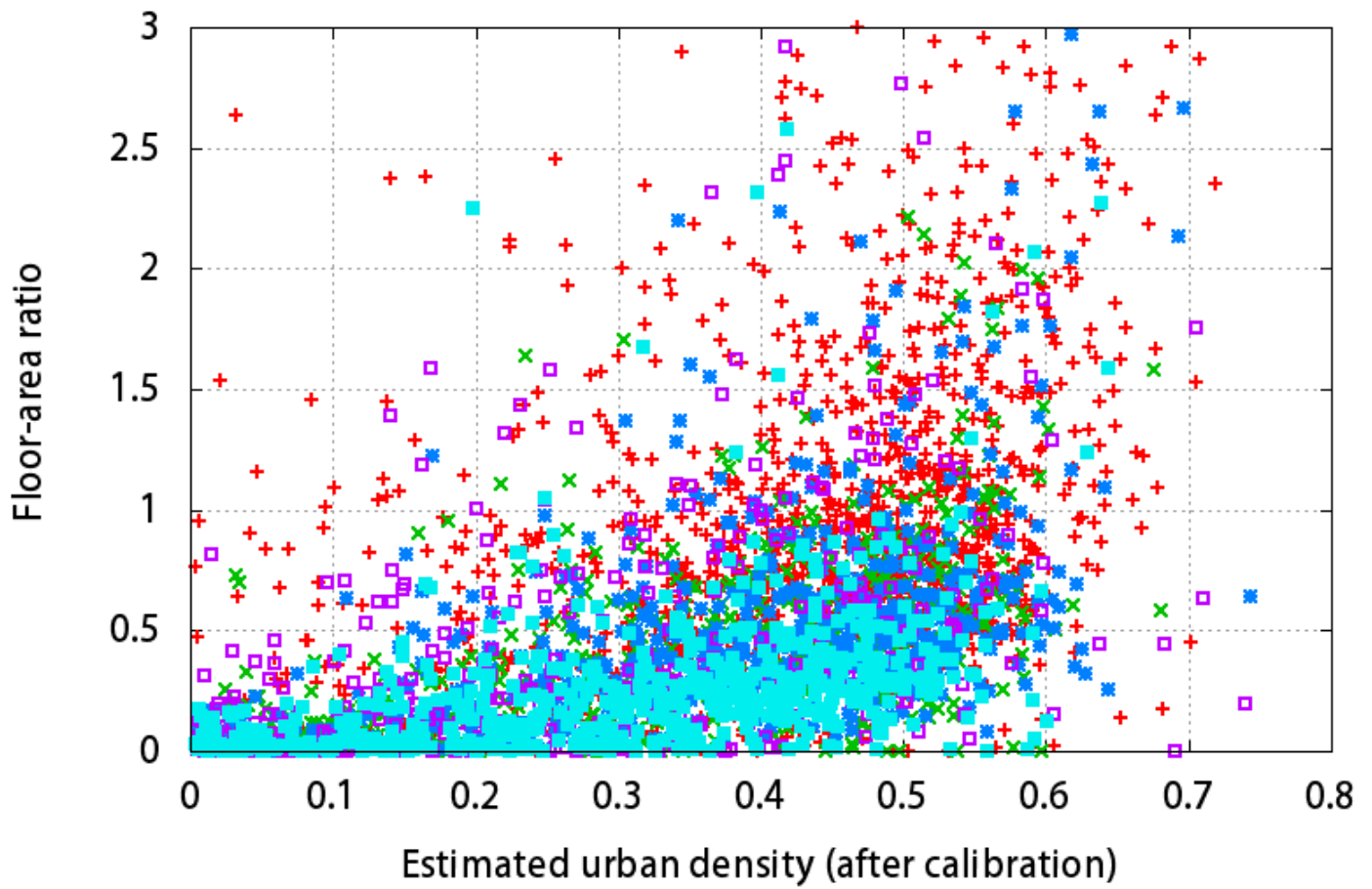
(a)



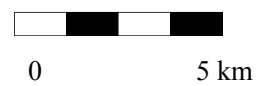
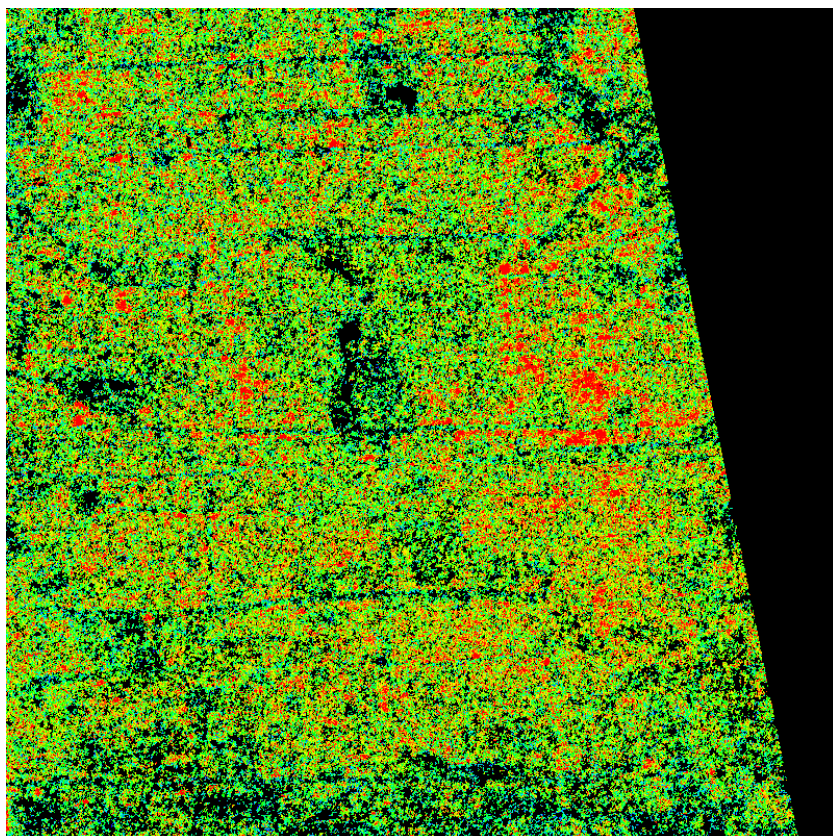
(b)



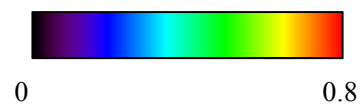
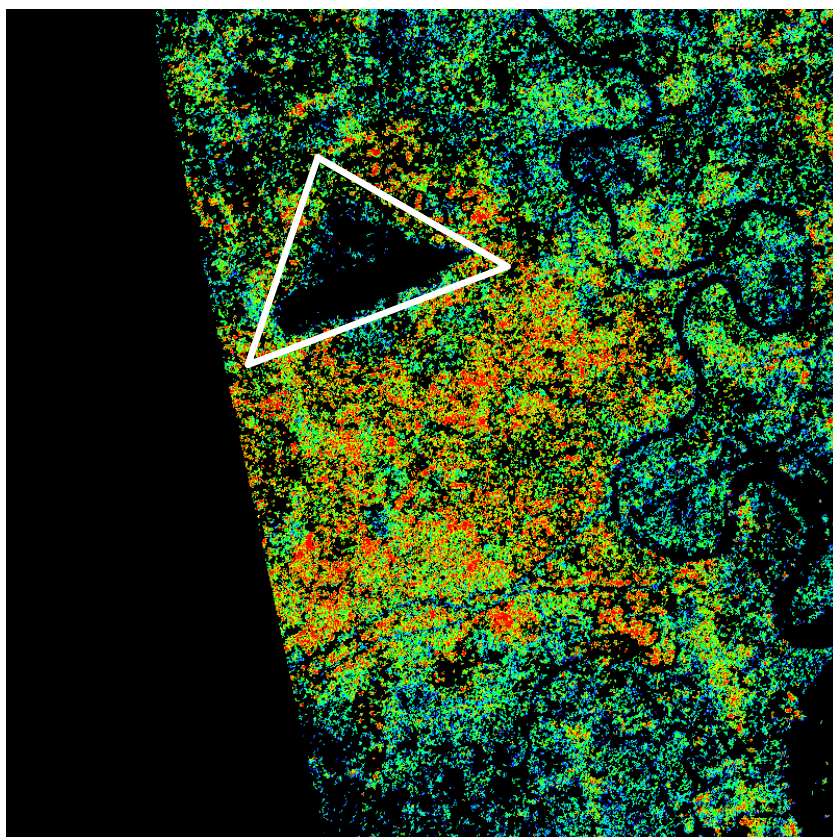
(a)



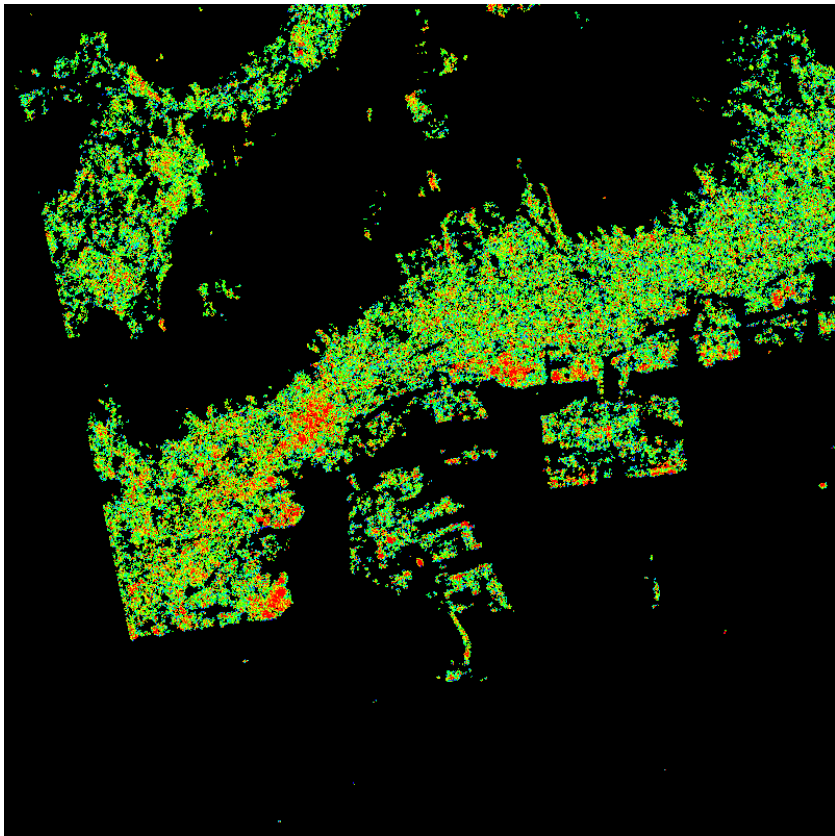
(b)



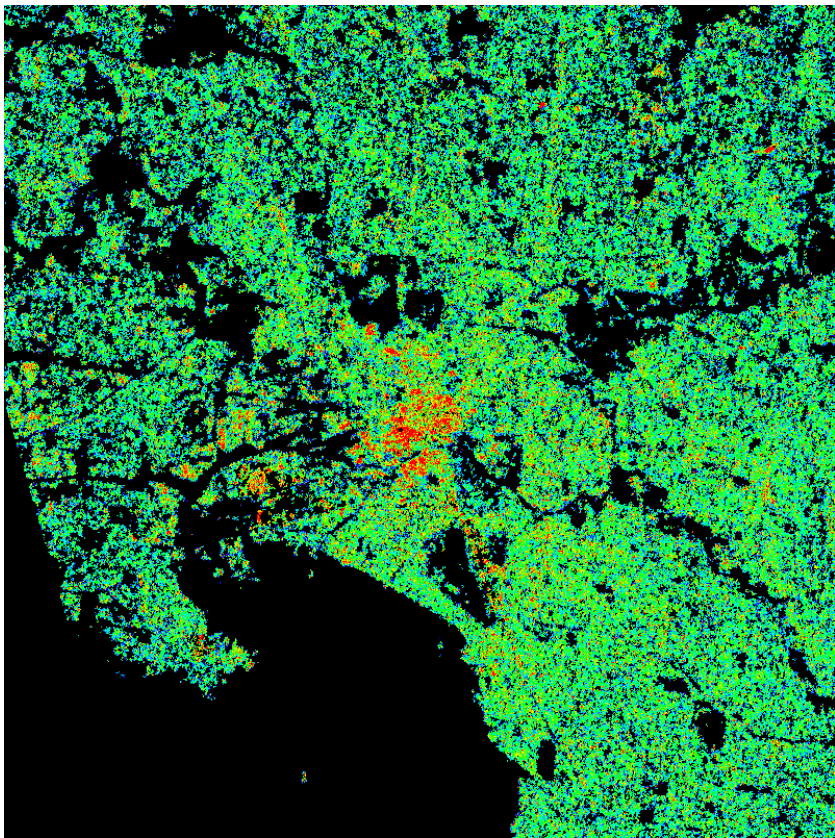
(a)



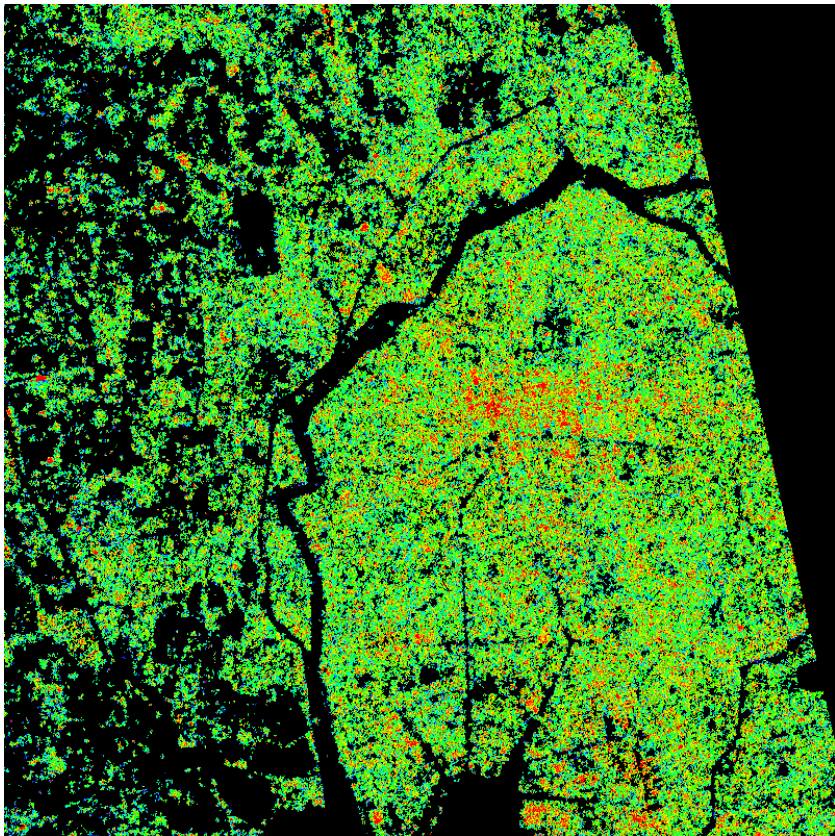
(b)



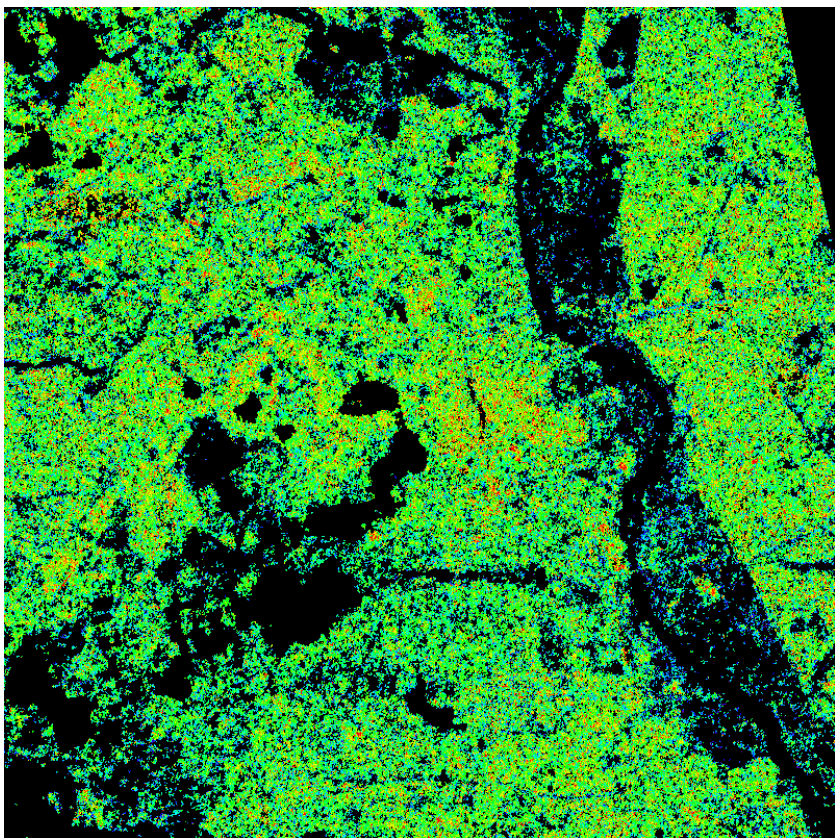
(c)



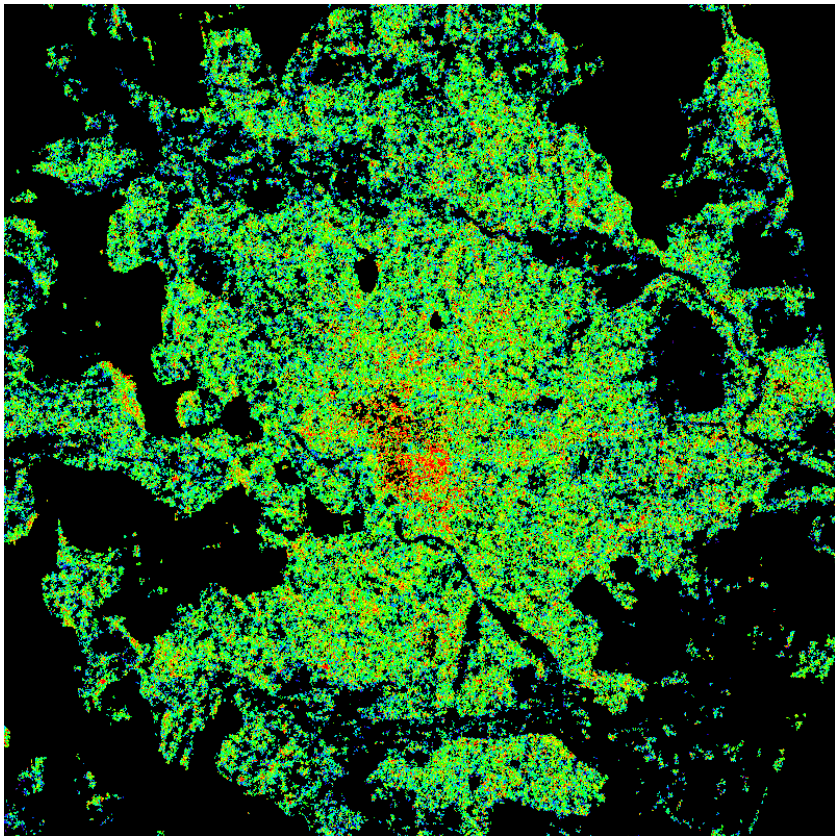
(d)



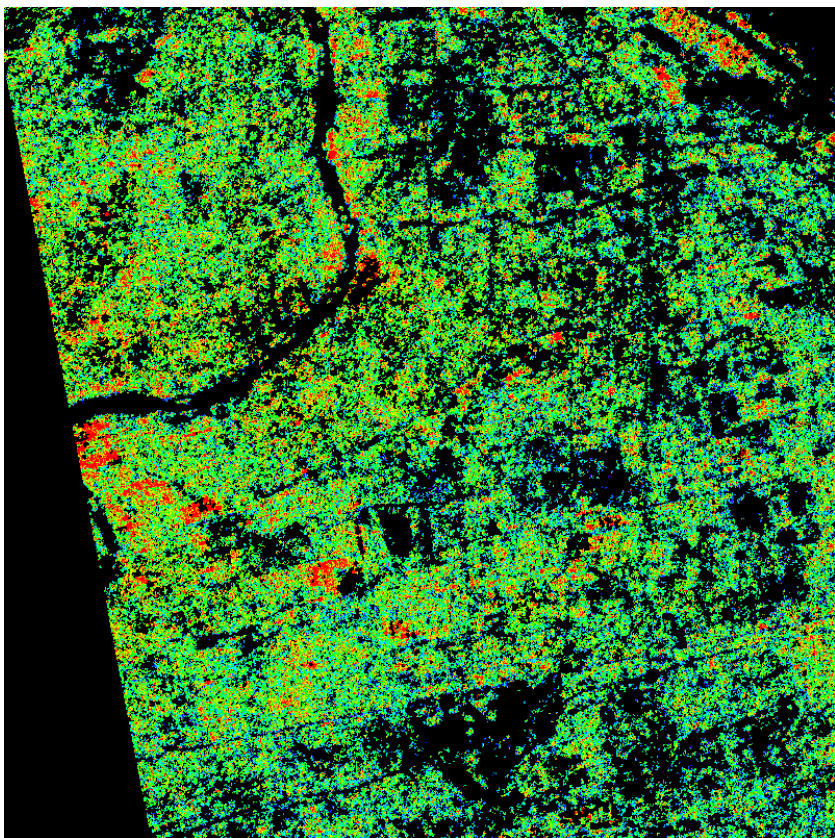
(e)



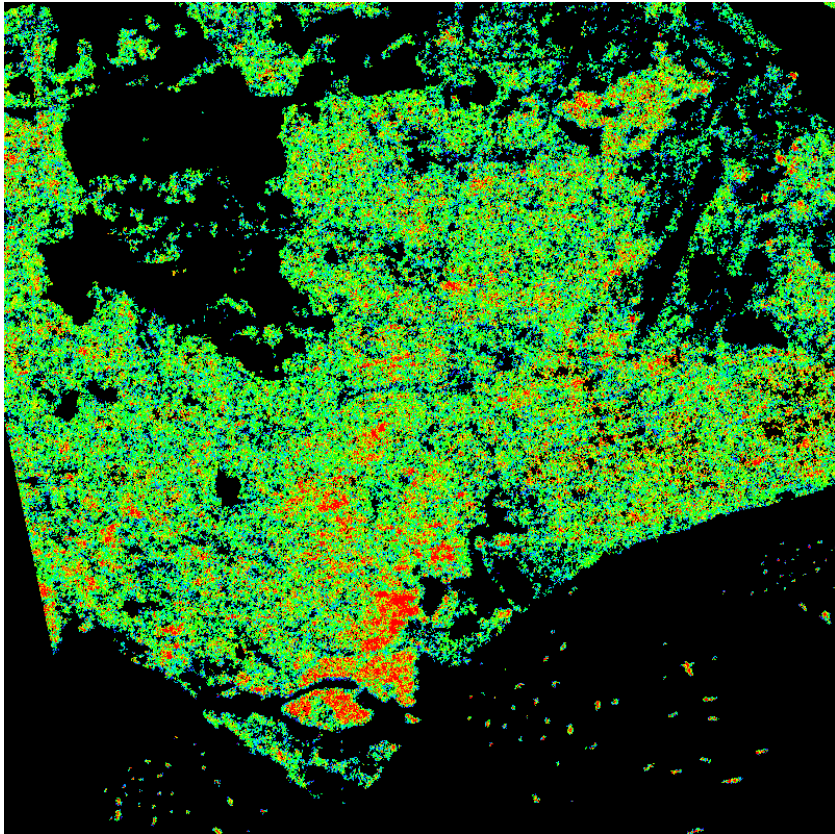
(f)



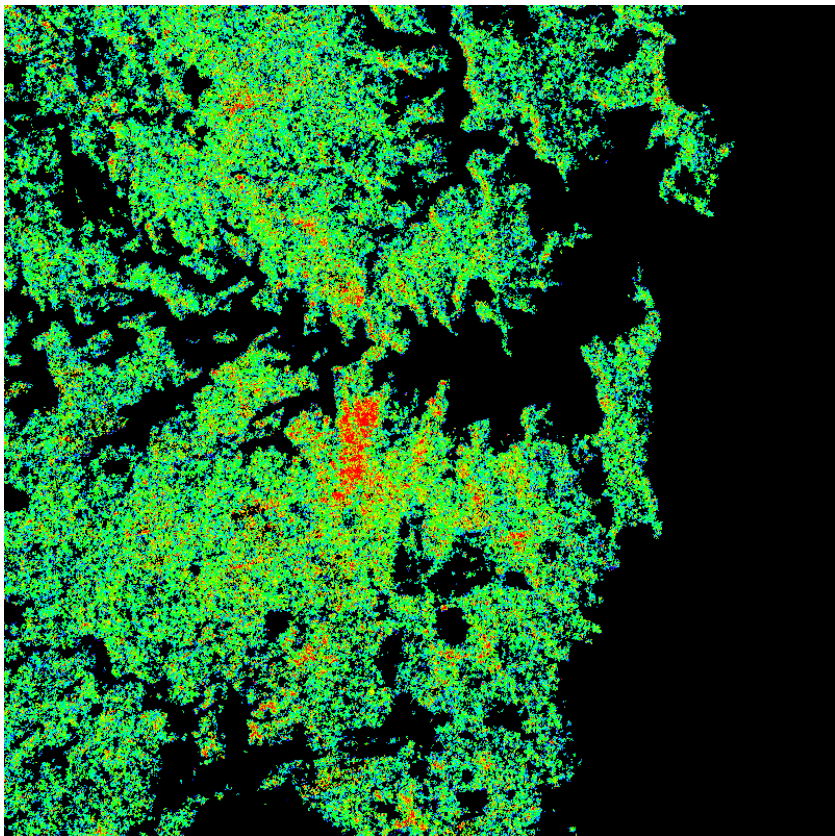
(g)



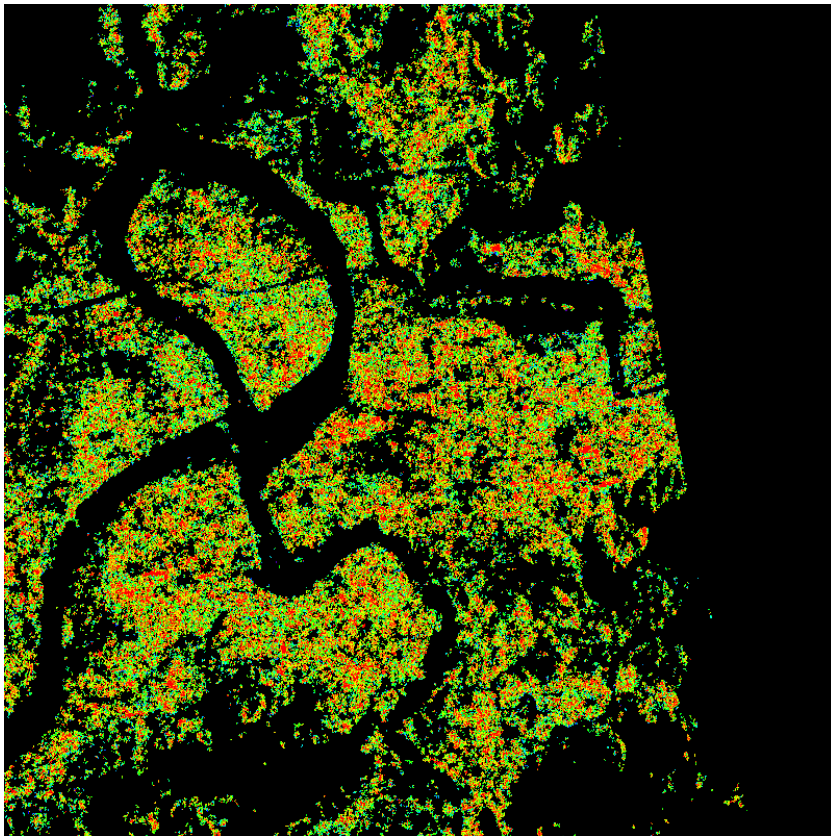
(h)



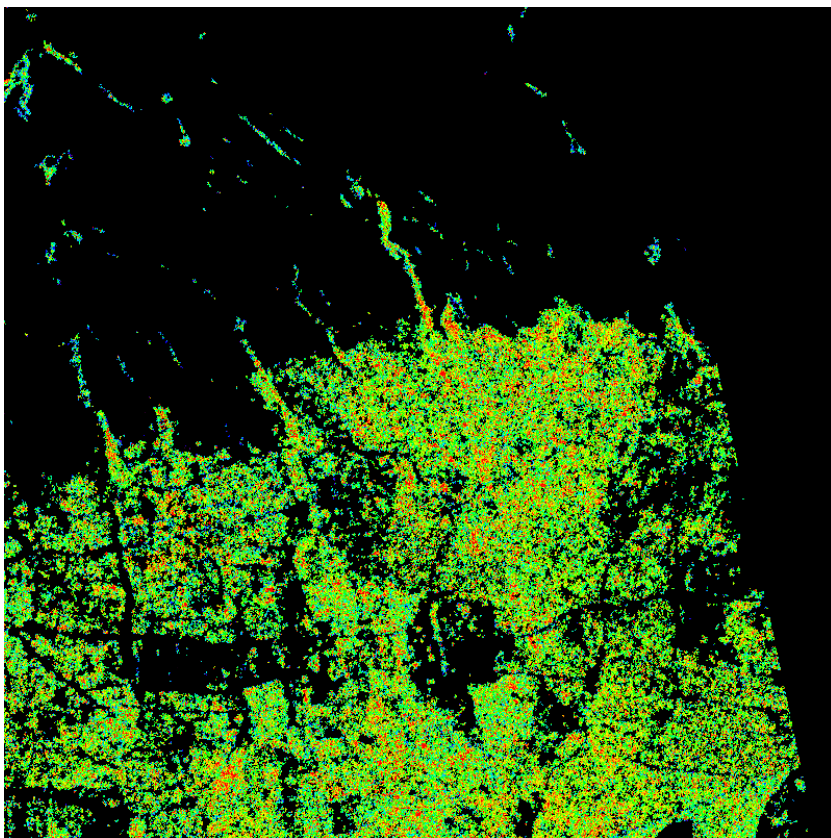
(i)



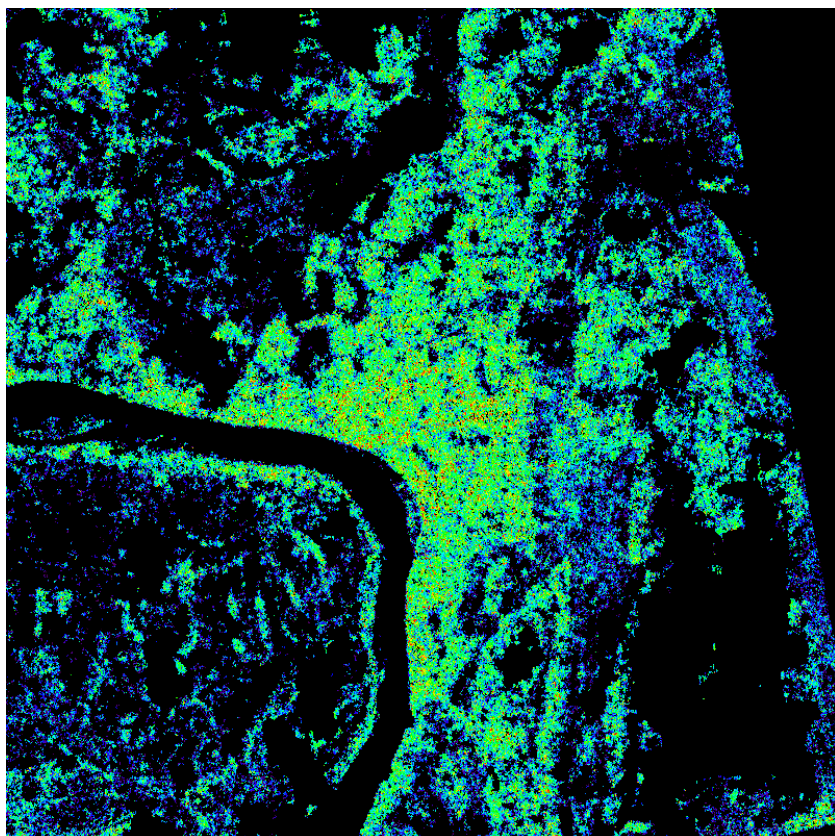
(j)



(k)



(l)

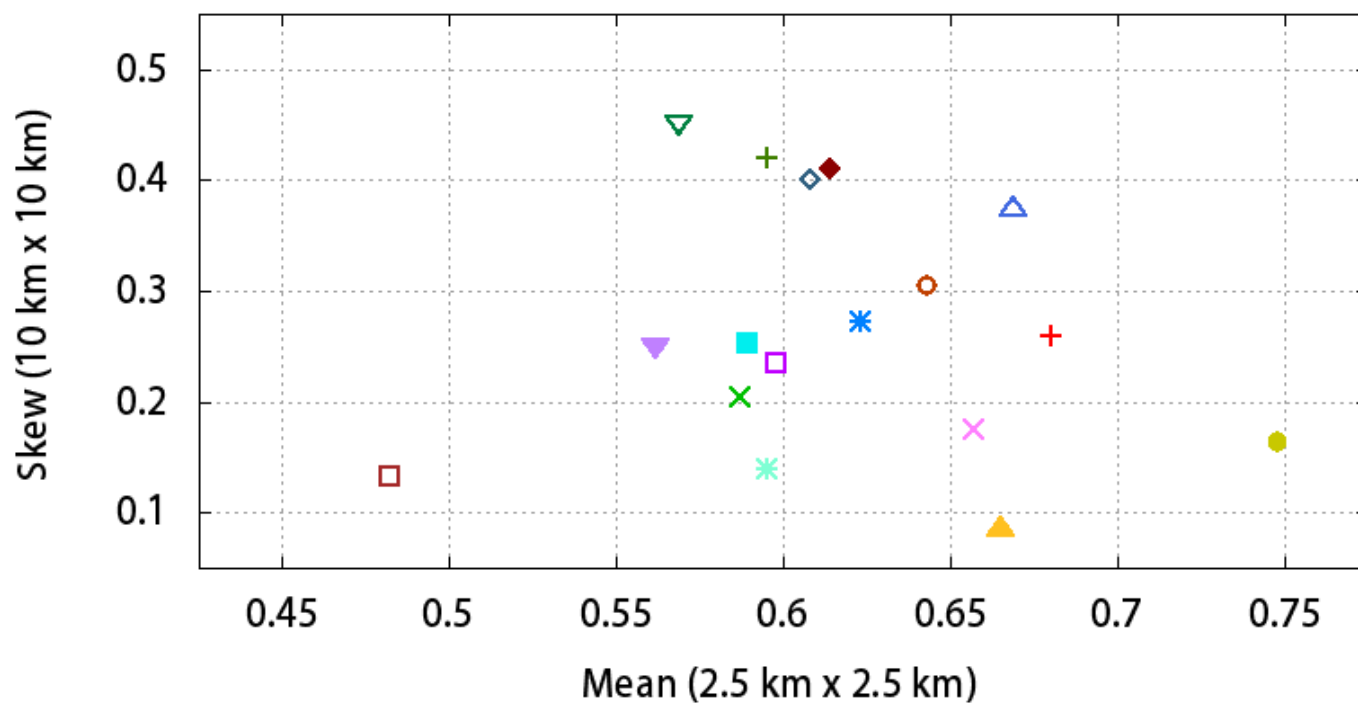


0 5 km

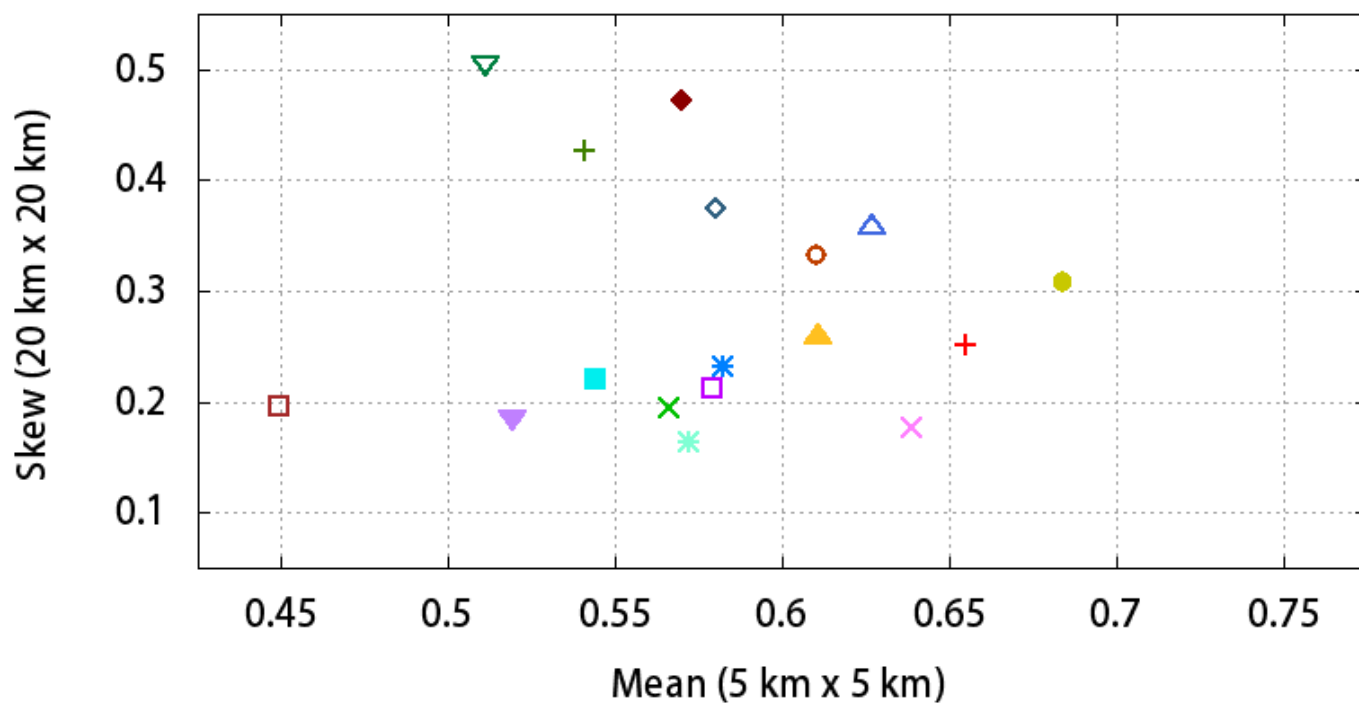


0 0.8

(m)



(a)



Tokyo	+	New York	●	Singapore	◆
Kyoto	×	Beijing	△	Sydney	+
Nagoya	*	Ho Chi Minh	▲	Taipei	×
Kobe	□	Melbourne	▽	Tehran	*
Sendai	■	New Delhi	▼	Vientiane	□
Munich	○	Shanghai	◇		

(b)