## **Replies to Reviewers**

We thank all the reviewers for their comments. We have also attached the untracked version of the manuscript at the end with all the changes.

### **Reply To Reviewer 1**

We thank the Reviewer for the helpful comments and suggestions. The Reviewer's comments are in black. Our replies are in blue.

Snow Water Equivalent (SWE) is a key parameter in hydrological, climatological and meteorological applications. New efforts for spaceborne radar-based SWE retrieval algorithms are under development and this paper shows the capability of such retrievals using snow-physical model driven by meteo data, radiative transfer and Bayesian inference. This paper focuses on the SWE retrieval framework leveraging previous work. The paper shows the readiness and capabilities of combining existing models and products to produce a SWE retrieval for RADAR data. The paper is well constructed and provides great results for SWE retrievals using Ku band radar. The method is repeatable elsewhere and estimating the background with X-band is clever.

#### Thank you.

Refining and thinning the results section would help clarify the take home message. Most of the figures are almost duplicates and I'm not sure I see the benefit in most cases. Or it is not well explained in the text. I have specific comments throughout the paper.

We made a conscientious effort to eliminate duplicates in the main paper and revised the manuscript for clarity.

#### Specific comments:

Line 73-75 : This is a key sentence in setting the objective but it's complicated to understand. I suggest reformulating.

Line 73 is Line 80 in the revised manuscript: Sentence was revised and references were added.

Line 76: Do you need all the verb? I feel like *propose* and *evaluate* were enough. Previous studies already implemented and demonstrated.

Line 76 is Line 83 in the revised manuscript: Revised.

Line 83: temporal variability relates to temporal resolution of the orbit or revisit time of the satellite. I suggest removing or adding high temporal resolution higher.

Line 83 is Line 89 in the revised manuscript: Removed the temporal reference as suggested.

Line 86 : "a coupled multi-layer snow hydrology model"? add model

Line 86 is Line 92 in the revised manuscript: Revised.

Line 127 and line 130: Should it be y not x for the retrieved variable?

Line 127 is Line 133 in the revised manuscript: Point well taken. Section 2.2 was carefully edited for clarity. We start with general indirect measurements D to pose the general problem, and then for a specific instrument we replace D by y.  $\eta$  includes the geophysical variables x as well as the model parameters.

Line 148 and Line 150: do we maximize P(n|y) or P(y|n)?

Line 148 is Line 154 in the revised manuscript: To maximize  $P(\eta|y)$  we need to maximize  $P(y|\eta)$  since P  $(\eta)$  is a prior probability. This should be clearer after the editing.

Line 164 : I suggest a bit more detail in the paragraph. Is y the snow depth, SWE or backscatter? Did you use the likelihood ratio to iterate in the MCMC like Pan et al?

Line 164 is Line 167 in the revised manuscript: Yes. This was added to the text.

Line 246. Wrong figure number. Should be 6.

Line 246 is Line 272 in the revised manuscript: Yes. Thank you. This was corrected.

Figure 5 : Is this the layer index? What does 15 layers mean? Top or bottom? Height or normalized height would be better. Put density on the x-axis.

Figure 5 is Figure 6 in the revised manuscript: The layering scheme in MSHM is from bottom to top following the evolution of the snowpack during the accumulation. The higher index layer is the top layer; the bottom layer is always the first layer.

We switched the axis in Figure 5 to have density in the x-axis which is a more intuitive way to visualize the density profile of the snowpack as suggested by the Reviewer. The figure caption was also improved for clarity and detail.

Line 267: Why this value? Can you explain more this parameter. "This is an empirical factor that …" Line 267 is Line 292 in the revised manuscript: Revised as suggested.

Line 271: replace microphysics for microstructure.

Line 271 is Line 297 in the revised manuscript: Revised as suggested.

Line 272: add the symbol  $(l_{ex})$  that represent the correlation length in MEMLS.

Line 272 is Line 299 in the revised manuscript: Revised as suggested.

Table 2: Relates to the previous comment. Why use D?. D is the equivalent grain size used in DMRT. Replace D for  $l_{ex}$ .

There was a notation confusion between the snow grainsize and correlation length. This is fixed now.

Line 298: "for each layers"

Line 298 is Line 335 in the revised manuscript: Revised as suggested.

Figure 6: The figure could be clearer. Later you refer to steps, but no steps are indicated in the figure. Pretty hard to understand even if you know Bayesian SWE retrieval. This could improve the understanding of the reader.

Figure 6, now Figure 5, was completely revised with each step identified. We hope the workflow is clearer now.

Line 317: It is not clear how the background is estimated. Maybe Specified that the volume is modelled from MSHM in the text not just in figure 6. Then explain why only using X band. It might not be obvious to someone not familiar with the fact that X band is more sensitive to the background than Ku.

Done. This is now in Line 316. We added a reference to justify the choice of HH-pol and revised the sentence. As pointed out in Section 3, SnowSAR Ku HH-pol measurements are not reliable.

Line 358 : "toweak" change "to a weak"

Line 358 is Line 387 in the revised manuscript: Revised as suggested.

Figure 8 : I don't' see the point of having 4 columns in the figure and then another figure for Ku. Can your aggregate heatmap for all dates and have x and ku in the same figure? They all look the same. I think we get the idea that the backscatter converges to the observed.

We understand the Reviewer's point. Each heatmap synthesizes independent retrievals over different flight paths and thus for different viewing geometries. Because of the importance of showing the robustness of the algorithm, we prefer to keep the results. We did revise the figure to make it easier to read and less crowded. We hope this is acceptable.

Line 471: remove in after between.

Line 471 is Line 493 in the revised manuscript: Revised as suggested.

Line 475: add a coma after "In all cases".

Line 475 is Line 498 in the revised manuscript: Revised as suggested.

Table 6: change title to "Same as Table 5 but for resolution = 90 m".

Done. Tabel was moved to Appendix as Table A1.

Line 529 - 530: Can you add the mean values stated here in the table as the last row?

Line 529 is Line 521 in the revised manuscript: Revised as suggested.

Table 5, 6, 7 and 9: Any benefit in having the same table but with different resolutions? We get the idea in Table 4 regarding the resolution. Just make the point you want and move on. There is no point in having both figure 12 and 13. Just show one. I don't see any big conclusion regarding the resolution so there is no point in adding extra figures and tables.

The Reviewer's point is well taken. Figures and Tables for 90 m resolution were moved to Appendix.

Thank you.

#### **Reply To Reviewer 2**

We thank the Reviewer for the helpful comments and suggestions. The Reviewer's comments are in black. Our replies are in blue.

#### General Comments

The authors of this manuscript use a Bayesian physical-statistical model to retrieve snow depth using data that was acquired during SnowEx'17, including pit data, ASO lidar acquisitions and the X- and Ku-band SnowSAR data. The methods presented by the authors are clearly defined, with encouraging results with error ranges of about 20cm SWE. The paper is methodologically and analytically sound, but does lack context of why certain methods are being employed, and the representation of results in figures need to be improved. For instance, in the Introduction it was overall well written to describe the need for remote sensing of snow and how SnowEx'17 is an attempt to address this concern.

The Reviewer's comment is well taken. The writing is revised for clarity and detail in Lines 71-81 of the Introduction.

The paper is very detailed in its methods of preparing the data for the model, and the modeling itself. What I think is lacking here is the reason that you are completing some of these steps. For instance, in section 4.1.1. you discuss in detail how you divide the snowpack with multiple layers into a snowpack with 1 or 2 layers, but never state why a 2 layer pack would be useful (that snowpack generally has a wind slab and depth hoar layer). The justification for many of the steps in this paper need to have a bit better context provided.

Thank you. We revised the writing to address these points. In particular, Section 4.1, Lines 250-272 explicitly address the points raised by the Reviewer.

Overall the paper is of publication quality in terms of its research, but the presentation could be improved, with my general and specific comments provided here.

#### Thank you.

Section 2. Previous Work

Line 55: "Time-series observations are available presently from tower measurements, albeit at the point scale of the tower footprint". I think I know what study/setup you're referring to here, but you have not referenced the papers that have been published based on them. Also, a sentence that states why you are not using a tower approach in this work would be useful.

Line 55 is Line 57 in the revised manuscript: We added a reference, and a sentence for context reading the joint space-time variability of snowpacks.

Line 86: "demonstrated the utility of a couple multi-layer snow hydrology coupled with a.." – do you mean "snow hydrology model coupled..."?

Line 86 is now Line 91: Revised as suggested.

Line 133-134: "the second is the prior of the backscatter... the prior of the snowpack physical..." this sentence is a little unclear, please revise.

Lines 133 -134 are Lines 139-141 in the revised manuscript: Revised.

Line 144: "assuming that we have good understanding" grammar issue here "assuming that we have a good understanding".

Line 144 is Line 150 in the revised manuscript: Done.

Table 1: I may have missed it, but why are all the datasets being upscaled to 90m? I also noticed this discussed in lines 175-176, but there was no justification as to why – please include.

A justification was added in Section 4.1, lines 259-268 and referred to in Lines 184-185.

Line 299: "from the multilayer snowpack simulated by MSHM as for the single layer case" I'm not sure what you are trying to say here.

Line 299 is Line 336 in the revised manuscript: Removed redundant "as for the single layer case".

Line 366: "restructing the" – restricting the

Line 366 is Line 396 in the revised manuscript: Revised.

Figure 7 – None of the panels have a letter denoting which panel they are. The panels with the red box should be made into a new figure that zooms into the distribution of values within the red box – there are discussions in the Results section of what's happening here, but it is difficult for the reader to confirm what the text is saying graphically because it is far too small.

Figure 7 was revised to improve readability. A zoom of the red box region alone is now provided.

Figure 8, 9, 10, 11 also has no panel labels.

Added and reformatted.

Line 433: "Fig. A7" – where is A7?

Line 433 is Line 467 in the revised manuscript: Figure A7 is in Appendix following journal guidelines. We added an explanation in lines 400-402.

Line 445: "Fig A8" – where is A8 ? Be specific when referring to the appendix.

Line 445 is Line 468 in the revised manuscript: We are following journal guidelines indicating that figures starting by A indicate Appendix.

Line 477: "Fig A11" – where?

See above.

Line 534: "including water, forest (4500) and proximity" – what does 4500 refer to?

Line 534 is Line 517 in the revised manuscript: Revised. 4500 is the reference number of the pit at the bottom of Tables 6 and A2.

Table 7: There is a note in the caption that "shaded rows correspond to large local MARE" – however there are no shaded rows in the table.

Table 7 is Table 6: It should be italicized. Corrected.

Thank you.

#### **Reply to Editor's Comments:**

We thank the Editor for the helpful comments and suggestions. The Reviewer's comments are in black. Our replies are in blue.

Your reference list includes works "in review". Such works can be cited upon submission if being available to the reviewers. They should not be cited in the final, accepted manuscript, unless published, accepted for publication, or available as preprint with a DOI. Checking your paper, I noticed that your table 4 contains coloured cells. Please note that this will not be possible in the final revised version of the paper due to HTML conversion of the paper. When revising the final version, you can use footnotes or italic/bold font. For now, the process will continue, but please note that the final version cannot be published by using coloured tables.

Response: We have updated the reference and added the doi for the preprint. Additionally we have updated the table and removed the shaded areas.

# BAYESIAN PHYSICAL-STATISTICAL RETRIEVAL OF SWE AND SNOW DEPTH FROM X AND KU-BAND SAR - DEMONSTRATION USING AIRBORNE SNOWSAR IN SNOWEX'17

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# 10 Abstract

A physical-statistical framework to estimate Snow Water Equivalent (SWE) and snow depth from 11 SAR measurements is presented and applied to four SnowSAR flight-line data sets collected 12 during the SnowEx'2017 field campaign in Grand Mesa, Colorado, USA. The physical (radar) 13 model is used to describe the relationship between snowpack conditions and volume backscatter. 14 The statistical model is a Bayesian inference model that seeks to estimate the joint probability 15 distribution of volume backscatter measurements, snow density and snow depth, and physical 16 model parameters. Prior distributions are derived from multilayer snow hydrology predictions 17 18 driven by downscaled numerical weather prediction (NWP) forecasts. To reduce noise to signal ratio, SnowSAR measurements at 1 m resolution were upscaled by simple averaging to 30 and 90 19 20 m resolution. To reduce the number of physical parameters, the multilayer snowpack is transformed for Bayesian inference into an equivalent single- or two-layer snowpack with the same 21 22 snow mass and volume backscatter. Successful retrievals meeting NASEM (2018) science 23 requirements are defined by absolute convergence backscatter errors  $\leq 1.2$  dB and local SnowSAR 24 incidence angles between 30° and 45° for X- and Ku-band VV-pol backscatter measurements and were achieved for 75% to 87% for all grassland pixels with SWE up to 0.7m and snow depth up 25 26 to 2 m. SWE retrievals compare well with snow pit observations showing strong skill in deep snow with average absolute SWE residuals of 5-7% (15-18%) for the two-layer (single-layer) retrieval 27 28 algorithm. Furthermore, the spatial distributions of snow depth retrievals vis-à-vis LIDAR 29 estimates have Bhattacharya Coefficients above 94% (90%) for homogeneous grassland pixels at 30 m (90 m resolution), and values up to 76% in mixed forest and grassland areas indicating that 30 the retrievals closely capture snowpack spatial variability. Because NWP forecasts are available 31 32 everywhere, the proposed approach could be applied to SWE and snow depth retrievals from a dedicated global snow mission. 33

## 35 1. Introduction

The seasonal snowpack plays a critical role in climate and weather variability due to its role in the 36 surface energy budget on account of its high albedo, and in the surface water budget as temporary 37 38 storage of frozen precipitation in the cold season until it melts in the warm season and becomes available as runoff. The water stored in the snowpack is measured by the Snow Water Equivalent 39 40 (SWE), the depth of liquid water per unit area that would be released if the snowpack were to melt completely. It is the product of the specific gravity of snow with respect to water ( $\rho_{snow}/\rho_w$ ) and 41 42 the depth of the snowpack (SD). To map SWE in the cold season is to map snow water resources. 43 To map onset of melt and snow wetness is to map the timing and geography of snow water resources availability. Climate variability and change with increasing air temperature, shifts in 44 45 atmospheric moisture convergence patterns, and increases in the frequency of extreme events is already causing significant changes in frequency and patterns and timing of seasonal snow 46 accumulation and melt with severe implications for water and food security in addition to 47 cascading economic and ecosystem impacts (Huang and Swain, 2022; Musselman et al., 2021; 48 Sturm et al., 2010). 49

50 The need to capture snowpack heterogeneity and dynamics tied to weather, climate, landcover and landform variability remains a chief challenge to developing a snow observing system at the spatial 51 and temporal scales required to answer water cycle science questions and for societal decision-52 making. The potential for systematic snowpack monitoring in remote regions has long been 53 54 investigated, including the integration of remote sensing measurements and physical models (e.g. 55 (Martinec et al. 1991; Mote et al. 2003; Bateni et al. 2015; Li et al. 2017; Kim et al. 2019; Cao and Barros, 2023a). Assimilation of radiance or backscatter is most powerful with a time series of 56 57 observations. Time-series observations are available presently from tower measurements, albeit at the point scale of the tower footprint (see summary by Tsang et al. 2022), and do not capture 58 the large joint spatial and temporal variability of snowpacks from local to regional scales 59 depending on weather and climate, landform, land use and landcover. Frequent spatial 60 observations are required for this purpose. Airborne observations can be used for mapping but 61 typically occur once or twice during a winter season and over limited areas. A dedicated satellite 62 mission is necessary to acquire time-series of measurements globally. 63

Presently, advances in radar technology and retrieval algorithms (Tsang et al., 2022), and 64 especially the demonstrated capabilities of NewSpace satellite missions (Villano et al. 2020) make 65 high spatial resolution of Synthetic Aperture Radar (SAR; 10's m) Earth observations from space 66 feasible in contrast to the challenges faced in the past (Rott et al. 2012). During the SnowEx'17 67 field campaign (Kim et al., 2017), a comprehensive data set consisting of airborne dual-frequency 68 SAR (X- and Ku-band Synthetic Aperture Radar) backscatter measurements using the SnowSAR 69 70 instrument (Macedo et al. 2020), the Airborne Snow Observatory (ASO, Painter et al. 2018) and a plethora of high-quality ground-validation measurements of snowpack properties and ancillary 71 72 data (Table 1) offer an unprecedented opportunity to investigate the full potential of SAR toward developing the next generation of retrieval algorithms. 73

74 Due to the highly nonlinear snow physics and the time-varying stratigraphy of snowpacks, 75 radiance or backscatter measurements depend on the vertical structure of snowpack physical 76 properties such as snow density, snow temperature, and snow grain size in addition to SWE and snow depth. Because the number of observations is smaller than the number of parameters required
to solve the inverse-problem, retrieval of SWE and snow depth is an underdetermined estimation

79 problem. This challenge can be addressed using a physical-statistical approach for retrieval.

80 Physical-statistical approaches combine physical process models with a Bayesian statistical

81 framework to inform how geophysical states and parameters relate to measurements by obeying

fundamental physical constraints (Berliner, 2003; Lowman and Barros, 2014). In this manuscript,

- 83 we propose, and evaluate a general physical-statistical framework to retrieve SWE from SnowSAR
- 84 measurements across a heterogeneous landscape during SnowEx'17.
- 85

# 86 **2. Previous Work**

# 87 2.1 Forward Simulation - From SWE to Backscatter

The advantage of SAR technology is the high-spatial resolution of its measurements, which is 88 necessary to capture the spatial heterogeneity of snowpack physical processes (e.g. Deems et al. 89 90 2016; Mendoza et al., 2020; Manickam and Barros, 2020) as demonstrated in forward simulations. Cao and Barros (2020, 2023a; hereafter CB20 and CB23) demonstrated the utility of a multi-layer 91 snow hydrology (MSHM) coupled with a radiative transfer model (RTM) forced by high-92 resolution operational numerical weather prediction (NWP) model forecasts to capture the 93 seasonal hysteresis behavior of the seasonal snowpack at Grand Mesa and Senator Beck in 94 Colorado against Sentinel-1 C-band measurements. 95

The MSHM is a physically driven snow hydrology model that simulates the evolution of snowpack 96 physical properties including detailed stratigraphy (Kang and Barros, 2012a-b; CB20). During 97 snowfall events, fresh snow is added to the top layer of the snowpack until a threshold 98 accumulation is met, and a new layer forms. The RTM used here is MEMLS3a (Microwave 99 Emission Model of Layered Snowpacks adapted to include backscattering by Proksch et al., 2015). 100 MEMLS is a physically driven radiative transfer model which takes snowpack characteristics as 101 102 inputs and simulates its microwave emission for a frequency band with four polarizations - HH, VV, HV and VH (originally proposed by Wiesmann and Mätzler, 1999). To estimate total 103 scattering, ground backscatter  $\sigma_{bkg}$  must be modeled as well, as described below. 104

Figure 1 illustrates the various backscatter mechanisms contributing to total backscatter ( $\sigma_{total}$ ) in 105 active microwave measurements represented in MEMLS3&a, the RTM: volume backscatter ( $\sigma_{vol}$ ) 106 107 from the multiple interactions of the incoming radar signal within the snowpack, the backscatter at the snowpack-air interface ( $\sigma_{surf}$ ) and at the snowpack-ground interface including interactions 108 with submerged vegetation and litter ( $\sigma_{bkg}$ ). In forested areas, additional backscatter mechanisms 109 are associated with the multiple bounce pathways among tree canopy, intercepted snow, tree 110 trunks, and snowpack. Depending on viewing geometry (flight path and incidence angle),  $\sigma_{total}$ 111 measurements from areas without trees in regions of mixed landcover can include significant 112 113 contribution from trees along the grassland-forest transitions.



**Figure 1:** Scattering mechanisms for grassland submerged by snow and snowpack over bare soil or rock: (1) Volume Backscatter  $\sigma_{vol}$ ; (2) surface backscatter  $\sigma_{surf}$ ; (3) background backscatter at the snow-ground interface  $\sigma_{bkg}$ ; (4) snowpack-ground-canopy-tree trunk interactions at forested boundaries. Red arrows (1), (2) and (3) are resolved in the retrieval applications demonstrated here.

119

CB23 used the coupled MSHM-MEMLS in forward mode to predict Sentinel-1 C-band volume 120 backscatter  $\sigma_{vol}$  without calibration or nudging of ground observations without bias and within  $\pm$ 121 2.5 dB at 90 m resolution across terrain slopes in the [10°-52°] range for barren land, alpine grass 122 and shrubs and in forested areas with snow-free canopy at the beginning of spring in the Senator 123 Beck Basin in Colorado. They estimated  $\sigma_{bkg}$  as the average of Sentinel-1 measurements for 124 snow-free conditions. Cao and Barros (2023b) modified MEMLS3&a to include double-bounce 125 effects among snowpack and vegetation (MEMLS-V) and retrieved  $\sigma_{bkg}$  from total backscatter 126  $\sigma_{total}$  measurements in mixed landcover using simulated annealing. Their estimates are consistent 127 with CB23, suggesting potential to simplify the inverse-problem of estimating snowpack physical 128 129 properties from total backscatter measurements in mixed landcover and further simplify the

130 physical-statistical retrieval framework proposed here, although further evaluation is necessary.

131

#### 132 2.2 Physical-Statistical Retrieval

For retrieval in a Bayesian framework, the probability of the retrieved geophysical variable *x* (the inferred posterior distribution) is conditional on the *a priori* knowledge of the variable *x* (the prior distribution), indirect measurements D, and a physical model  $M(\eta)$  (e.g., the snow radiative transfer algorithm in this case ) with physical parameters  $\eta$  (including *x*) and statistical error parameters  $\zeta$ . The joint probability distribution of *M*, *D*,  $\eta$ , and  $\zeta$  can be written as:

138 
$$P(M, D, \eta, \zeta) = P(D|M, \eta, \zeta) \times P(M|\eta, \zeta) \times P(\eta, \zeta)$$
(1)

The first term to the right-hand side of Eq. (1) is the backscatter data model, the second term is the prior of the backscatter, and the third term is the prior of the snowpack physical parameters (including snow depth and snow density, etc) with statistical error parameters. Assuming the

142 measurements do not depend on the physical parameters, the model does not depend on the 143 statistical error parameters, and that the physical parameters and the statistical parameters are 144 independent, Eq. (1) can be revised to read

145 
$$P(M, D, \eta, \zeta) = P(D|M, \eta) \times P(M|\eta) \times P(\eta) \times P(\zeta)$$
(2)

And finally in the context of specific measurements y with known uncertainty described by P(y)

- 147
- 148

149 
$$P(M,\eta,\zeta|y) = P(y|M,\eta) \times P(M|\eta) \times \frac{P(\eta) \times P(\zeta)}{P(y)}$$
(3)

The physical model M and P(y) are invariant and assuming that we have a good understanding of the statistical errors, then Eq. (3) can be further simplified as follows

152 
$$P(\eta|y) \propto P(y|\eta) \times P(\eta)$$
(4)

153

In the context of Bayesian inference the goal is to maximize  $P(\eta|y)$ , the posterior probability of physical parameters conditional on measurements informed by the a priori parameter probabilities  $P(\eta)$ . This implies maximizing the second term in Eq.(4), the posterior of the backscatter conditional on physical parameters  $\eta$ , implies minimizing the difference between measurements ywith known error covariance matrix  $\Sigma_y$  and model predictions  $M(\eta)$ . For multiple concurrent measurements,  $P(y|\eta)$  can be described by a multivariate normal distribution,

160 
$$P(y|\eta) = (2\pi)^{\left(-\frac{N}{2}\right)} |\Sigma_{y}|^{-\frac{1}{2}} exp\left[-\frac{1}{2}(y - M(\eta))^{T}\Sigma_{y}^{-1}(y - M(\eta))\right]$$
(5)

where N is the number of measurements at a given location and time (e.g. backscatter at differentfrequencies as in Durand and Liu, (2012).

Pan et al. (2023, hereafter P23) adapted a Bayesian retrieval algorithm previously developed to 163 estimate SWE from passive microwave measurements (Pan et al. 2017, hereafter P17) to active 164 microwave, hereafter referred to as Base-AM. The snow radiative transfer algorithm in Base-AM 165 is MEMLS, and the semi-empirical Dobson model is used to estimate the soil dielectric constant 166 as a function of soil moisture and soil texture (Dobson et al. 1985; Hallikainen et al. 1985). A 167 Monte Carlo Markov Chain (MCMC) iterative algorithm (Metropolis et al. 1953) is used to sample 168 from  $P(\eta|y)$  starting from initial values and using the likelihood ratio criteria to achieve 169 convergence. In this work, realistic snowpack predictions from MSHM-MEMLS are used to 170 define the prior distributions of parameters and constrain the Bayesian retrievals: y represents the 171 SnowSAR backscatter measurements and  $\eta$  represents to all model parameters and geophysical 172 173 variables including SWE, SD, snow density.

174

#### 175 **3. Study Area and Data**

#### 176 **3.1 Study Area and Ancillary Data**

The study region is Grand Mesa, Colorado, a plateau that is 2,000 m above adjacent low-lying 177 areas and is surrounded by ridges up to 500m in elevation (as depicted in Fig. 2). Grand Mesa 178 179 has an alpine climate, experiencing snowfall throughout the year except during the months of July and August. Landcover is heterogeneous with grasslands in the west and a mix of evergreen and 180 deciduous forest to the east. Numerous wetlands are widespread across the Mesa, especially in the 181 182 transition from grassland to forest. The land cover data were obtained from the National Land Data Assimilation System (NLDAS). The datasets were upscaled to 90 m using nearest neighbor 183 interpolation to support retrievals at 90 m resolution (see Section 4). NLDAS is used to determine 184 landcover type in the snow hydrology model. NALCMS is used to upscale the evaluation data. 185 Hourly albedo is derived from NLDAS at 12.5 km resolution. A summary of all the datasets used 186 in this study is available in Table 1. 187

188

Data	Source	Spatial Resolution		Temporal Resolution		Date Banga	Relevant Link			
		Initial	Final	Initial	Final	Kange				
Rainfall Temperature Air Pressure Incoming SW radiation Incoming Longwave radiation Wind speed Humidity	HRRR	3 km	30 m, 90 m	l hr	30 min	9/1/2016 - 2/25/2017	<u>https://rapidrefresh.noaa.gov/hrrr/</u>			
Albedo	NLDAS	12.5 km	30 m	1 hr	30 min	9/1/2016- 2/25/2017	https://ldas.gsfc.nasa.gov/			
Backscatter	SnowSAR – SnowEx'17	1 m	30 m, 90 m	-	-	2/21/2017	https://nsidc.org/data/snex17_snowsar/versions/1			
Landcover	NLCD, NALCMS	30 m	30 m, 90 m	-	-	-	https://www.usgs.gov/centers/eros/science/national- land-cover-database http://www.cec.org/north-american-land-change- monitoring-system/			
Snow Depth	LIDAR – SnowEx'17	3 m	30 m, 90 m	-	-	2/25/2017	https://nsidc.org/data/aso_3m_sd/versions/1			
SWE	Snowpit – SnowEx'17	-	-	-	-	2/20/2017- 2/24/2017	https://nsidc.org/data/snex17_snowpits/versions/1			

**Table 1:** Summary list of datasets used in the study.



Figure 2: Study area in Grand Mesa, Colorado. a) Location of Grand Mesa in Colorado, with historical Apr 1 SWE average as
base map. b) Paths of 4 SnowSAR SnowEx'17 flights on 21 Feb 2017, with true color image obtained from Landsat on 03/11/2017
as the base map. c) Land cover of the study region. Forest-1 are needle leaf forests; Forest-2 are broadleaf forests. d) Digital
elevation map of the study region.

#### **3.2 Atmospheric Forcing**

Numerical Weather Prediction (NWP) outputs are used as the atmospheric forcing for the snow
hydrology model and to set up boundary conditions. Previously, CB20 and CB23 relied on HRRR
(High-Resolution Rapid Refresh) hourly forecasts at 3 km and downscaled it to 90 m in Grand
Mesa. Here, the same data set was independently downscaled to 30 m as well. The HRRR dataset
is produced by National Ocean and Atmospheric Agency (NOAA) by hourly assimilation of
observations at 13 km resolution (Benjamin et al., 2016; Table 1). Hourly atmospheric forcing
was linearly interpolated to 30 min temporal resolution used in the snow hydrology model.



**207** Figure 3: Maps of incidence angles along SnowSAR flight paths on February 21, 2017 during SnowEx'17.

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#### 209 3.3 SnowSAR Backscatter

During SnowEx'17, airborne microwave backscatter measurements were made in Grand Mesa on 210 21 Feb 2017 at 1 m resolution (Table 1). The SnowSAR instrument is a dual frequency (X and Ku 211 Band) radar. A total of six flightlines were completed, two short ones on sloped densely forested 212 terrain and four long lines on the plateau. Here, only the four flightlines on the plateau are used for 213 analysis (Fig. 2 and Fig. 3). The flights are between 18:00 and 21:00 GMT (noon – 3PM MST). 214 SnowSAR data quality control measures included filtering based on aircraft attitude (there were 215 line segments with turbulence), beam incidence angle/antenna pattern, and signal-to-noise-ratio of 216 the backscatter coefficients. Processing of the original airborne SAR measurements and quality 217 control indicate that only the co-pol X-band HH- and VV-pol as well as Ku-band VV-pol 218 measurements are adequate for retrieval. Geolocation was verified against corner reflector targets 219 220 and geographic features and found to be very robust. The SnowSAR data were upscaled to 30 m and 90 m resolution by simple averaging of all SnowSAR measurements within each pixel. 221

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## 223 **3.4 Validation Data**

LIDAR Snow Depth - The Airborne Snow Observatory (ASO) LIDAR measurements of snow 224 depth at 3m resolution across Grand Mesa are available for SnowEx'17 on February 25, thus 4 225 days after the SnowSAR flights (Painter et al., 2018; Table 1). There were no significant snow 226 storms or strong winds in that period, except for about 3mm of rainfall for less than 1 hour on 227 February 24. These data are used to examine the distribution of retrieved snow depths, that is 228 indicative of the spatial heterogeneity of the snowpack, and the relative absolute differences 229 between LIDAR measurements and retrieval of snow depth, that are indicative of local retrieval 230 errors. The LIDAR data were upscaled to 30 m and 90 m using simple averaging (e.g., Fig.4a). 231 There can be large snow depth underestimation errors associated with upscaled LIDAR retrievals 232 along the edges of forests where the snow depth is underestimated consistent with previous work 233 (e.g. Deems et al. 2013; Jacobs et al. 2021). Given the expect measurement uncertainty on the 234

order of 10-20 cm in Grand Mesa, which is amplified by microtopography, LIDAR pixels withsnow depth shallower than 20 cm are not considered for evaluation.

Snowpit SWE - Multiple snowpits were excavated during the SnowEx'17 field campaign across 237 Grand Mesa (Table 1). Due to the small number of snow pit measurements along the SnowSAR 238 flightlines on 21 February, snowpit measurements on 20-24 of February were considered for 239 evaluation assuming that in the absence of snowstorms or other weather events the snow pack 240 241 does not change significantly during the 4-day period. Differences are expected at local places but 242 the overall spatial trends should be maintained such as the west-east gradient in snow depth. The 243 values of snowpit SWE are estimated using an average of the snow density measurements at 244 different depths applied to the entire snow depth. Only pits in the non-forested areas were selected 245 for evaluation (Fig. 4b).





Figure 4: a) Flight footprint of the LIDAR instrument used to measure the snow depth during SnowEx'17. b) Location of snow
pits used to measure SWE 20-24 Feb 2017. The legend identifies SnowEx'17 Pit IDs.

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## 251 4. Retrieval Algorithm

Simplicity and computational efficiency are desirable attributes for an operational algorithm that produces successful retrievals, here understood as meeting science uncertainty requirements and latency adequate to meet applications needs defined by NASEM (2018). The retrieval methodology builds on existing and well evaluated snow hydrology, radiative transfer, and physical-statistical models (CB20,CB23, P17, P23) previously reviewed in Section 2. A list of forcings and coupling variables and parameters among MSHM, MEMLS and Base-AM is provided in Table 2.

Averaging is necessary to reduce the signal to noise ratio (SNR) in SnowSAR measurements at their native resolution (Section 3.3). Because the highest spatial resolution of available ancillary data sets is 30 m, the SnowSAR measurements were upscaled to 30 m to eliminate the need for

interpolation and, or downscaling that introduce further uncertainty. Following results by Manickam and Barros (2020), the algorithm was also applied at 90 m resolution consistent with the first scaling break identified in Sentinel-1 SAR backscatter. The implication of linear scaling behavior is that successful retrievals at 90 m resolution can subsequently be statistially downscaled with confidence, which has significant computational advantages. Further upscaling was not conducted because the number of pixels becomes very small given the available coverage of SnowSAR flights.

269

270	Table 2: Inp	ut and outp	out parameters	from the three	e models in the	SWE ph	nysical-statistical	retrieval framework.
-								

Model	Input	Output	Reference
MSHM	Rainfall Temperature Air Pressure Incoming shortwave radiation Incoming longwave radiation Wind speed Humidity Albedo	Snow Temperature Profile Soil Temperature Profile Snow Density Profile Snow Depth Layering Profile Liquid Water Content Profile Snow Correlation Length Profile	Cao and Barros (2020)
MEMLS	Snow Temperature Profile Soil Temperature Profile Snow Density Profile Snow Depth Layering Profile Snow Correlation Length Profile Cross polarization fraction Ground rms height	Diffused Reflectivity Profile Specular Reflectivity Profile Total Backscatter Coefficient	Proksch et al. (2015)
Base-AM	Equivalent Snow Temperature Prior Equivalent Soil Temperature Prior Equivalent Snow Density Prior Equivalent Snow Depth Prior Correlation Length Cross polarization fraction Ground rms height Total Backscatter Coefficient Prior	Optimized – Snow Layer Depth Snow Density	Pan et al., (2023)

271

Figure 5 illustrates the retrieval workflow consisting of four main steps. **Step 1 -** Snow hydrology 272 simulation using MSHM to produce a layered snowpack and volume backscatter simulation using 273 MEMLS ( $\sigma_{vol}^{sim}$ ). Step 2 - Bayesian estimation of ground parameter priors that govern background 274 backscatter  $\sigma_{bkg}$  using MEMLS assuming a very thin film of snow on the ground (1 mm SD) at the 275 beginning of the accumulation season and estimation of the  $\sigma_{bkg}$  by subtraction of  $\sigma_{vol}^{sim}$  from 276 SnowSAR total backscatter measurements  $\sigma_{SAR}^{tot}$ . Step 3 - Determination of snowpack priors for 277 Bayesian SWE retrieval using results Step 1 and Step 2. Step 4 - Bayesian optimization of 278 simulated  $\sigma_{SAR}^{tot}$  to derive posterior distributions of SD and  $\rho_{snow}$  for the single- and two-layer (1|2) 279 equivalent snowpack, and subsequent calculation of retrieved SWE posperior distributions 280



Figure 5: Workflow of the SWE Physical-Statistical retrieval framework. NWP atmospheric forcings drive MSHM to determine
 priors for the Bayesian radiative transfer model (Base-AM) and synthetic backscatter for ground parameters. SnowSAR backscatter
 measurements are assimilated to determine the posterior distribution of the snowpack parameters.

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## 287 **4.1 Layered Snowpack Simulations (Step 1)**

Following the methodology presented in Section 2.1, MSHM was run for a full-year starting from 288 snow free conditions on September 1<sup>st</sup> 2016 using downscaled HRRR data as atmospheric forcing 289 (Section 3.2) and a timestep of 30 mins. On the day of the SnowSAR flights, the snowpack 290 291 physical properties predicted at times corresponding to each of the four flights are used to derive the 1/2 Layer equivalent snowpack properties used in the retrieval. The simulated volume 292 backscatter ( $\sigma_{vol}^{sim}$ ) was estimated by specifying the cross polarization fraction parameter Q=0.2 293 following CB20. This is an empirical coefficient that distributes the diffuse scattering into cross 294 and like polarization components in MEMLS (Proksch et al. 2014). 295

296 In realistic layered snowpacks, stratigraphy (i.e., vertical heterogeneity) is a dominant feature of the density, temperature, microstructure, and dielectric properties (e.g., emissivity and 297 reflectivity). The vertical structure of snow microstructure in MSHM is described using a 298 parameterization of snow correlation length  $(l_{ex})$  consistent with MEMLS formulation. Depending 299 on the number of layers, this poses an undetermined problem as the number of measurements is 300 equal to the number of frequencies and the number of polarizations available (typically two or 301 three). For example, there are only four observations for a dual-frequency measurement with dual 302 polarization. In contrast, the set of independent parameters per layer includes snow density, layer 303 304 thickness, liquid water content, snow grain size or correlation length, temperature, reflectivity, and transmissivity. 305

306 While converting the multi-layer snowpack to a single-layer model is the simpler path to address 307 the undetermined inverse-propblem, fresh snowfall accumulation and snowpack crusting artifacts due to melt-refreeze cycles, as well as hardening by wind action introduce strong density and grain size differences at the top of the snowpack. To capture this behavior, we implement and evaluate the retrieval algorithm for both single and two-layer equivalent snowpacks derived from the layered snowpack simulated by MSHM. The equivalent single- or two-layered snowpack parameters for each pixel are obtained by matching SWE, snow depth (SD) and volume backscatter

- 313  $(\sigma_{vol}^{sim})$  of the simulated multilayer snowpack.
- 314

# **4.2 Ground and Snowpack Parameter Priors** (Steps 2 and 3)

A first estimate of the  $\sigma_{bkg}$  is obtained by subtracting  $\sigma_{vol}^{sim}$  from SnowSAR X-band HH-pol 316  $\sigma_{SAR}^{tot}$  measurements following Baghdadi et al. (2011) who found better performance among 317 backscattering models for HH-pol against TerraSAR-X measurements. In Base-AM,  $\sigma_{bkg}$  depends 318 319 on the effective effective soil moisture and soil surface roughness. To optimize these parameters,  $\sigma_{bkg}$  is used as an "observed" value. To simulate snow-free conditions the snow depth is 320 constrained to a maximum value of 1 mm in Step 2. The cross polarization fraction Q initially 321 specified as Q=0.2 is optimized first and separately from other ground parameters in the third step 322 323 of the retrieval algorithm (Fig. 5). The posterior distributions of the ground parameters in Step 2 are used along with the 1/2 layer prior distributions and the SnowSAR measurements to estimate 324 the posterior distributions of snow depth and snow density using the Base-AM framework (Fig. 5) 325 and both X- and Ku-band VVpol. SWE is subsequently derived from snow depth and snow density. 326

Single-layer Snowpack - The total snow depth and the averages of multilayered snowpack
 parameters are specified as the mean of the prior distribution for retrieval. Table 3 shows the range
 and standard deviation of the parameters.

330

Table 3: Base-AM model input variance and range for the parameters prepared using MSHM multilayer snowpack parameters.
 Alphanumerical subscript in 2-layer snowpack retrievals denotes layer number: 1- bottom layer; 2- top layer; avg- the average of

Alphanumerical subscript in 2-layer snowpack retrievals denotes layer number: 1- bottom layer; 2- top layer; avg- the average of
 all MSHM multilayer parameter values in the corresponding single or 2-layer snowpack. DZ is the MSHM snow depth.

G	1 I	Layer Snowpa	ack	2 Layer Snowpack						
Snow Peremeters	Variance,	Ra	nge	Varia	nce, σ <sup>2</sup>	Range for each layer				
1 al ameters	$\sigma^2$	Min Max		Bottom	Тор	Min	Max			
Snow Temp., Ts [ <sup>o</sup> C]	0.3×Tsavg	1.3×Ts <sub>min</sub>	0.7×Ts <sub>max</sub>	0.3×Ts <sub>1,avg</sub>	0.3×Ts <sub>2,avg</sub>	1.3×Ts <sub>min</sub>	0.7×Ts <sub>max</sub>			
Snow Density, p [Kg/m <sup>3</sup> ]	$0.3 \times \rho_{avg}$	$0.8 \times \rho_{min}$	$1.2 \times \rho_{max}$	$0.3\!\!\times\!\!\rho_{1,avg}$	$0.3 \times \rho_{2,avg}$	$0.8 \times \rho_{min}$	$1.2 \times \rho_{max}$			
Snow Depth, DZ [m]	0.3×DZ	0.5×DZ	1.5×DZ	$0.1 \times DZ_1$	$0.2 \times DZ_2$	0.2×DZ	0.9×DZ			
Correlation Length, <i>l<sub>ex</sub></i>	0.3×lex,avg	l <sub>ex,min</sub>	l <sub>ex,max</sub>	$0.2  imes l_{ex, l, avg}$	$0.2 \times l_{ex,2,avg}$	l <sub>ex,min</sub>	l <sub>ex,max</sub>			
Soil Temp., Tsoil [ <sup>o</sup> C]	0.3	1.3		0	.3	1.3				

*Two-layer Snowpack* – The average values of the snowpack physical properties for each layer are 335 336 derived from the multilayer snowpack simulated by MSHM. The key requirement is to determine 337 the depth of each one of the layers that best captures the snowpack vertical structure. Figure 6 shows MSHM simulated snowpack density profiles for each of the four SnowSAR flights. The 338 339 shape of the profiles reflects the interplay between thermodynamic processes that change snow 340 microstructure and dominate in the upper snowpack and mechanical consolidation processes that are dominant in the mid and lower layers. The snow depth point corresponding to the maximum 341 change in snow density between adjacent layers in the multilayer snowpack is used here to divide 342 the snowpack in two layers. Subsequently, the layer-depth weighted average density, snow 343 temperature, and correlation length of the MSHM multilayer snowpack is calculated for the 344 corresponding depths of the two-layer equivalent snowpack (Table 3). 345

346



Figure 6 - Density profiles simulated by MSHM for all grassland pixels at 30 m resolution from the 4 SnowSAR flight paths. The density profile of the central pixel for each of the flights is marked in red. The snowpack layers are numbered from bottom to top tracking the evolution of simulated snowpack stratigraphy during the accumulation season. Note the significant difference between the top 2-3 layers and the deeper snowpack supporting the two-layer snowpack conceptual retrieval model.

352

347

## 353 **4.3 Bayesian Optimization (Step 4)**

Realistic snowpack predictions from MSHM driven by weather forecasts (Step 1) are used to define the prior distributions of snowpack parameters and constrain Base-AM (Steps 2 and 3) to infer the posterior distribution of snowpack parameters given the SnowSAR backscatter measurements (Step 4) as discussed in Section 2.2.

The local mean of the posterior distribution for each parameter is hereafter referred to as the 358 retrieval result for each pixel. SD retrievals are evaluated against LIDAR snow depth including 359 spatial patterns and gradients, and overall statistical structure using histograms. SWE retrievals 360 derived from the posterior distributions of snow density and snow depth are evaluated against SWE 361 measurements at snowpits (Section 3.4). Original LIDAR measurements were reprojected and 362 coregistered with the SnowSAR retrievals. A comparative analysis was conducted to examine the 363 dependence of retrievals on incidence angle and the subgrid scale variability was quantified in 364 terms of the standard deviation of original LIDAR measurements within the upscaled pixel. The 365

amplitude error metrics are the mean, standard deviation, and mean absolute relative error(MARE):

368 
$$MARE = \frac{\sum_{i=1}^{n} |1 - R_i / O_i|}{N}$$
(6)

where O are observations and R are retrievals. The Bhattacharya coefficient (BC) is used to
compare the spatial distributions of snow depth and backscatter. BC measures the similarity
between two probability distributions p<sub>1</sub> and p<sub>2</sub> as follows (Bhattacharya, 1943)

$$BC = \sum_{i=1}^{N} \sqrt{p_1(i)p_2(i)}$$
(7)

Finally, among the 39 snowpits available for evaluation on February 21, only 15 pits in open areas
(i.e. grasslands) were retained for evaluation and snow pits without SnowSAR measurements
within a radius of 100 m were discarded.

377

373

#### 378 5. Results and Discussion

#### 379 **5.1. Successful Retrievals**

SnowSAR measurements are strongly affected by aircraft operations, viewing geometry that varies 380 systematically along the flight path resulting in amplitude artifacts amplified by landform and 381 landcover heterogeneity. Even after separating homogeneous grassland pixels, there is 382 contamination from multiple bounce artifacts at grassland-forest transitions and adjacent wetlands 383 that cannot be resolved at 30 or 90 m resolution. Other errors embedded in the retrieval are 384 associated with downscaling of HRRR forcings that produce biased snow priors, snow hydrology 385 model structure, and errors tied to the background backscatter estimation. Combined these errors 386 compounded can lead to a weak convergence of the Bayesian optimization algorithm resulting in 387 large backscatter residuals. To account for these errors and meet NASEM (2018) science 388 requirements, SnowSAR pixels for which the relative residual backscatter (RRB) between Base-389 AM simulated  $\sigma_{sim}^{tot}$  and SnowSAR measurements  $\sigma_{SAR}^{tot}$  was greater than 30% were identified as 390 unsuccessful. In an operational context, these pixels would be flagged and identified as failed or 391 highly uncertain retrievals. The successful retrieval fraction after restricting the range of incidence 392 angles and imposing the RRB < 30% criterion is summarized in Table 4 for the four flights, and 393 for both 1/2 layer snowpack retrievals at 30 and 90 m resolution. Except for the later flight path 394 over the predominantly forested areas in the eastern sector of Grand Mesa (Fig.1), the fraction of 395 successful retrievals by restricting the incidence angle and RRB varies between 75 and 87% across 396 the four SnowSAR flights with a maximum absolute bias of 1.2 dB. Only figures with retrieval 397 398 results at 30 m resolution are shown in the main text; retrieval results at 90 m resolution as well as other supporting analysis can be found in Appendix A. 399

401 Table 4: Spatial bias between SnowSAR backscatter and converged backscatter from Base-AM for successful retrievals for

402 grassland pixels at 30 and 90 m spatial resolution over each flight. Successful retrievals are for pixels with local incidence angles

403 in the 30°-45° range and relative residual backscatter (RRB) of less than 30% for each of the four flights.

404

Flight Time	Su	iccessfu Fra	l Retrie	eval	Bias (Observed - Converged) [dB]									
	1 Layer		2 Layer			1 La	ayer		2 Layer					
	30 m	90 m	30 m	90 m	30 m		90 m		30 m		90 m			
					Х	Ku	Х	Ku	X	Ku	Х	Ku		
18:11:38	0.86	0.87	0.85	0.86	0.92	-0.45	0.96	-0.48	0.94	-0.46	0.97	-0.50		
18:43:20	0.75	0.75	0.75	0.75	1.08	-0.54	0.98	-0.36	1.07	-0.46	0.98	-0.37		
18:59:02	0.78	0.81	0.81	0.81	1.20	-0.78	1.21	-0.79	1.15	-0.73	1.22	-0.83		
20:23:38	0.66	0.69	0.57	0.69	0.51	-0.58	0.70	-0.43	0.62	-0.85	0.72	-0.45		

405

#### 406 **5.2. Retrieval Skill**

Figure 7 compares LIDAR snow depth (Fig. 7a) against colocated SnowSAR retrievals at 30 m 407 for the SNOWSAR flight at 18:11:38 GMT(GMT=MST+6). The SnowSAR retrievals for high 408 409 incidence angles underestimate the LIDAR snow depth (orange and red points). Lemmetyinen et al. (2022) suggested a nominal incidence angle of 35°-45° for retrievals ensuring proper focusing 410 and calibration of SnowSAR swaths. CB23 showed good skill in forward backscatter simulations 411 for incidence angles as low as 30°. Overall the retrievals here also show very good performance 412 for incidence angles between 30°-45°. Note however the large residuals for SnowSAR retrievals 413 with high incidence angles (red and orange points in Fig. 7b) corresponding to LIDAR pixels with 414 shallow snow depth (below the 1:1 line) and large subgrid-scale variability (orange and red points, 415 Fig. 7c). Analysis for all flights at both 30 and 90 m resolution can be found in Appendix A ( 416 please see Figs. A1 and A2 similar to Fig. 7b; and Figs. A3 and A4 similar to Fig. 7c). Figures 417 7d, 7e, and 7f show the landcover, spatial distribution of subgrid standard deviation (SSTD) and 418 absolute residual (Retrieved – LIDAR) snow depth for the same flight. Along the edges of forest, 419 the SSTD in the upscaled pixels is large due to high heterogeneity that cannot be resolved by the 420 the LIDAR fusion algorithm for snow depth retrieval (Painter et al. 2016). The red box identifies 421 an area with complex grassland-forest boundaries (Fig. 7d) and high subgrid scale variability (Fig. 422 7e) resulting in poor LIDAR estimates. The edge of wetlands also has comparatively higher 423 residuals than completely homogeneous grasslands. This corresponds to the LIDAR pixels with 424 SSTD > 0.3 m (yellow, orange and red in Fig. 7c). Therefore, only LIDAR pixels with SSTD  $\leq$ 425 0.3m are used for assessment of retrievals. 426



429 Figure 7: Snow depth measurements using airborne LIDAR on 2/25/17, 4 days after the SnowSAR flights. b) Comparison between 430 LIDAR snow depth and the 2-layer retrieved snow depth from SnowSAR on 2/21/17 at 18:11:38 GMT. The pixels are color-coded 431 according to the SnowSAR incidence angle. c) same as (b) with pixels color-coded according to the subgrid-scale variability 432 measured by standard deviation of LIDAR snow depth within the corresponding 30 m pixel. Pixels on the edge of forests and 433 grasslands have higher subgridscale standard deviations (SSTD). d) Landcover distribution along the flight path; bottom panel – 434 zoom view of area in red box. e) Spatial distribution of upscaled LIDAR snow depth SSTD at 30m; bottom panel - zoom view of 435 area in red box. The edges of forests have higher SSTD due to errors in the LIDAR snow depth retrievals at high resolution. f) 436 Absolute residual between retrievals and LIDAR snow depth; bottom panel - zoom view of area in red box. Residuals equal to 0.5 437 m and above are grouped in the same category. The red box in parts (d), (e), and (f) delineates an area with large absolute residuals. 438 Vegetation-snowpack backscatter interactions at the grassland-forest and grassland-wetland margins not accounted for in the 439 retrievals. Gray points in the central panel correspond to zero depth LIDAR estimates due to errors in heterogenous landcover..

Figure 8 shows heatmaps (density maps) to compare successful retrievals against observed X- and 440

441 Ku-band VV-pol total backscatter at 30 m resolution. There is good agreement between the two

442 values for both the bands specially in the -15 to -10 dB range without significant differences between single and two-layer snowpack retrievals. Note the positive bias in the case of X-band 443

simulations compared to observations, whereas Ku-band has a negative bias as quantified in Table
445 4. Overall, the retrievals at 90 m resolution show better agreement than those at 30 m resolution
due to averaging (Fig. A5).





- 451 incidence angles in the 30°- 45° range and relative residual backscatter (RRB) of less than 30% for each of the four flights (see
  452 Table 4).
- 453

454 Maps of successful SWE retrievals for the four SnowSAR flight paths are shown in Fig. 9 and 455 Fig. A6 at 30 m and 90 m resolution, respectively. The retrievals capture well the west-east 456 gradient in SWE, and show realistic spatial variability across Grand Mesa. The very low SWE and 457 shallower snow depths at the easternmost boundary of the flightlines are underestimates 458 introduced by upscaling of the SNOWSAR backscatter values where there are significant changes 459 in topography at the edge of the Plateau (see Fig.2).

460



461

Figure 9: Spatial distribution of successful SWE retrievals for 1-layer (a) and 2-layer (b) snowpacks in grassland pixels at 30 m resolution. Successful retrievals are for pixels with local incidence angles in the 30°- 45° range and relative residual backscatter (RRB) of less than 30% for each of the four flights (see Table 4).

465

Heatmaps of total snow depth priors (MSHM predicted snow depth) against LIDAR snow depth
are shown in Fig. 10 and Figs. A7 at 30 m and 90 m resolution and can be contrasted with heatmaps
of total snow depth posteriors) against LIDAR snow depth in Figs. 11 and A8 using both single
and two-layer retrievals. Note the narrow range of the prior snow depths concentrated around 1.5
m and the positive bias relative to LIDAR. The posteriors show much wider range of variability
and deeper snow consistent with the LIDAR data for both single and two-layer retrievals, albeit
with better agreement for the latter with high counts overlaying the 1:1 line at both spatial

resolutions. This behavior is further confirmed by examining the snow depth histograms in Figs. 473 A9 and A10. The retrievals capture well the range of the LIDAR snow depths for all flights, and 474 475 there is a substantial improvement in the shape of the distributions as revealed by the heatmaps.

#### 476





478 Figure 10: Heatmap of LIDAR and MSHM predicted snow depth priors at 30 m resolution using overlapping pixels from the MSHM and LIDAR. Only pixels with incidence angle between 30° -45°, and moderate sub-grid scale variability of LIDAR snow

479

480 depth (< 0.3).



Figure 11: Heatmap of LIDAR versus successful snow depth (SD) retrievals at 30 m resolution using overlapping LIDAR and
 retrieval pixels. Successful retrievals are for pixels with local SnowSAR incidence angles in the 30°- 45° range and relative residual

484 backscatter (RRB) of less than 30% for each of the four flights (see Table 4). LIDAR SD in pixels with subgrid scale variability

485 corresponding to standard deviation of less than 0.3 m for the upscaled 90 m LIDAR pixel are not included.

486

487 Quantitative assessment metrics are presented in Tables 5 and A1 for the comparison between various snow depth datasets at 30 and 90 m resolutions, respectively. The snow depth MARE is 488 higher for the retrievals compared to the priors (MSHM) due to the fact that MARE is an effective 489 metric capturing distance from the mean. CB20 showed that the MSHM simulated average snow 490 mass accumulation at the Grand Mesa scale is within 10% of observations at a monthly time-scale 491 492 in February 2017. The BC coefficients The BC coefficients of 0.95 and above at 30 m resolution indicate significant agreement between the shapes of the distributions at 0.95 or above at 30m 493 494 resolution using the two-layer retrievals for the west-east flights, and 0.76 for the fourth flight at 495 20:23:38 GMT over the forested area. There is significant improvement relative to MSHM priors 496 in the statistical similarity of the snow depth retrievals vis-à-vis the LIDAR data for all cases, and 497 more so for the fourth flight over the forest. For snow depth, 30 m resolution and two-layer 498 retrievals outperform the 90 m resolution and single-layer retrievals for all flights. This is explained in part by landcover classification errors that are smaller at 30 m. Figure A11 shows 499 500 that the number of pixels where retrievals produce large mean absolute residuals is very small and characterize by low confidence in the LIDAR estimates. 501

502

503**Table 5:** Summary of statistics and error metrics of the 3 snow depth (SD) data sets at 30 m resolution: LIDAR measurements,504MSHM predictions, and successful SnowSAR retrievals for grassland pixels and subgrid-scale standard deviation ( $\sigma$ ) of less than5050.3 m for the upscaled LIDAR pixel. MARE – Mean Absolute Relative Error (Eq. 6); BC – Bhattacharya Coefficient (Eq. 7). Here506mean and standard deviation refer to the spatial distribution, unlike the prior mean and standard deviation used in Base-AM (Table5073). Successful retrievals are for pixels with local incidence angles in the 30°- 45° range and relative residual backscatter (RRB) of508less than 30% for each of the four flights (see Table 4).

Flight (GMT)	N Layer	Spatial SD µ [m]			Spatial SD $\sigma$ [m]			MARE SD		BC SD	
		Retrieved	MSHM	LIDAR	Retrieved	MSHM	LIDAR	Retrieved -LIDAR	MSHM- LIDAR	Retrieved -LIDAR	MSHM- LIDAR
18:11:38		1.39	1.42	1.42	0.32	0.15	0.28	0.19	0.11	0.94	0.67
18:43:20	1	1.41	1.38	1.42	0.32	0.21	0.27	0.18	0.11	0.96	0.75
18:59:02	1	1.49	1.38	1.44	0.33	0.20	0.27	0.18	0.09	0.94	0.76
20:23:38		1.66	1.58	1.77	0.36	0.16	0.22	0.21	0.13	0.71	0.25
18:11:38		1.38	1.41	1.40	0.30	0.17	0.29	0.14	0.12	0.98	0.67
18:43:20	2	1.35	1.38	1.42	0.31	0.20	0.28	0.14	0.11	0.97	0.75
18:59:02		1.40	1.38	1.44	0.31	0.20	0.27	0.12	0.09	0.95	0.75
20:23:38		1.89	1.61	1.80	0.39	0.14	0.24	0.17	0.12	0.76	0.23

509

510 Tables 6 and A2 summarize the average absolute relative errors between snowpits and SWE

retrievals from all flights within 100 m of the snowpits. The results are significantly better for two-

512 layer snowpack retrievals. The mean absolute relative errors at 30 m resolution are 0.22 and 0.13

for 1 layer and 2 layer snowpacks respectively. The mean absolute relative errors at 90 m resolution

are 0.2 and 0.12 for 1 layer and 2 layer snowpacks respectively. There is a variable number of pixels used for the calculation of the error metrics for each snow pit, which in the case of 51S is so small that it suggests the pit is not in the flight path. The large errors for pits 4500, 44E and and 53W are attributed to very heterogeneous landcover including water and forest (4500), and proximity to roads (53W and 44E). After removing these snowpits in the central area marked in

519 Fig. A12, the average absolute relative SWE residuals are 5-7% (15-18%) for the two-layer (single-

520 layer) retrieval algorithm.

521

522 Table 6: Evaluation of successful SWE retrievals at 30 m resolution against SWE at SnowEx'17 snow pits and

retrieved snowpacks at 30 m resolution. All N pixels with centroids within 100 m of each snow pit are in the Grasslands
 (according to the Landcover dataset at 30 m resolution, see Table 1). SD – snow depth. Italicized rows correspond to
 large local MARE (Mean Absolute Relative Error, Eq. 6).

Date	x	v	Pit SD	Pit SWE	Retriev (n	ed SWE n)	MARE		N	Avg. Dist	Pit ID
		5	(m)	(m)	1 Lyr	2 Lyr	1 Lyr	2 Lyr	pixels	(m)	
2/20/2017	-108.184	39.014	1.15	0.368	0.455	0.386	0.236	0.049	28	18	KC1C
2/20/2017	-108.184	39.014	1.19	0.386	0.457	0.387	0.184	0.003	27	12	KC1E
2/20/2017	-108.184	39.014	1.18	0.386	0.456	0.387	0.181	0.003	26	15	KC1N
2/20/2017	-108.184	39.013	1.24	0.414	0.456	0.387	0.101	0.065	27	20	KC1S
2/20/2017	-108.184	39.014	1.30	0.435	0.455	0.385	0.046	0.115	29	11	KC1W
2/22/2017	-108.136	39.006	1.32	0.436	0.556	0.484	0.275	0.110	22	8	29E
2/22/2017	-108.090	39.021	1.65	0.583	0.685	0.596	0.175	0.022	19	17	38E
2/22/2017	-108.060	39.030	2.10	0.763	0.368	0.449	0.518	0.412	12	16	53W
2/22/2017	-108.044	39.017	1.68	0.566	0.480	0.505	0.152	0.108	5	51	63E
2/22/2017	-108.049	39.017	1.49	0.48	0.494	0.513	0.029	0.069	13	29	63W
2/22/2017	-108.029	39.032	1.66	0.55	0.558	0.581	0.015	0.056	18	15	67N
2/23/2017	-108.067	39.029	2.13	0.761	0.593	0.504	0.221	0.338	9	23	44E
2/23/2017	-108.061	39.030	1.59	0.568	0.365	0.408	0.357	0.282	3	75	51S
2/24/2017	-108.033	39.030	1.80	0.576	0.657	0.573	0.141	0.005	20	10	0
2/24/2017	-108.033	39.030	1.84	0.598	0.652	0.581	0.090	0.028	21	14	800
2/24/2017	-108.033	39.030	1.80	0.571	0.650	0.581	0.138	0.018	22	19	1390
2/24/2017	-108.033	39.030	1.75	0.566	0.654	0.581	0.155	0.027	21	15	2000
2/24/2017	-108.033	39.030	1.67	0.560	0.654	0.581	0.168	0.037	21	9	2500
2/24/2017	-108.034	39.030	1.12	0.331	0.660	0.580	0.994	0.752	18	19	4500
	Mean		1.56	0.52	0.54	0.50	0.22	0.13	19.00	20.84	

526

527 Finally, composite spatial maps of successful SWE retrievals from all flights overlain by the 528 snowpit measurements between 20-24 February are shown in Fig. 12. Because of the different 529 viewing geometries, retrievals between incident angles 30°-35° for flight path at 18:59:02 in the 530 composite of overlapping flight paths at 18:43:20 and 18:59:02 GMT were removed. Note the 531 consistency at 30 m and 90 m resolutions as well as the overall agreement between SWE at 532 snowpits and SWE retrievals on the flightlines.



Figure 12: Composite spatial distribution of SWE (2-layer retrievals) successfully retrieved at 30m (left) and 90m (right) resolution
for grassland pixels for the four SnowSAR flights. Snow pits (20-24 Feb, Fig. 4, Tables 6) are marked by triangles colored according
to SWE. SnowEx'17 snow pit locations are marked by triangles and colored according to SWE. Successful retrievals are for pixels
with local incidence angles in the 30°- 45° range and relative residual backscatter (RRB) of less than 30% for each of the four
flights (see Table 4). As two flights Gray elevation contours are plotted every 100m.

539

#### 540 6. Conclusion

A Bayesian physical-statistical SWE retrieval framework leveraging prior work (CB20, CB23, 541 P17, P23, Fig. 5) was applied to airborne X- and Ku-band measurements yielding robust results 542 from multiple SnowSAR flights over grassland and mixed grassland and forest in Grand Mesa, 543 Colorado. Prior distributions of snowpack parameters were obtained from a multilayer snow 544 hydrology model with atmospheric forcing derived from operational NWP forecasts and analysis 545 (CB20, CB23). In order to reconcile the number of independent measurements, physical 546 constraints, and reduce the number of snowpack parameters, snowpack stratigraphy was mapped 547 into single-layer and two-layer snowpacks and then Bayesian inference using Base-AM was 548 applied (P17, P23). The SnowSAR measurements were averaged to 30 and 90 m resolutions, and 549 retrievals were conducted independently for every measurement pixel along the flight lines. 550 Retrievals for measurements with convergence backscatter relative errors less than 30% (±1.2dB) 551 and for incidence angles in the 30°- 45° range were considered successful over grasslands, 552 corresponding to 75 -87% of all retrievals depending on the flight. 553

The retrievals, specifically the local means of the posterior distributions, were evaluated against the spatial distribution of LIDAR snow depth estimates up to 2 m and against snowpit SWE measurements up to 700 mm and snow depth up to 2.13 m. Since the LIDAR and snowpit measurements were not concurrent with the SnowSAR flights, the assessment of retrieval skill was conducted over a period of five days without snowfall or significant day-to-day weather changes. The two-layer snowpack retrievals perform better overall capturing the observed spatial gradients

of snow depth, with SWE relative errors  $\leq 7\%$  as compared with 18% for single-layer SWE 560 retrievals, and snow depth absolute retrieval residuals 10-20% depending on landcover 561 562 heterogeneity and measurement uncertainty. The statistical structure of retrieved snow depth is similar to that estimated by LIDAR, which is indicative of the retrievals ability to capture snow 563 patterns and scaling behavior to support scientific process studies. For satellite-based monitoring 564 565 from space in the context of a future snow mission, time-series of measurements would be 566 available that should improve the estimates of the priors based on antecedent information. This is not possible for one-time observations during field experiments such as SnowEx'17, and thus 567 improved results would be expected under realistic satellite-based applications. NWP forecasts 568 are available worldwide and therefore this retrieval framework can be applied to SAR 569 measurements anywhere. 570

571 The radar model used in this study (MEMLS) does incorporate snow-ground-vegetation scattering interactions. Grassland vegetation during the accumulation season is assumed to be submerged 572 and the impact of vegetation is included in the estimation of the background backscatter ( $\sigma_{bkg}$ , Fig. 573 1). Because the landcover data are categorical, in addition to the uncertainty of the data at 30 m 574 resolution, additional uncertainty is tied to the selection of homogeneous grassland pixels at 90 575 resolution, which explains some of the unsuccessful retrievals especially along the grassland-576 577 forest, shrub and wetland boundaries. The potential for estimating  $\sigma_{bkg}$  independently for each location as proposed by Cao and Barros (2023b) provides an alternative to simplify the retrieval 578 workflow and target the Bayesian inference to the snowmass and volume backscatter ( $\sigma_{vol}=\sigma_{total}$ -579 580  $\sigma_{bkg}$ ).

Airborne measurements are characterized by large changes in viewing geometry across the flight-581 line and due to other factors such as variable winds and turbulence depending on weather 582 conditions, thus pointing to improved skill from satellite platforms. Building on previous mission 583 concepts (e.g. Rott et al. 2012) and leveraging substantial theory advances and field campaigns in 584 the last decade, this study demonstrates the utility and effectiveness of X-and Ku-band SAR 585 technology to remotely monitor snowmass at high spatial resolution and with accuracy and 586 uncertainty that meet the requirements expressed in the most recent Earth Science and Applications 587 from Space Decadal Survey (NASEM, 2018). 588

## Sensitivity to Incidence Angle







Figure A1: Same as Fig. 7b with pixels color coded according to the local SnowSAR incidence angle for all four flightlines and for single-(top row) and two-layer (bottom row) retrievals at 30 m resolution.

## Sensitivity to Incidence Angle



Figure A2: Same as Fig. 7b with pixels color coded according to the local SnowSAR incidence angle for all four flightlines and
 for single-(top row) and two-layer (bottom row) retrievals at 90 m resolution.

## Sensitivity to Spatial Variability



608

**Figure A3**: Comparison between LIDAR snow depth (SD) and successful retrievals for single and two-layer algorithms. The

610 pixels are color coded according to the subgrid scale variability of the 30 m upscaled LIDAR pixel.

## Sensitivity to Spatial Variability



612

613 Figure A4: Comparison between SnowSAR snow depth and successful retrievals. The pixels are color coded according to the

614 subgrid scale variability of the 90 m upscaled LIDAR pixel.



**Figure A5:** Heatmaps of SnowSAR backscatter mesurements (observed) versus retrievals (simulated) backscatter at 90 m resolution: a) single-layer snowpack; b) 2-layer snowpack for X-( $\sigma_X$ ) and Ku- ( $\sigma_{Ku}$ ) bands. Successful retrievals are for pixels with local incidence angles in the 30°- 45° range and relative residual backscatter (RRB) of less than 30% for each of the four

618 with local incidence619 flights (see Table 4).



## a) Single-Layer SWE Retrievals





621

Figure A6 Spatial distribution of successful SWE retrievals for 1-layer (a) and 2-layer (b) snowpacks in grassland pixels at 90 m resolution. Successful retrievals are for pixels with local incidence angles in the 30°- 45° range and relative residual backscatter (RRB) of less than 30% for each of the four flights (see Table 4).





626

Figure A7: Heatmaps of LIDAR snow depth and snow depth predicted by MSHM at the time of SnowSAR flights foroverlapping pixels at 90 m resolution.



Figure A8: Heatmaps of LIDAR versus successful snow depth (SD) retrievals at 90 m resolution using overlapping LIDAR and
 retrieval pixels. Successful retrievals are for pixels with local SnowSAR incidence angles in the 30°- 45° range and relative residual
 backscatter (RRB) of less than 30% for each of the four flights (see Table 4). LIDAR SD in pixels with subgrid scale variability
 corresponding to standard deviation of less than 0.3 m for the upscaled 90 m LIDAR pixel are not included.



Figure A9: Histogram of snow depth (SD) from LIDAR, MSHM, and successful retrievals at 30 m using 1- and 2- layer
snowpacks. The total number of pixels for each snow depth product is the same. Successful retrievals are for pixels with local
incidence angles in the 30°- 45° range and relative residual backscatter (RRB) of less than 30% for each of the four flights (see
Table 4). LIDAR SD in pixels with subgrid scale variability corresponding to standard deviation of less than 0.3 m for the
upscaled 90 m LIDAR pixel are not included.



Figure A10 - Histogram of snow depth (SD) from LIDAR, MSHM, and successful retrievals at 90 m using 1- and 2- layer
snowpacks. The total number of pixels for each snow depth product is the same. Successful retrievals are for pixels with local
incidence angles in the 30°- 45° range and relative residual backscatter (RRB) of less than 30% for each of the four flights (see
Table 4). LIDAR SD in pixels with subgrid scale variability corresponding to standard deviation of less than 0.3 m for the
upscaled 90 m LIDAR pixel are not included.

**Table A1** – Same as Table 5 but for resolution of 90 m.

Flight (GMT)	N Layer	Spatial SD µ [m]			Spatial SD $\sigma$ [m]			MARE SD		BC SD	
		Retrieved	MSHM	LIDAR	Retrieved	MSHM	LIDAR	Retrieved -LIDAR	MSHM- LIDAR	Retrieved -LIDAR	MSHM- LIDAR
18:11:38		1.41	1.42	1.40	0.33	0.18	0.26	0.19	0.09	0.90	0.78
18:43:20	1	1.27	1.39	1.41	0.32	0.19	0.25	0.21	0.08	0.90	0.85
18:59:02	1	1.48	1.38	1.42	0.37	0.20	0.25	0.21	0.07	0.90	0.82
20:23:38		1.68	1.52	1.66	0.38	0.17	0.19	0.24	0.12	0.66	0.50
18:11:38		1.41	1.42	1.40	0.35	0.18	0.26	0.15	0.09	0.95	0.77
18:43:20	2	1.29	1.39	1.41	0.32	0.19	0.25	0.16	0.08	0.92	0.85
18:59:02		1.41	1.38	1.42	0.35	0.20	0.25	0.15	0.07	0.92	0.82
20:23:38		1.67	1.52	1.66	0.45	0.17	0.19	0.22	0.12	0.76	0.50



Figure A11 - Analysis of unsuccessful retrievals for pixels with large mean snow depth residuals at 90 m resolution: a) Map of
 LIDAR snow depth highlighting in deep blue the locations where very shallow snow is attributed to measurement error. b) Note
 spatial agreement between shallow snow depth and very large residuals. c)There are only a few points at the edges of forests and
 shallow snow depths that are flagged not successful. The gray elevation contours are plotted every 50 m.

- -

Date	x	v	Pit SD	Pit SWE	Retriev (r	ed SWE n)	Mean A Er	Abs Rel ror	N	Avg. Dist	Pit ID
		2	(m)	(m)	1 Lyr	2 Lyr	1 Lyr	2 Lyr	pixels	(m)	
2/20/2017	-108.184	39.014	1.15	0.368	0.473	0.398	0.29	0.08	4	18	KC1C
2/20/2017	-108.184	39.014	1.19	0.386	0.471	0.397	0.22	0.03	3	12	KC1E
2/20/2017	-108.184	39.014	1.18	0.386	0.473	0.399	0.22	0.03	2	29	KC1N
2/20/2017	-108.184	39.013	1.24	0.414	0.474	0.398	0.15	0.04	3	27	KC1S
2/20/2017	-108.184	39.014	1.3	0.435	0.476	0.399	0.09	0.08	3	47	KC1W
2/22/2017	-108.136	39.006	1.32	0.436	0.572	0.490	0.31	0.12	2	39	29E
2/22/2017	-108.060	39.030	2.10	0.763	0.340	0.384	0.55	0.50	1	43	53W
2/22/2017	-108.044	39.017	1.68	0.566	0.454	0.499	0.20	0.12	1	75	63E
2/22/2017	-108.049	39.017	1.49	0.480	0.521	0.530	0.09	0.10	1	29	63W
2/22/2017	-108.029	39.032	1.66	0.550	0.529	0.553	0.04	0.01	4	47	67N
2/23/2017	-108.067	39.029	2.13	0.761	0.751	0.606	0.01	0.20	1	70	44E
2/24/2017	-108.033	39.030	1.8	0.576	0.718	0.601	0.25	0.04	3	60	0
2/24/2017	-108.033	39.030	1.84	0.598	0.717	0.600	0.20	0.00	2	57	800
2/24/2017	-108.033	39.030	1.80	0.571	0.717	0.600	0.26	0.05	2	55	1390
2/24/2017	-108.033	39.030	1.75	0.566	0.687	0.592	0.21	0.05	1	54	2000
2/24/2017	-108.033	39.030	1.67	0.560	0.687	0.592	0.23	0.06	1	54	2500
2/24/2017	-108.034	39.030	1.12	0.331	0.687	0.592	1.08	0.79	1	62	4500
2/20/2017	-108.184	39.014	1.15	0.368	0.473	0.398	0.29	0.08	4	18	KC1C
2/20/2017	-108.184	39.014	1.19	0.386	0.471	0.397	0.22	0.03	3	12	KC1E
	Mean		1.51	0.50	0.56	0.50	0.26	0.13	2.21	42.53	

670 Table A2: Same as Table 7 but for resolution of 90 m.



Figure A12 – Spatial context for snow pits with very large absolute relative errors (MARE) calculated as the mean of the
relative difference between SWE retrievals within 100 m of the snow pit and the values at the snow pit Locations with very large
errors (orange to red) are inside the red box marked in top plot. Snowpit 4500 is a region of complex land cover including
evergreen forest, a road and a pond. Snowpits 53W and 44E are close to each other on the same side of the road in expansive
grassland.

## 680 8. Competing Interests

- The contact author has declared that none of the authors has any competing interests
- 682

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