

**Estimating vegetation biomass and cover across large plots in shrub and grass dominated drylands  
using terrestrial lidar and machine learning**

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## 1 **Abstract**

2 Terrestrial laser scanning (TLS) has been shown to enable an efficient, precise, and non-destructive  
3 inventory of vegetation structure at ranges up to hundreds of meters. We developed a method that  
4 leverages TLS collections with machine learning techniques to model and map canopy cover and  
5 biomass of several classes of short-stature vegetation across large plots. We collected high-definition  
6 TLS scans of 26 1-ha plots in desert grasslands and big sagebrush shrublands in southwest Idaho, USA.  
7 We used the Random Forests machine learning algorithm to develop decision tree models predicting the  
8 biomass and canopy cover of several vegetation classes from statistical descriptors of the aboveground  
9 heights of TLS points. Manual measurements of vegetation characteristics collected within each plot  
10 served as training and validation data. Models based on five or fewer TLS descriptors of vegetation  
11 heights were developed to predict the canopy cover fraction of shrubs ( $R^2 = 0.77$ , RMSE = 7%), annual  
12 grasses ( $R^2 = 0.70$ , RMSE = 21%), perennial grasses ( $R^2 = 0.36$ , RMSE = 12%), forbs ( $R^2 = 0.52$ , RMSE = 6%),  
13 bare earth or litter ( $R^2 = 0.49$ , RMSE = 19%), and the biomass of shrubs ( $R^2 = 0.71$ , RMSE = 175 g) and  
14 herbaceous vegetation ( $R^2 = 0.61$ , RMSE = 99 g) (all values reported are out-of-bag). Our models  
15 explained much of the variability between predictions and manual measurements, and yet we expect  
16 that future applications could produce even better results by reducing some of the methodological  
17 sources of error that we encountered. Our work demonstrates how TLS can be used efficiently to extend  
18 manual measurement of vegetation characteristics from small to large plots in grasslands and  
19 shrublands, with potential application to other similarly structured ecosystems. Our method shows that  
20 vegetation structural characteristics can be modeled without classifying and delineating individual  
21 plants, a challenging and time-consuming step common in previous methods applying TLS to vegetation  
22 inventory. Improving application of TLS to studies of shrub-steppe ecosystems will serve immediate  
23 management needs by enhancing vegetation inventories, environmental modeling studies, and the  
24 ability to train broader datasets collected from air and space.

- 25 **Keywords:** rangelands; carbon; point cloud; lidar; biomass; classification; land cover; remote sensing;
- 26 machine learning; vegetation type; Structure from Motion (SfM)

## 27 1. Introduction

28 Sagebrush steppe, a shrub- and bunchgrass-dominated biome occupying 47 million hectares of  
29 semiarid rangelands in the western United States (Bukowski and Baker 2013), is rapidly being degraded,  
30 fragmented, and lost. Many factors contribute to the loss of sagebrush steppe ecosystems, but the  
31 greatest driver is the “grass-fire cycle” (D'Antonio and Vitousek 1992) where wildfires promote invasion  
32 by nonnative grasses and forbs, which in turn increase the rate and severity of future fires. In many  
33 cases, the new regime of frequent wildfire causes the total replacement of sagebrush ecosystems by a  
34 new steady state of nonnative pyric grassland (Knick 1999, Balch et al 2013). Deleterious impacts of this  
35 shift include increased wildfire hazard and reduced soil retention, forage quality, and biodiversity  
36 (Brooks et al. 2004, Rowland et al. 2011, Balch et al. 2013, Ripplinger et al. 2015). One example of the  
37 urgent threat to the sagebrush biome is the rapidly changing composition of the 195,000 ha Morley  
38 Nelson Snake River Birds of Prey National Conservation Area (NCA) in southwest Idaho, where only  
39 about a third of the area is occupied by native shrub communities due to the effects of numerous recent  
40 fires (USDI BLM 2008). Improved methods to conserve and restore sagebrush steppe ecosystems are  
41 an urgent topic of research (e.g. Pyke et al. 2015). The need for accurate, scalable, and practical  
42 methods of vegetation inventory is common to a variety of sagebrush management inquiries, including  
43 habitat monitoring, wildfire risk evaluation and behavior modeling, and vegetation treatment  
44 evaluation. Hand-measured metrics, such as transect or frame-based measurements of biomass and  
45 structure (i.e., cover, density, height), have historically filled this role and remain the most common  
46 source of data in sagebrush habitat inventories (e.g. Reiner et al. 2010). Biomass and cover are  
47 indicators of productivity and related ecological processes, as well as management processes such as  
48 fuel treatments and grazing resources in sagebrush steppe ecosystems (e.g. Davies and Bates, 2010,  
49 Pyke et al., 2014). Manual sampling methods of biomass and cover provide precise measurements, but  
50 necessitate collections that are highly localized and logistically difficult across vast, remote, and

51 heterogeneous shrubland landscapes. Airborne and spaceborne optical remote sensing provide broad  
52 and continuous datasets which are useful for classifying dryland vegetation (e.g. Homer et al. 2012)  
53 although most do not collect the necessary structural information to estimate aboveground biomass.  
54 The use of airborne laser scanning (ALS) to remotely sense dryland vegetation structure has also been  
55 widely developed (e.g. Streutker and Glenn 2006, Mitchell et al. 2011), although ALS sensing encounters  
56 difficulty accurately sampling the full structure of low biomass herbaceous plants (e.g. Glenn et al. 2016,  
57 Li et al. 2017).

58         Terrestrial laser scanning (TLS) provides a data source intermediate between precise and  
59 localized manual measurements and spatially extensive, coarser measurements from aerial and satellite  
60 platforms. Often consisting of a rotating scanner mounted on an elevated platform, TLS instruments  
61 enable speedy collection of point clouds representing the 3-D position of the surfaces and objects in the  
62 scanner's field-of-view, including herbaceous vegetation. The instrumentation error of TLS  
63 measurements is usually negligible, and [very high density collections \(centimeter to a few centimeters  
64 resolution\)](#) at ranges up to hundreds of meters are often possible at little logistical expense (Shan and  
65 Toth, 2008, Vosselman and Maas, 2010). Although a TLS instrument samples its full field-of-view up to a  
66 specified range, it is usually unable to sample objects or surfaces which are behind another object from  
67 the instrument's perspective, causing "shadows" of space without points (aka occlusion) (Cifuentes et  
68 al., 2014). A common technique is to collect and combine point clouds from several positions around a  
69 target area, raising the probability that any given space is in the field-of-view of at least one scanning  
70 location (e.g. Cooper et al., 2017, Van der Zande 2008, Wilkes et al., 2017). [However, achieving  
71 complete sampling coverage of surfaces across large vegetated sites may be impractical when using a  
72 field-portable tripod base for the scanner. An approach to mitigate vegetation-caused occlusion is to  
73 elevate the instrument \(e.g. using vehicle-mounted masts or high points in terrain\), so shadowing in the  
74 point cloud occurs mostly beneath objects and topmost surfaces are sampled consistently \(as with ALS,](#)

75 e.g. Vierling et al. 2013). Systemic irregularities (usually minor) in TLS point cloud density and the  
76 positional precision of samples also occur where a collection encompasses a variety of ranges, because  
77 the beam diameter of laser pulses (or spot size) and the Euclidean distance between points both  
78 increase exponentially with range from the scanner. A review of current TLS technology, workflows, and  
79 applications related to the discussion above are provided in Telling et al. (2017). Simple structural traits  
80 of plants (such as height) may be measured directly using TLS point clouds, while other ecologically  
81 important traits may be predicted by proxy measurements. When scanning targets at consistent ranges,  
82 TLS measurement of targets' reflectance at the laser wavelength ("intensity") has been shown to be a  
83 useful spectral sensor (e.g. Seielstad et al. 2011, Olsoy et al. 2014b).

84 TLS has been demonstrated to efficiently replace manual sampling of a variety of common  
85 metrics in forested ecosystems, including tree stem count, basal area, biomass, height, location, leaf  
86 area index, plant area index, spatial vegetation density, and canopy gap fraction (Henning and Radtke  
87 2006, Yao et al. 2011, Zhao et al. 2011, Zhao et al. 2012, Calders et al. 2014, Richardson 2014). Many of  
88 the applications of TLS to shrubland vegetation have studied individual plants, including mapping 2-cm  
89 scale shrub structure for fire behavior modeling (Adams 2014), modeling green and woody biomass of  
90 shrubs (Olsoy et al. 2014b), measuring shrub volume and limb surface area (Kałuża et al. 2012), and  
91 measuring shrub leaf surface area (Loudermilk et al. 2009). Uses of TLS to sample shrubland  
92 environments throughout plots have included ranged (<50 m) sensing and biomass estimation of shrubs  
93 (Greaves et al. 2015), local estimations of shrub and herbaceous fuelbed volume (Loudermilk et al. 2009,  
94 Rowell et al., 2016), identification of individual shrubs across plots and measurement of height and  
95 crown area (Vierling et al. 2013), estimation of wildlife visibility through shrub cover (Olsoy et al. 2015),  
96 estimation of grass biomass (Cooper et al., 2017), and modeling vegetation density profiles in short- and  
97 mixed-height shrublands (Ashcroft et al. 2014). Measurements made using TLS in sagebrush shrubland  
98 plots have also been strongly correlated with ALS measurements, showing that TLS collections may be

99 used to “scale up” training data to broader remotely sensed datasets (Li et al. 2015).

100         A growing body of work has applied machine learning algorithms to classify vegetation and  
101 model structural traits using ALS point cloud data either alone (e.g. Li et al. 2017) or in combination with  
102 spectral datasets (e.g. García et al. 2011). Machine learning approaches to predictive modeling provide  
103 efficient analysis of “wide” data (datasets with many potential predictor variables), and often yield  
104 stronger models than can be derived using simple regression methods. Machine learning models  
105 commonly report error measures which are “out-of-bag” (aggregated from independent cross-  
106 validations internal to the modeling algorithm). For example, the Random Forests algorithm assembles  
107 a predictive model as the aggregation of a multitude of decision trees, each of which retains an  
108 independent 37% of the dataset for validation. The resulting model’s reported out-of-bag  $R^2$  and root  
109 mean square error (RMSE) are aggregations of the errors measured in each of the many trees. The error  
110 measurements collected into out-of-bag errors only ever use validation data that has not been used for  
111 training, and often provide more accurate measures of model strength than simple cross-validation tests  
112 (Breiman 1996, 2001a).

113         In this study we demonstrate a workflow using TLS to predict biomass and canopy cover of  
114 different functional groups of sagebrush-steppe plants across large plots. We use machine learning  
115 (Random Forests (RF)) to leverage the information richness of TLS collections by discovering strong  
116 relationships between statistical descriptors of point cloud distributions represented by 2D pixels and  
117 manually collected measurements of biomass and structure. The main objective of this research is to  
118 develop a straightforward method for quantifying biomass and cover in the sagebrush-steppe across  
119 large plots (1-ha). The research question we aim to address is, to what extent can canopy cover and  
120 biomass of different functional groups of the sagebrush-steppe be quantified without individual  
121 classification of plants in TLS point clouds?

122         After creation, models of predicted features can be applied to whole 1-ha TLS datasets (both the

123 1-ha plots used to develop the model, and new plots in the same study area). Our method does not take  
124 any steps to explicitly delineate or classify plants, a challenging task in many lidar-based inventory  
125 methods. The models we developed had good predictive power overall, despite imperfect TLS point  
126 clouds (collected at oblique angles across plots which included dense shrublands) and some known  
127 errors in spatiotemporal matching of TLS and manual collections. Our experience proves this method as  
128 an efficient, scalable, and resilient workflow to model shrub-steppe vegetation traits across large areas.

129

## 130 **2. Materials and Methods**

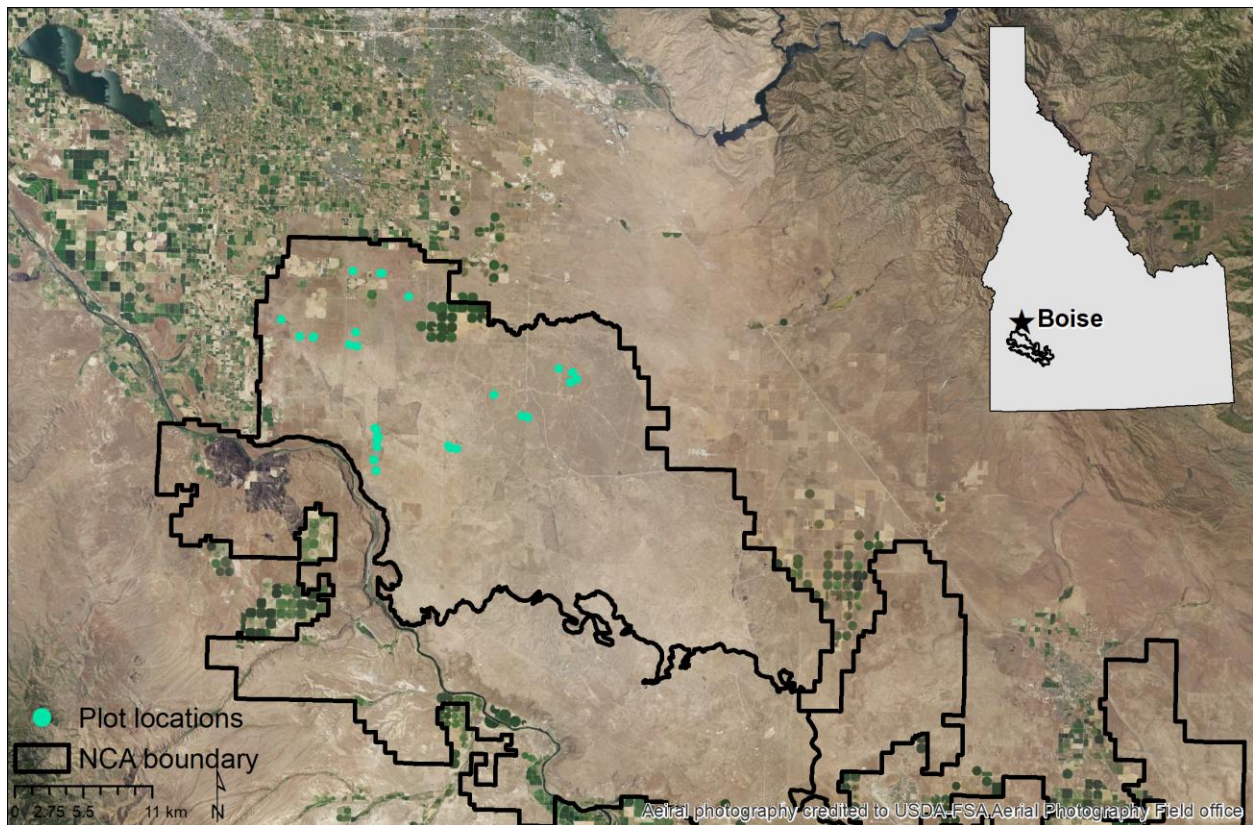
### 131 **2.1 Study area**

132 The study was located within the Morley Nelson Snake River Birds of Prey National  
133 Conservation Area, which encompasses approximately 242,773 ha of the Snake River Plain Ecoregion in  
134 southwestern Idaho, USA (Fig. 1). The mean annual precipitation at the NCA is 24 cm and the average  
135 minimum and maximum annual temperatures are 3.5 ° C and 18.0 ° C, respectively, for the period 1980-  
136 2010 (PRISM, 2015). Surface geology includes loess windblown soils interspersed by basalt outcrops. The  
137 native flora is composed of sparse bunchgrasses (e.g., *Poa secunda*, *Elymus elymoides*) and an open  
138 canopy of shrubs (i.e., < 50% cover) generally less than 1.5 m tall, underlain by biological soil crust. Big  
139 sagebrush (*Artemisia tridentata*, primarily *ssp. wyomingensis*) is the regionally dominant shrub.  
140 Frequent wildfire in the NCA, especially in the last 30 years, has created a patchwork of native shrubland  
141 communities and degraded areas dominated by short-stature native perennials and non-native annual  
142 grasses (predominantly, *Bromus tectorum*) and forbs. Many degraded areas have been seeded with  
143 native and non-native perennial grasses, resulting in sparsely distributed, relatively tall (i.e., 30-50 cm)  
144 bunchgrasses (USDI BLM 2008).

145



146 **Figure 1.** The NCA study area and location of plots with manual and TLS vegetation sampling. The  
 147 background image is a National Agriculture Imagery Program (NAIP) true-color image.



148 Aerial photography credited to USDA-FSA Aerial Photography Field office

149

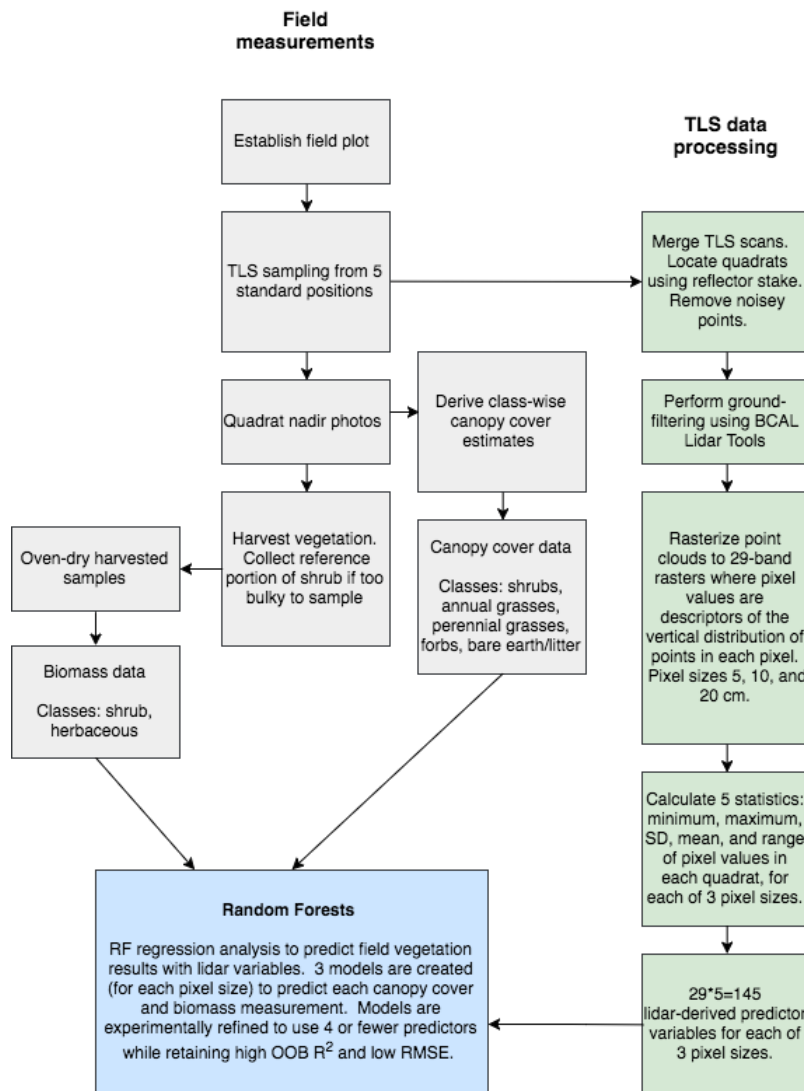
## 150 **2.2 Data collection**

151 Our workflow for data collection and processing is detailed in Fig. 2 and described in detail  
 152 below. We performed all TLS sampling between 15 May and 14 June 2013. By this date grasses and forbs  
 153 were mostly senescent, but structurally intact. We used a stratified random sampling approach to locate  
 154 twenty-six 1-ha plots, measuring 100 m by 100 m, for manual and TLS vegetation sampling throughout  
 155 the western NCA. The sites spanned a gradient of plant community compositions, including intact  
 156 shrublands, areas dominated by non-native grasses, and seeded sites containing taller perennial  
 157 bunchgrass species. The plots were split evenly among sites dominated by shrubs and grasses (n=13  
 158 each). In each 1-ha plot, vegetation characteristics were collected manually in nine 1-m<sup>2</sup> quadrats

159 spaced 25 m apart in a 3 by 3 grid centered on the plot (Fig. 3 and 4). This resulted in a total of 234 1-m<sup>2</sup>  
 160 quadrats across 26 plots where paired manual and TLS sampling was performed.

161

162 **Figure 2.** Workflow of data collection, data processing, and Random Forests analysis resulting in  
 163 predictive models for each cover and biomass class.



164

165

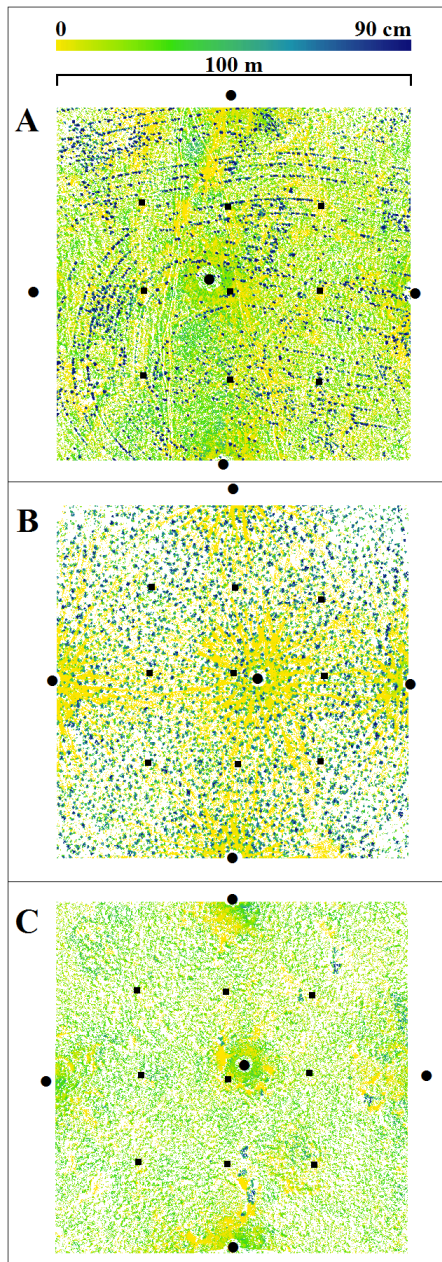
166 We deployed elevated disc reflectors at each plot corner to provide control points for

167 coregistration and georegistration of TLS scans. A small reflector on a tall stake was placed at the center

168 point of each quadrat to precisely mark its location in the TLS point cloud (after TLS collection, the stake

169 was replaced by a surveyor's flag to mark the center point for manual vegetation sampling). The sides of  
170 square 1-m<sup>2</sup> quadrats were aligned with cardinal directions. We performed the TLS collection using a  
171 Riegl VZ-1000 near-infrared (1550 nm) scanner mounted on a 2-m tripod. At a range of 100 m, this  
172 instrument has a reported standard deviation of error of 8 mm and a beam diameter of 30 mm  
173 (corresponding to a beam divergence of 0.3 mrad) (Riegl, Austria). Single-return scans were performed  
174 with 0.02° of separation between pulses. Plots were scanned from five positions, once from the  
175 approximate midpoint of each side (using 180° scans) and once from the approximate plot center (using  
176 360° scans). Our experimental setup took approximately 1-2 hours to collect five scans at each 1-ha plot.  
177 Slight leeway in scanner location allowed for adaptation to reduce occlusion in each scan (Fig. 3). After  
178 scanning was complete, the quadrat stake reflectors were replaced with surveyor's flags.  
179

180 **Figure 3.** Examples of 1-ha plot layout and TLS-derived data. Black circles show scanning positions while  
181 black squares show locations of 1-m<sup>2</sup> manual sampling quadrats (enlarged for visibility). Coloring shows  
182 the maximum aboveground height of TLS points in 5-cm pixels in plots which are seeded with  
183 bunchgrasses (A), shrub-dominated (B), and native and non-native annual grass-dominated (C). Pixels  
184 occluded from sampling appear as white.

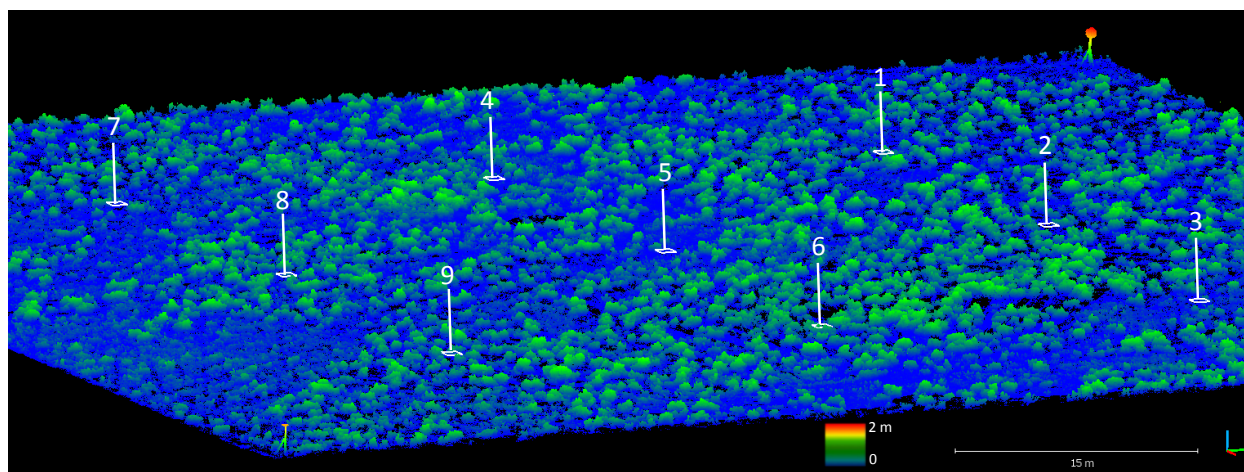


185

186



187 **Figure 4.** An example shrub-dominated plot with quadrats. White lines and numbers show quadrat  
188 location/layout. Elevated disc reflectors are shown at each corner. Quadrat 2 was omitted from the  
189 analysis due to occlusion (n=136 lidar returns).



190  
191  
192 Manual vegetation sampling at the scale of this study was made possible through collaboration  
193 with a larger, multi-year project being performed by the U.S. Geological Survey (Shinneman et al. 2015).  
194 The U.S.G.S. sampled vegetation characteristics in the field approximately 10 days following TLS  
195 sampling. At each quadrat, a nadir photograph centered on the plot was collected from a height of 2 m,  
196 imaging an area approximately 1 x 1.5 m. The topmost plant species (or lack thereof) were identified at  
197 100 gridded sample points in each photograph using Samplepoint Software (see Pilliod and Arkle 2013),  
198 providing an estimate of the canopy cover of each species across the photo. Species-level data were  
199 aggregated to represent canopy cover of the following classes: bare earth/litter, annual grasses,  
200 perennial grasses, forbs, and shrubs. Aboveground vegetation within or overhanging each 1-m<sup>2</sup> quadrat  
201 was harvested and categorized as shrub or herbaceous. Where shrubs were too bulky to be harvested  
202 efficiently, a portion was collected for reference, and the number of equivalent-weight portions

203 remaining was estimated for the quadrat. Samples were oven-dried at 65° C for at least 72 hours and  
204 then weighed.

205

### 206 **2.3 Processing**

207 We subsampled the TLS point clouds representing the quadrats to a minimum spacing of 1 cm  
208 between points [using an octree filter](#). Points representing quadrat marker reflectors and other spurious  
209 (“noise”) points were manually removed. Using the BCAL Lidar Tools software  
210 (<http://bcal.boisestate.edu/tools/lidar>), ground filtering ([classification of points as ground or vegetation](#))  
211 was performed using an iterative grid-based filtering approach that has been widely applied in shrub-  
212 steppe ecosystems (e.g. Streutker and Glenn 2006). The same software was then used to calculate 29  
213 statistical descriptors of the vertical distribution of aboveground TLS points (Table 1), storing this  
214 information in 29-band raster files. The BCAL Lidar Tools exploit the rich information about height  
215 distributions in 3D point clouds by creating point statistics directly from the point cloud and reporting  
216 those in a 2D pixel representation. Each point cloud was used to create three 29-band rasters, each  
217 using a different pixel size (5, 10, and 20 -cm) to calculate descriptors of point distribution. Considering  
218 only pixels containing TLS points, we calculated the minimum, maximum, mean, range, and standard  
219 deviation of each of the 29 descriptors listed in Table 1 for each quadrat. As an example, the minimum,  
220 maximum, mean, range, and standard deviation of the 50th percentile of all height points within each  
221 pixel were calculated at the quadrat level. Calculating five statistics about each of 29 descriptors yielded  
222 a total of 145 statistics about point cloud distributions in each quadrat. Hereafter we refer to these 145  
223 statistics as predictors.

224

### 225 **2.4 Quadrat quality control**

226 [Through the data review process, we identified 28 quadrats as unfit to include in our analysis.](#)

227 Twenty-two of these were discarded due to mistakes (mainly in quadrat placement) stemming from  
228 errors in communication between TLS and manual field sampling teams. One quadrat was discarded due  
229 to a rare ground filtering error that was identified in a cursory inspection of the classified TLS point  
230 cloud. In addition, we set a minimum threshold of 150 TLS returns (after subsampling to 1-cm spacing)  
231 to include a quadrat in the modeling. This threshold was set to exclude quadrats where occlusion  
232 prevented collection of any meaningful structural data (see Fig. 4 for an example). Five quadrats were  
233 discarded using this criterion. After removing these 28 quadrats, the remaining 206 were used for  
234 further analysis.

235 **Table 1.** Descriptors calculated from the TLS point cloud distribution within each pixel. The minimum,  
 236 maximum, mean, range, and standard deviation of each of the descriptors (n=29) within the bounds of  
 237 each quadrat were used as predictor variables. All points with a modeled height greater than 0 were  
 238 classified as vegetation.

Descriptor
Minimum height
5 <sup>th</sup> percentile height
10 <sup>th</sup> percentile height
25 <sup>th</sup> percentile height
50 <sup>th</sup> percentile height
75 <sup>th</sup> percentile height
90 <sup>th</sup> percentile height
95 <sup>th</sup> percentile height
Maximum height
Mean height
Standard deviation of heights
Range of heights
Interquartile range of heights
Kurtosis of heights
Skewness of heights
Variance of heights
Coefficient of variation of heights
Mean absolute deviation from mean height (AAD) = $\text{mean}( \text{height} - \text{mean height} )$
Median absolute deviation from median height (MAD) = $1.4826 \times \text{median}( \text{height} - \text{median height} )$
Texture of heights (standard deviation of heights between 5 cm and 15 cm)
Canopy relief ratio of height points = $(\text{mean height} - \text{min height}) / (\text{max height} - \text{min height})$
Percent of returns modeled as ground
Percent of heights between 0 and 1 m tall
Percent of heights between 1 and 2.5 m tall
Count of vegetation returns
Count of ground returns
Count of all returns
Ratio of vegetation returns to ground returns
Ratio of vegetation returns to total returns

239



## 240 **2.5 Random Forests analysis**

241           We used Random Forests to leverage the detailed structural information collected by TLS,  
242 predict diverse vegetation traits using a common method, and apply an automated heuristic approach  
243 to analyze datasets which are complicated by varying scan angles, varying point densities, and patchy  
244 occlusion. RF regression (implemented with Salford Predictive Modeler Software Suite version 7, Salford  
245 Systems, San Diego, CA) was used to develop models predicting field-measured canopy cover and  
246 biomass of vegetation functional groups using the TLS-derived 145 predictors. In each model we found  
247 the bulk of predictors to be of low influence, and the inclusion of most actually decreased model  
248 performance in the testing datasets. We derived models using an automated forward selection  
249 procedure, which creates a 1-predictor model using the strongest solitary predictor, a 2-predictor model  
250 by identifying the second predictor which yields the strongest model in combination with the first, and  
251 so on. We also tested automated backward selection (iterative removal of the least important predictor)  
252 and manual trial-and-error procedures of model derivation, but found that forward selection discovered  
253 superior models in every case. For each of the three sets of predictors created using 5, 10, and 20 -cm  
254 pixels, we collected the first five models of each vegetation feature that were produced by forward  
255 selection. From among these we selected the model of each feature with the highest  $R^2$  and lowest  
256 RMSE that used five or fewer predictors. All  $R^2$  and RMSE values used and reported are out-of-bag.

257           Spatial autocorrelation between field observations was considered given that the quadrat  
258 observations within a plot were close together and could possibly exhibit autocorrelation. We tested for  
259 spatial autocorrelation between field observations by taking the residuals from the RF model and  
260 running a one-way ANOVA with the 26 plots as the treatments. If autocorrelation was present, the  
261 residuals from any plot would tend to be mostly positive, or mostly negative. If there was no  
262 autocorrelation the residuals would have random variation around a mean of zero. Using this method,  
263 we found no evidence of autocorrelation.

264

265 **3. Results and Discussion**266 **3.1 Field Canopy Cover and Biomass**

267 The distribution of field-measured biomass and fractional canopy cover were highly non-normal,  
268 with most biomass and cover estimates clustering near the low or high ranges of measurements.

269 Likewise, the standard deviation of measurements approached or exceeded the mean measurement of  
270 each variable (Table 2). For example, the mean shrub, bare earth/litter, and annual grass cover was 8%,  
271 41%, and 35%, whereas their corresponding standard deviation was 14%, 27%, and 38%, respectively.

272

273 **Table 2.** Statistics describing the manual measurements of cover and biomass (n = 206). Minimum

274 values were all 0. Columns 25<sup>th</sup> & 75<sup>th</sup> are percentiles and SD is standard deviation.

<b>Feature</b>	<b>25<sup>th</sup></b>	<b>Median</b>	<b>75<sup>th</sup></b>	<b>Max</b>	<b>Mean</b>	<b>SD</b>
Shrub cover (%)	0	0	8	61	8	14
Bare earth/litter cover (%)	13	43	61	94	41	27
Annual grass cover (%)	0	13	73	100	35	38
Perennial grass cover (%)	1	7	21	70	13	15
Forb cover (%)	0	0	3	68	4	9
Shrub biomass (g)	0	0	18	2476	106	322
Herbaceous biomass (g)	57	97	180	1193	146	158

275

276 **3.2 Predicted Canopy Cover and Biomass**

277 Five of seven Random Forest models achieved out-of-bag  $R^2 > 0.5$  correlation with manual  
278 measurements. Descriptors calculated using a 5-cm pixel size yielded the strongest predictors of forb  
279 cover ( $R^2 = 0.52$ , RMSE = 6%) and herbaceous biomass ( $R^2 = 0.61$ , RMSE = 99 g) (Tables 3 & 4). A 10-cm  
280 pixel size yielded the strongest predictors of shrub cover ( $R^2 = 0.77$ , RMSE = 7%), annual grass cover ( $R^2 =$   
281  $0.70$ , RMSE = 21%), perennial grass cover ( $R^2 = 0.36$ , RMSE = 12%), bare earth/litter cover ( $R^2 = 0.49$ ,  
282 RMSE = 19%), and shrub biomass ( $R^2 = 0.71$ , RMSE = 175 g) (Tables 3 & 4). A 20-cm pixel size did not

283 yield the strongest predictors of any feature. The precision of our model predictions ranged between  
284 46% and 165% of mean manual measurements (by comparing the lowest RMSE values from Tables 3 & 4  
285 with mean manual measurements in Table 2). For example, the prediction of the bare earth/litter cover  
286 class had the lowest RMSE in comparison to the mean of the manual measurements (46%), and the  
287 RMSE of the annual grass cover was 60% of the mean manual measurement. These classes were also the  
288 dominant cover classes in the field, as measured by mean percent cover data (41% and 35%,  
289 respectively, Table 2). In comparison, our model predictions which had high RMSE values (e.g. forb cover  
290 and shrub biomass) corresponded to classes that had low vegetation percent cover in our field plots.

291         We found that while marginal improvements in model quality were made available by testing  
292 several pixel sizes for predictor creation, the benefit was unlikely to be great. Despite a sixteen-fold  
293 difference in the area of the pixel sizes we tested, in only one case was the difference in strength  
294 between the strongest models produced by each pixel size greater than  $R^2 = 0.05$  (shrubs biomass,  
295 difference of  $R^2 = 0.13$ ) (results provided in Supplementary Material). While we did not find a single pixel  
296 size for predictor calculation to be consistently superior, predictors from 20-cm pixels never yielded the  
297 strongest model, and predictors from 10-cm pixels produced the best across-the-board performance.  
298 Given that differences in the models were low, a 10-cm pixel size can be interpreted to be appropriate  
299 for predicting vegetation cover and biomass in our study area, representing a compromise between too  
300 fine a resolution (5-cm) that over-represents occlusion and too coarse (20-cm) which generalizes subtle  
301 differences in the point cloud. Future studies may also wish to test several pixel sizes to discover which  
302 yield the most useful predictors of the local environment.

303         Our use of RF was straightforward. For each vegetation feature, we used a forward selection  
304 procedure to derive models using one to five predictors, for each of the 5, 10, and 20 -cm pixel predictor  
305 sets, and selected the model with the highest  $R^2$  from the fifteen produced. This method is not  
306 comprehensive, and it is possible somewhat stronger combinations of predictors exist to model some of

307 our targets. We expect our experience to match the common case where the top several competing  
308 models of a single feature exhibit similar strengths (even though the predictors they use may differ),  
309 minimizing the importance of which specific model is selected (Breiman 2001b). We presented only  
310 models using up to five predictors, although using one or two fewer predictors would generally not cost  
311 much predictive strength, and allowing one or two more would not cost much parsimony. The  
312 combination of predictors used is inconsistent among models, but some predictors were used more  
313 commonly than others (Tables 3 & 4). For example, a statistic describing the 50<sup>th</sup> percentile (median) of  
314 point heights in pixels was the top single predictor in every model, except those of shrub biomass.

315 **Table 3.** Predictions of percent canopy cover for annual grass, bare earth/litter, forb, perennial grass,  
 316 and shrub classes using the optimal pixel size to calculate point statistics, as generated by the first 5  
 317 predictor sets yielded by forward stepwise selection. Predictors are listed in the order they were added  
 318 to the predictor set, and resultant models' predictive strength and root mean square error (RMSE, in %)  
 319 are also listed. Bolded is the model explaining the most variance and with the lowest RMSE. If N=4 is  
 320 bolded, then the model used the first four predictors; if N=5 is bolded, then the model used all five  
 321 predictors. Additional results on the remaining pixel sizes are presented in Supplementary Material.

Vegetation	Pixel size	Predictors	N	R <sup>2</sup>	RMSE
Annual grass	10	Mean of 50th percentile heights	1	.59	24
		Standard deviation of maximum heights	2	.62	23
		Mean of ratio of vegetation returns to total returns	3	.67	22
		Mean of ratio of vegetation returns to ground returns	4	.69	21
		Minimum of 50th percentile heights	<b>5</b>	<b>.70</b>	<b>21</b>
Bare earth /litter	10	Maximum of 50th percentile heights	1	.38	21
		Standard deviation of interquartile range of heights	2	.45	20
		Standard deviation of ratio of vegetation returns to ground returns	3	.48	20
		Range of percent of vegetation 0 < & <= 1 m high	4	.48	19
		Mean of percent of vegetation 0 < & <= 1 m high	<b>5</b>	<b>.49</b>	<b>19</b>
Forb	5	Minimum of 50th percentile heights	1	.47	6
		Standard deviation of minimum heights	2	.48	6
		Maximum of 50th percentile heights	3	.51	6
		Mean of canopy relief ratio	<b>4</b>	<b>.52</b>	<b>6</b>
		Mean of 50th percentile heights	5	.51	6
Perennial grass	10	Maximum of 50th percentile heights	1	.19	14
		Minimum of coefficient of variation of heights	2	.27	13
		Maximum of 90th percentile heights	3	.32	13
		Minimum of kurtosis of heights	4	.33	13
		Maximum of interquartile range of heights	<b>5</b>	<b>.36</b>	<b>12</b>
Shrub	10	Maximum of 50th percentile heights	1	.66	8
		Standard deviation of 90th percentile heights	2	.72	7
		Mean of 50th percentile heights	3	.76	7
		Range of skewness of heights	4	.76	7
		Minimum of 50th percentile heights	<b>5</b>	<b>.77</b>	<b>7</b>

322

323 **Table 4.** Predictions of biomass for herbaceous and shrub classes using the optimal pixel size to calculate  
 324 point statistics, as generated by the first 5 predictor sets yielded by forward stepwise selection.  
 325 Predictors are listed in the order they were added to the predictor set, and resultant models' predictive  
 326 strength and root mean square error (RMSE, in grams) are also listed. Bolded is the model explaining the  
 327 most variance and with the lowest RMSE. Both herbaceous and shrub biomass were best predicted  
 328 using the first four predictors. Additional results on the remaining pixel sizes are presented in  
 329 Supplementary Material.

330

Vegetation	Pixel size	Predictors	N	R <sup>2</sup>	RMSE
Herbaceous	5	Mean of 50th percentile heights	1	.47	115
		Minimum of mean of heights	2	.57	104
		Mean of count of vegetation returns	3	.60	100
		Minimum of 50th percentile heights	<b>4</b>	<b>.61</b>	<b>99</b>
		Maximum of 50th percentile heights	5	.60	99
Shrub	10	Mean of range of heights	1	.58	209
		Mean of absolute deviation from mean heights	2	.68	183
		Mean of standard deviation of heights	3	.67	185
		Minimum of coefficient of variation of heights	<b>4</b>	<b>.71</b>	<b>175</b>
		Mean of count of returns	5	.69	178

331

### 332 **3.3 Estimates Without Individual Plant Classification**

333 The class-wise characteristics of vegetation functional groups were predicted without explicit  
 334 classification and delineation of individual plants or vegetation classes. However, our workflow using  
 335 pixel statistics to extract information from point clouds yielded models with lower fit to ground truth  
 336 measurements than those developed using per-plant measures such as crown area or volume (e.g.  
 337 Vierling et al. 2013, Olsoy et al. 2014a,b, and Greaves et al. 2015). We are unaware of any studies that  
 338 have attempted to sample large plots (1-ha) in dense shrubland using common oblique scanning from a  
 339 tripod, and the literature may not represent the difficulty of classifying and delineating small and  
 340 closely-spaced plants in point clouds where occlusion is pervasive. Automated classification approaches,

341 such as spatial wavelet analysis and eigenvalue separation, have not been demonstrated across point  
342 clouds where occlusion is common and the sampled vegetation is small and spatially mixed, as is the  
343 common case in TLS collections of desert shrublands. Modeling vegetation characteristics on a per-area,  
344 rather than per-plant basis, is especially valuable when complementary manual sampling considers all of  
345 the vegetation within (and overhanging) a quadrat, and none of the vegetation extending outside of the  
346 quadrat.

347         There are some disadvantages to avoiding explicit classification in a TLS-based vegetation  
348 inventory. The strongest predictive relationships between plant structural indices and traits such as  
349 biomass would be expected when a single, complete plant is considered. By contrast, our approach  
350 aggregates structural information from predefined grids across 1-m<sup>2</sup> quadrats. This results in  
351 measurements that combine information from all plants and plant classes in a quadrat and excludes  
352 portions of plants which extend beyond the quadrat's edge. Aggregating structural data from  
353 unclassified plants risks confusing a decision tree when different vegetation compositions of quadrats  
354 exhibit similar signals (e.g. the aggregated measurements of points representing several tall and narrow  
355 bunchgrasses might resemble the measurements of a single tall and stout shrub). We expect the high  
356 RMSE of the shrub biomass predictions were partly caused by these challenges. In fairness, we would  
357 expect some misidentification of vegetation to occur in any TLS-based workflow due to structural  
358 similarity of certain species in different functional groups (e.g. tall forbs, such as tumble mustards and  
359 thistles, resemble shrubs and smaller perennial grasses resemble annual grasses).

360

### 361 **3.4 Field Considerations**

362         Our five-position TLS sampling protocol often provided redundant coverage at excess resolution,  
363 but occlusion was still a challenge in plots with high shrub cover. In some cases, TLS sampling of  
364 vegetation shorter than the top canopies of shrubs was sparse across most of the plot. Nonetheless, we

365 discarded only 2% of quadrats due to a low number of TLS returns. Partial occlusion was common in the  
366 remaining quadrats. Measuring with gridded presence/absence windows, average quadrat sampling  
367 coverage of pixels with any number of points in them was 59% (std = 24%) using a 5-cm grid, 80%  
368 (std=19%) using a 10-cm grid, or 92% (std =16%) using a 20-cm grid. That we succeeded in developing  
369 strong models despite occlusion shows that our methods function well using practical TLS field  
370 collections.

371         Sampling density (returns per m<sup>2</sup>) varied widely, depending on occlusion and position relative to  
372 the scan position layout. We calculated statistics about the counts of TLS returns per quadrat by  
373 quadrat position (center, middle-edge, corner), and the counts of returns in every 1-m<sup>2</sup> grid cell across  
374 plots (which we stratified by grass and shrub-dominated plots). In addition to statistics about return  
375 counts, we calculated the percentage of quadrats or 1-m<sup>2</sup> grid cells which did not meet the 150 return  
376 minimum threshold for modeling. We found that sites adjacent to scan positions (e.g. center quadrats)  
377 were commonly sampled with thousands more returns than sites that were further away. The  
378 distribution of sampling densities of the total population of 1-m<sup>2</sup> quadrats closely resembles that of the  
379 total population of 1-m<sup>2</sup> grid cells, indicating that our quadrat placement protocol was adequate to  
380 represent sampling variability throughout plots. Additionally, only 4% of 1-m<sup>2</sup> grid cells were below the  
381 150 point minimum threshold. Taken together, these results confirm that our models can be applied  
382 with the reported strength nearly continuously across 1-ha plots (Table 5).

383  
384 **Table 5.** For center (n=1 quadrat x 26 plots), middle-edge (n=4 x 26), and corner (n=4 x 26) quadrat  
385 positions, and across all 1-m<sup>2</sup> grid cells in grass (n=10,000 grid cells x 13 plots) and shrub-dominated  
386 plots (n=10,000 x 13), we report statistics about the counts of TLS returns and the percentage of  
387 quadrats or grid cells below the 150 return minimum threshold. We report the same statistics for all  
388 quadrats (n=9 quadrats x 26 plots) and all 1-m<sup>2</sup> grid cells (n=10,000 grid cells x 26 plots). Refer to Figures



389 3 and 4 for quadrat layout.

Region type	Min	25 <sup>th</sup>	Median	75 <sup>th</sup>	Max	Mean	< 150 returns
Center quadrats	1,474	5,708	8,245	12,600	34,770	10,260	0%
Middle-edge quadrats	2	805	1,504	2,782	12,370	1,976	2.9%
Corner quadrats	22	514	930	1,482	6,730	1,213	1.9%
All quadrats	2	666	1,268	2,731	34,770	2,558	2.1%
1-m <sup>2</sup> grid cells in grass plots	0	683	1,216	2,402	70,110	2,534	1.4%
1-m <sup>2</sup> grid cells in shrub plots	0	581	1,312	3,011	103,000	2,936	6.6%
1-m <sup>2</sup> grid cells in all plots	0	639	1,257	2,679	103,000	2,730	4.0%

390

391 The greatest source of occlusion in the TLS sampling was dense shrub canopies, which in the  
 392 highest shrub cover plots blocked sampling of almost half of 5-cm gridded windows within the hectare  
 393 area. On average, the 5 quadrats discarded due to occlusion had relatively high shrub cover (21%),  
 394 average bare earth/litter cover (41%), and low annual grass cover (5%), reflecting the general  
 395 composition of the shrub-dominated plots in which they occurred. That these quadrats contained  
 396 substantial amounts of both the most and least physically prominent vegetation cover classes (shrub  
 397 and bare earth/litter) supports our field observation that instances of near-total occlusion within  
 398 quadrats is mainly a consequence of surrounding vegetation, and not low-lying or impenetrable  
 399 vegetation within quadrats themselves.

400 While the algorithm we used for ground classification has been widely tested in similar  
 401 shrubland environments (e.g. Glenn et al., 2011, Mitchell et al., 2011, Streutker and Glenn, 2006), error  
 402 due to occlusion and confusion of plants and the ground surface may have resulted in the low R<sup>2</sup> of the  
 403 model predicting coverage of bare earth/litter. Imperfect ground classification and surface modeling will  
 404 also result in errors in point cloud measurements of height (e.g. Ashcroft et al. 2014, Fan et al. 2014).  
 405 Better sampling coverage of 1-ha plots with densely spaced shrubs could be achieved by scanning from  
 406 more than 5 positions, moving positions from the plot edge inward, or by further elevating the TLS.  
 407 Although classification errors were a possibility, and we discarded a single quadrat due to a ground  
 408 filtering issue, classifying vegetation and ground was not a major operational challenge in this workflow.

409           As a result of pairing this pilot study with a pre-existing campaign to measure and harvest  
410 vegetation, spatial matching of point clouds to areas sampled manually was imperfect, potentially  
411 yielding imprecise compositional measurements if the quadrat vegetation is not representative of its  
412 surroundings. The area considered in photograph samples and canopy cover inventory (1.5 m<sup>2</sup>) was  
413 larger than the 1-m<sup>2</sup> quadrats considered in the TLS data. We were not able to adjust the area  
414 considered in TLS point clouds to match the extent of photos due to inconsistent photo orientation  
415 (allowing field technicians to work around their environment).

416           Small discrepancies in quadrat placement within TLS point clouds (marked with field flags in  
417 scans and on the ground) versus the actual manual sampling locations may have introduced some  
418 erroneous biomass values to our dataset, especially where a relatively large amount of a quadrat's  
419 vegetation has been wrongly included or excluded. Although growth and decomposition of vegetation is  
420 slow in our field area, a typical delay of up to two weeks between TLS and manual sampling could also  
421 allow for compositional changes (e.g. trampling, grazing, or senescent plants or litter blowing in or out of  
422 the plot) in quadrats between collections. The method of harvesting only a representative portion of  
423 large shrubs likely caused some imprecision in shrub biomass measurements. Ideally, future studies  
424 would conduct TLS and vegetation sampling at the same time using the same field team.

425           The TLS methodology presented here allows for repeat scanning to monitor changes in  
426 vegetation structure on a per-area basis. Once predictive models have been trained to satisfactory  
427 strength for a study area, the need for further carefully-coordinated manual sampling is eliminated.

428

### 429 **3.5 Future Studies**

430           Future studies might also enhance implicit vegetation classification within RF models by  
431 calculating additional pixel statistics of high-resolution spectral imagery gathered from airborne or  
432 spaceborne platforms. A single band spectral dataset may also be collected by normalizing the intensity

433 of TLS pulse returns to range effects (e.g. Nield et al. 2014, Zhu et al. 2015), but the complex model  
434 required to resolve intensity effects of vegetation size, angle, and spectral reflectance, atmospheric  
435 conditions, and beam divergence in sagebrush steppe vegetation has not been demonstrated. Structure-  
436 from-motion (SfM) derived point clouds from optical imagery of similar precision and density to those  
437 used in this study have recently been published (Cooper et al., 2017, Wallace et al., 2017, Olsoy et al., in  
438 review). The methods developed herein could be applied to such data with the potential benefits of  
439 fewer areas of occlusion with a (near) nadir sampling platform. One should consider that the understory  
440 of shrub-dominated plots or other high biomass vegetation near the ground surface may be under-  
441 sampled with the use of optical imagery to generate the point clouds (e.g. Wallace et al., 2017).  
442 Regardless of platform, measures of occlusion could potentially be used as an inverse measure of  
443 vegetation presence or absence across a large plot, with careful consideration of beam divergence with  
444 scan range and use of visibility models (e.g. Lin and West, 2016, Murgoitio et al. 2014, Zhao et al. 2012).  
445 Future studies should consider the minimum number of field measurements needed for a statistically  
446 robust relationship between field data and point cloud statistics.

447         We would expect future applications of our approach to remove some of the sources of error  
448 we listed, allowing even stronger models to be developed. Despite some preventable challenges, our  
449 workflow produced models of strength, demonstrating the capability to use a TLS/machine learning  
450 approach to extend localized manual vegetation sampling in sagebrush steppe habitats to much larger  
451 plots. In sum, our methods are automatable, applicable to a broad range of mixed and short-stature  
452 vegetation communities, yield models which are continuous, and provide analysis of “messy” clouds  
453 where occlusion is common, plants are small, and vegetation classes are mixed.

454

#### 455 **4. Conclusions**

456         This study illustrates an efficient and effective method to relate TLS point clouds with ground-

457 truthing data for prediction of cover and biomass of shrubs and grasses at 1-m<sup>2</sup> scale across large plots.  
458 Our method of TLS sampling was time efficient and the workflows to calculate predictors from point  
459 clouds and generate models can be largely automated. Once generated, a model can be applied to a 1-  
460 m<sup>2</sup> grid across the whole plot. A significant strength of our method of calculating TLS predictor variables  
461 is that it does not require explicit classification and delineation of vegetation groups being studied—a  
462 challenging and time consuming task which may be impossible when vegetation is dense and vegetation  
463 classes are spatially mixed. Although our workflow is highly transferrable to point clouds derived from  
464 SfM and to similar ecosystems outside of our study area, new models will need to be trained based on  
465 data collection methods, specific ecosystem conditions, and considerations of timing due to phenology.  
466 Our methods supply a convincing demonstration of the ability of machine learning to exploit the  
467 richness of point clouds, generating models of shrub-steppe biomass and cover which are accurate,  
468 efficient to develop, and easy to extrapolate as continuous rasters across large plots.

469         There are urgent needs for quick and accurate vegetation measurements that provide ecological  
470 and management indicators in the highly imperiled sagebrush steppe and in other dryland ecosystems.  
471 Our method of vegetation inventory across large plots has immediate applicability to numerous research  
472 and management needs which presently rely on localized manual measurements, including ecological  
473 productivity and status, evaluation of wildlife habitat, evaluation of landscape management practices,  
474 and fuel load surveys for wildfire risk. TLS-based models of vegetation characteristics may also serve as a  
475 stepping stone to train broader-scale datasets collected from air or space (e.g. Li et al. 2015, Greaves et  
476 al. 2017). The spatially explicit, realistic, high-resolution vegetation information across large plots may  
477 also be an invaluable data source for landscape simulations, such as wildlife habitat use, wildfire  
478 behavior, or erosion processes.

479

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489

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