

# 基于激光雷达的自然资源三维动态监测现状与展望

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**摘要:** 激光雷达作为一种主动的三维遥感观测技术, 在不同尺度的土地、矿产、森林、草原、湿地、水、海洋等自然资源的三维动态监测中发挥着越来越重要的作用。本文将在简要介绍激光雷达技术发展现状的基础上, 重点阐述激光雷达技术在各类自然资源三维动态监测中的应用现状, 同时对激光雷达在自然资源调查中的应用潜力和局限性进行综合分析, 最后探讨以激光雷达技术为基础的自然资源三维动态监测的未来发展趋势和方向。随着激光雷达技术和平台的不断发展以及激光雷达信息的深入挖掘, 将不断促进激光雷达技术在自然资源三维动态监测应用中的纵深发展。然而单一激光雷达数据由于其本身存在的局限性, 难以满足自然资源全要素、全流程、全覆盖、高精度、高效率的现代化动态监测的要求, 如何将多源、多尺度、多平台遥感数据与人工智能相结合, 构建“天—空—地”一体化的自然资源调查监测技术体系, 是未来自然资源三维动态监测的发展方向。

**关键词:** 遥感, 激光雷达, 自然资源, 三维信息, 动态监测, 数据融合

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## 1 引言

自然资源是指在一定时间、空间条件下, 能够为人类利用, 并产生经济价值的自然环境因素的总称, 具有有效性、有限性、稀缺性、整体性、时空分布不均匀性和多用性等特征 (王占宏等, 2019; Armstrong, 2013)。自然资源是人类生存和发展的必要条件, 是实现经济高质量、可持续发展的重要动力和主要支撑, 也是建设美丽中国、

深化生态文明制度改革根本载体 (闫保银和崔立, 2018; 葛全胜等, 2020; Vörösmarty等, 2010; Martin等, 2016)。为更好的促使自然资源管理趋向集中化、统一化、科学化, 解决以往中国自然资源管理体制中存在的“制度藩篱”和“九龙治水”的尴尬状况, 在新一轮机构调整背景下, 2018-03国家成立了自然资源部, 并将自然资源划分为土地、矿产、森林、草原、湿地、水、海洋等7类。如何统一开展自然资源调查评价监测、全

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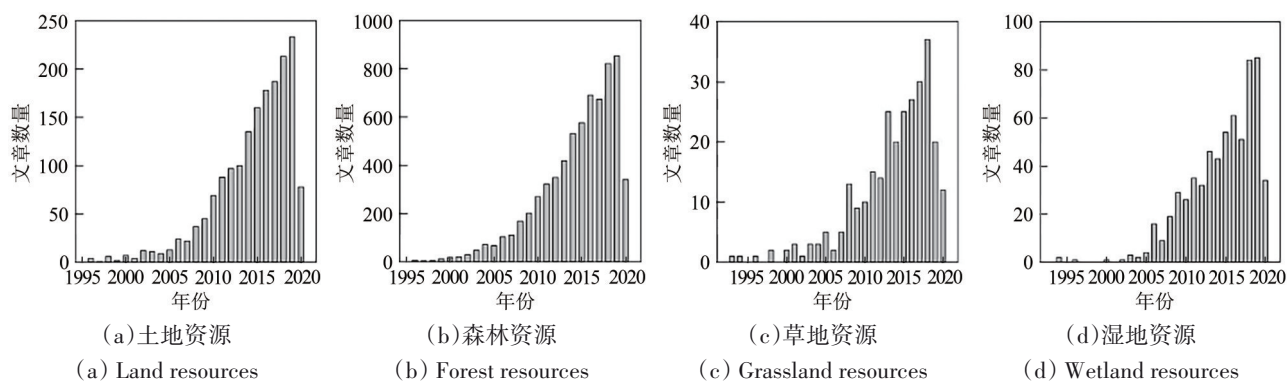
面摸清自然资源“家底”，是自然资源部履行自然资源管理“两统一”职责的重要前提，也是优化国土空间布局、加快生态文明建设、保障国家生态安全、推进国家治理体系和治理能力现代化的重要保障。

传统的自然资源调查中，因自然资源种类繁多、结构复杂、分布范围广且不均衡，需要耗费大量的人力、物力和财力（张树文等，2013）。随着遥感技术的出现及不断发展，因其覆盖范围广、获取速度快、包含地表信息丰富等特点，很好的解决了传统自然资源调查评价监测中存在自然资源资产位置难以查找、区域难以界定、面积难以丈量等诸多调查工作难题，成为自然资源调查评价监测的一种重要手段（张达和郑玉权，2013；王忠武等，2015；Hostetler等，2018；Mao等，2020）。同时，2020-01-17自然资源部发布《自然资源调查监测体系构建总体方案》（以下简称《总体方案》）中也明确将遥感监测作为自然资源动态监测的一种主要手段。

目前遥感数据种类繁多，根据传感器的特点主要分为两大类：被动遥感和主动遥感。自1972年第一个陆地卫星Landsat发射以来，以及随后的高空间分辨遥感数据（如中国的高分二号卫星、美国的WorldView系列遥感卫星、法国的SPOT 6/7遥感卫星）和高光谱分辨率遥感数据（中国的高分五号卫星、美国的Hyperion、欧空局的CHRIS）的不断出现和发展，被动光学遥感数据已经广泛应用于土地利用调查、生态环境调查、水资源调查与监测、矿产资源开发与环境监测、地质灾害监测与

应急调查等重点领域（韦玮等，2010；Quang Minh和La，2011；Wu等，2018b；Wan等，2020）。但光学遥感作为一种被动的遥感技术，其获取易受天气的影响，存在区域性饱和效应，同时多应用于自然资源类型、数量、分布等二维基础属性信息的获取（Dare，2005；Zhou等，2009）。而三维特性的获取是查清各类自然资源基本特性和质量情况的一个非常重要的前提，也是自然资源监测的主要任务之一（王占宏等，2019）。激光雷达（LiDAR，Light Detection and Ranging）作为一种通过主动发射激光脉冲获取目标物三维空间信息的观测技术的出现，为自然资源三维特征的提取和精细刻画提供了技术支撑（郭庆华等，2014；Zhang，2010；Guo等，2017；Xu等，2020）。与此同时，激光雷达为自然资源部发布的《总体方案》中所提出的“一张底版、一套数据和一个平台”中的“一张底版”，即数字高程模型的精确提取构建提供了全新的数据支持。

目前随着技术及平台的不断发展，激光雷达作为一种主动的三维观测技术已经越来越被广泛应用于土地、矿产、森林、草原、湿地、水、海洋等自然资源的三维动态监测管理中（图1）。本文将在简要介绍激光雷达发展现状的基础上，重点阐述激光雷达技术在各类自然资源三维动态监测中的应用现状，同时对激光雷达在自然资源调查中的应用潜力和局限性进行综合分析，最后展望以激光雷达为基础的自然资源三维动态监测的未来发展趋势和方向。



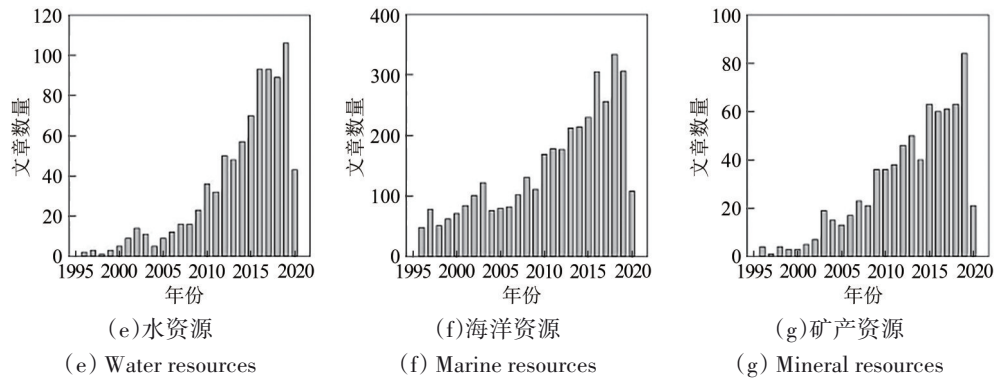


图1 激光雷达在各类自然资源应用研究相关文献数量变化趋势

Fig.1 Trends of literatures published on the topic of using lidar in natural resources research

## 2 激光雷达技术及发展现状

最早的激光雷达技术可以追溯到1960年美国科学家梅曼研制出的第一台红宝石激光器，随后用于环境感知的激光雷达技术开始被大量研究并广泛应用于军事领域。从20世纪90年代开始，激光雷达技术开始应用于地形探测研究，进而开启

了激光雷达技术在民用领域的新篇章（Hoge等，1980；Nelson等，1984）。近些年来随着激光雷达技术本身的不断发展以及其应用领域的不断拓展，出现了不同的激光雷达搭载平台。按承载平台的不同，目前激光雷达可以分为星载、机载和地面3大类（图2）。



图2 不同激光雷达平台及其系统组成

Fig.2 Illustrations of different lidar platforms and their components

## 2.1 星载激光雷达系统

星载激光雷达以卫星平台为依托,运行轨道高,观测范围广,可进行大尺度三维信息的获取,即使在一些人类无法到达的区域,也可提供高精度的探测数据,目前常见的星载激光雷达系统如表1所示。星载激光雷达发展始于20世纪60年代(郭商勇等,2016),其研制和应用是在20世纪90年代逐步发展成熟的。1996年和1997年美国国家航空局NASA(National Aeronautics and Space Administration)前后2次在航天飞机上搭载了SLA-01/SLA-02,建立了激光测高仪的全球控制点数据库,展示了星载激光雷达在地形测绘和植被资源监测中的潜力(Sun等,2003)。2003年,NASA正式将地学激光测高仪GLAS(Geoscience Laser Altimeter System)列入地球观测系统EOS(Earth Observation System)中,并将其搭载在冰

体、云量和陆地高度监测卫星ICESat-1(Ice Cloud and Land Elevation Satellite)上发射升空运行。搭载于ICESat-1卫星上的地学激光测高仪GLAS于2009年退役。作为其后续,NASA于2018年发射了光子计数的ICESat-2 ATLAS(Advanced Topographic Laser Altimeter System)卫星和搭载在国际空间站ISS(International Space Station)平台上的GEDI(Global Ecosystem Dynamics Investigation)全波形激光雷达等。欧洲也论证过了Carbon-3D,LEAF(LiDAR for Earth and Forests)等激光雷达为主载荷的卫星概念。日本也在积极的论证并实施基于ISS平台的多波束激光雷达MOLI(Multi-footprint Observation LiDAR and Imager)系统。中国于2019-11-03成功发射了搭载激光测高仪的高分七号卫星,同时搭载全波形激光雷达载荷用于植被探测的陆地生态系统碳监测卫星也正在实施中。

表1 常见星载激光雷达系统

Table 1 Specifications of common spaceborne LiDAR systems

卫星平台	国家	传感器	波长/nm	脉冲重复频率/Hz	波束数量	测高精度/m	光斑直径/m	轨道高度/km	用途
ICESat-1		GLAS	1064/532	40	1	0.15	60~70	590	云高、大气气溶胶、冰盖监测,全球一区域尺度自然资源垂直结构动态监测
ICESat-2	美国	ATLAS	532	10000	6	0.1	~17.5	500	
ISS		GEDI	1064	242	4	—	25	370—460	
高分七号	中国	测高仪	1064.4	3	2	0.3	30	505	

## 2.2 机载激光雷达系统

机载激光雷达系统是以航空飞机及无人机为搭载平台,用于区域尺度的地表特征提取及动态变化监测。机载激光雷达系统可以细分为航空平台和无人机平台两类。目前比较常见的航空机载激光雷达系统,如表2所示,主要有冠层回波重建激光扫描成像仪SLICER(Scanning LiDAR Imager of Canopies by Echo Recovery)、植被激光成像传感器/陆地植被与冰传感器LVIS(Laser Vegetation Imaging Sensor or Land, Vegetation, and Ice Sensor)、多测高波束试验激光雷达MABEL(Multiple Altimeter Beam Experimental LiDAR)以及由Riegl、Optech、Leica、Trimble等公司推出的商用机载激光雷达系统(黄麟和张晓丽,2006)。无人机UAV(Unmanned Aerial Vehicle)激光雷达平台的出现最早可以追溯到2004年,是由Nagai等开发的,用于数字表面模型和纹理特征的获取。随后,Wallace等(2016)研制了一种低成本无人机激光

雷达系统(TerraLuma),用于森林资源清查;Guo等(2017)研发了LiAir V系列无人机激光雷达系统,用于不同森林类型的三维动态监测;Gottfried等(2015)介绍了一种多旋翼无人机激光雷达系统(RIEGL VUX-SYS),开展多种行业应用研究。与此同时,近些年来由Velodyne、Routescene、Leddartech、Riegl、YellowScan、Geodetics以及大疆等公司研发的无人机激光雷达传感器进入市场,正推动着无人机激光雷达系统向多维化、立体化方向发展,也逐步促进其成为区域—景观尺度自然资源调查的一种重要手段。

## 2.3 地面激光雷达系统

地面激光雷达,通常用于单一目标或者小尺度精细三维数据的采集。地面激光雷达按工作方式可细分为固定平台类和移动平台类(郭庆华等,2014)。固定式激光雷达扫描仪以单站扫描、多站拼接的方式实现对整个测区的覆盖,目前较为典型的固定式激光雷达扫描仪,如表3所示,有

Riegl VZ、Trimble VX、Faro Focus 3D、Leica ScanStation系列等。移动式地面激光雷达扫描系统，以背包式、车载和船载激光雷达为代表，其中背包式激光雷达将激光雷达传感器、高精度GNSS (Global Navigation Satellite System) 设备与同步定位与制图构建SLAM (Simultaneous Localization and Mapping) 技术相结合，实现了在无GNSS信息时，仍可获取扫描范围内的高精度三维点云数据 (Guan等, 2020)。目前市场上已有比较成熟的背

包激光雷达产品，如北京数字绿土科技有限公司的LiBackpack系列产品。而车载和船载激光雷达系统通常整合了激光雷达传感器、全球定位系统GPS (Globe Positioning System)、惯性测量单元IMU (Inertial Measurement Unit) 等硬件，辅助实现激光雷达数据的自动拼接。地面激光雷达可以详细、准确地提供目标的高质量三维点云数据，它的出现弥补了现有观测手段的不足，正逐渐成为精细尺度自然资源调查的一个有力工具。

表2 常见机载激光雷达系统

Table 2 Specifications of common airborne LiDAR systems

品牌/平台	国家	传感器	波长/nm	脉冲重复频率/KHz	扫描频率/Hz	视场角/(°)	激光发散角/mrad	测距范围/m	用途
NASA	美国	SLICER	1064	—	—	—	1.5	6700	区域—景观尺度的地表特征提取及自然资源动态变化监测
		MABEL	1064/532	5—25	—	6	0.1	20000	
RIEGL	奥地利	LMS-Q680i	1550	≤400	10—200	60	≤0.5	30—1600	
		LMS-Q780i	1550	≤400	10—200	60	≤0.25	50—5800	
Leica	瑞士	ALS70-CM	—	≤500	120—200	75	~0.15	100—1600	
		ALS80-CM	—	≤1000	120—200	72	0.15—0.18	100—1600	
Trimble	美国	AX60i	近红外	80—400	200	60	≤0.5	30—1600	
		AX80	近红外	200—800	400	60	≤0.25	50—4700	
Optech	加拿大	ECLIPSE	1500	≤450	100	60	—	50—1000	
		Galaxy	1064	35—550	0—200	60	0.25	150—4700	
LiAir V	中国	Mid40	905	—	—	圆形 38.4	—	260	
LiAir 50 Lite		Velodyne VLP-16	903	—	5—20	30/360	—	100	

表3 常见地面激光雷达系统

Table 3 Specifications of common terrestrial LiDAR systems

品牌	国家	传感器	波长/nm	脉冲重复频率/KHz	扫描频率/Hz	视场角/(°)	激光发散/mrad	测距范围/m	用途
Trimble	美国	TX8	1500	1000	30—60	360×317	0.3	120	高精度三维信息获取；特定目标区域自然资源监测，结构参数提取
RIEGL	奥地利	VZ_400—1000系列	近红外	70—1200	3—120	360×100	0.35	0.5—1200	
		VZ_2000—6000系列	近红外	30—1000	2—240	360×60	0.12	1.0—6000	
Leica	瑞士	ScanStation P16/P30/P40	1550/658	≤1000	—	360×290	0.23	0.1—40 0.4—120 0.4—270	
Optech	加拿大	ILRIS-LR	1064	10	—	40×40	0.25	3—3000	

### 3 激光雷达在自然资源调查中应用现状

目前随着不同平台激光雷达系统的出现及不断发展，激光雷达正以其无可比拟的数据密度大、数据精度高、穿透能力强、不受太阳高度角和阴影影响、抗干扰能力强、体积小、重量轻、作业效率高等优点，被广泛应用于不同尺度土地资源、

森林资源、草地资源、湿地资源、水资源、海洋资源、矿产资源等三维动态监测中。

#### 3.1 土地资源调查监测

土地资源是人类赖以生存的重要物质基础，也是不可再生资源之一 (张增祥等, 2016; 苏琦等, 2020; Volchko等, 2020)。土地资源的动态监测是合理利用土地资源及保持良好土地生态环

境的重要环节(胡少雄等, 2020; Somvanshi等, 2020)。截至目前, 中国已进行了3次全国范围内的土地资源调查, 而遥感技术在历次土地资源的地类、位置、面积、分布等属性的调查和监测中都发挥了非常重要的作用。目前以光学卫星遥感数据为基础, 已有较多全球和区域尺度上的土地类型分布图产品, 如美国地质调查局发布的全球土地覆盖特征数据库、欧洲环境署发布的环境坐标信息数据库CORINE (Coordination of Information on the Environment)等(Johnson和Singh, 2003)。而以上的产品因以传统光学遥感数据为基础, 所以其精度易受阴影和投影差的影响(Dare, 2005; Zhou等, 2009)。

激光雷达作为一种主动遥感技术, 因其穿透能力强、不受阴影影响、抗干扰能力强等特点, 有望克服传统光学遥感存在的问题, 因此, 在过去十几年间被广泛的应用于土地资源动态研究中(Benediktsson等, 2007; Chehata等, 2009; Zhang, 2010; Wu等, 2018; 葛全胜等, 2020; Matikainen等, 2020)。土地类型分类和目标识别是土地资源动态监测的重要前提和基础, 而激光雷达所能提供的三维结构信息为土地类型分类提供了新维度的数据支持。相比于星载、地面平台, 目前机载激光雷达系统因其全覆盖、大尺度、高效率的特点被更广泛的应用于土地资源调查监测中。大量研究表明将机载激光雷达数据所能提供的高度信息应用于土地类型分类, 可以使分类精度提高5%—6%(Priestnall等, 2000; Hartfield等, 2011; Zhang等, 2018; Fragoso-Campón等, 2020)。除了高度信息外, 激光雷达的强度信息也被认为是辅助土地类型分类的重要数据(Priestnall等, 2000; Hartfield等, 2011; Chen等, 2018; Liu等, 2019b)。Im等(2008)对将激光雷达提取参数应用于土地类型分类的精度进行了综合评价, 结果表明强度信息可以使分类精度提高10%—20%。与此同时, 波形激光雷达所具有的波形信息也是进行地物分类的重要依据, Mallet等(2008)首次将波形数据应用于地物分类。目前通过高斯波形分解所提取的波形特征信息, 如波幅、回波数量、波宽等, 被大量应用于土地类型分类研究中(Alexander等, 2010; Ghosh等, 2017; Zhen等, 2019)。近些年来, 相比于航空机载平台, 无人机激光雷达平台因其方便灵活性及高数据精度, 目前在小尺度土地类型

分类研究中发挥越来越重要作用(Liu等, 2020)。Liu等(2020)以无人机激光雷达数据为基础对某一小岛的土地类型进行分类, 发现激光雷达数据可以使土地类型分类精度提高10%。在土地类型分类的基础上, 激光雷达在各地类垂直结构信息的提取上也表现出巨大的优势, 同时由其生成的数字高程模型除了是土地资源调查的底图外, 也是地形要素(坡度、坡向、等高线等)提取的重要基础数据(Zhang等, 2003; Sithole和Vosselman, 2004; Schultz-Fellenz等, 2018; Prince等, 2020)。同时无人机激光雷达在农村不动产权籍调查中也发挥着越来越重要的作用(吉绪发, 2020)。

激光雷达以其能够获取三维信息的优势被广泛应用于土地资源调查监测中, 在土地类型识别、地形要素提取、土地确权等方面发挥着重要作用。而在土地资源动态监测方面, 受限于多期数据的获取成本, 目前激光雷达还难以应用于大尺度土地资源动态监测研究中。因此目前依靠单一的激光雷达数据难以实现大尺度土地资源动态监测, 如何将激光雷达数据与高分辨率的影像数据如QuickBird数据(Chen等, 2018; Xie等, 2019)和WorldView数据(Quang Minh和La, 2011; Kim和Kim, 2014; Rizeei和Pradhan, 2019)相结合进行土地资源动态监测是未来重要的应用趋势。同时随着新型激光雷达传感器的不断革新与发展, 单光子、多光谱、高光谱激光雷达的出现与普及, 将为土地资源调查提供一种更强有力的技术手段。与此同时, 随着深度学习技术(Deep learning)的不断发展, 如何将多源遥感数据与深度学习相结合, 是未来土地资源遥感调查监测的重要发展方向(Zhang等, 2018; Wu等, 2019)。

### 3.2 森林资源调查监测

森林是重要的自然资源, 是陆地生态系统的关键组成部分, 占全球总植被碳储量的86%, 对维持全球碳平衡和改善全球生态环境具有十分重要的意义(胡海清等, 2020; Chave等, 2005)。森林资源的动态调查监测是保证森林资源可持续发展的重要前提, 激光雷达技术克服了传统光学遥感所存在的饱和效应, 以其可直接获取森林三维结构信息这一巨大优势, 成为森林资源调查与监测的一种重要的遥感监测手段(郭庆华等, 2014, 2018; Lefsky, 2010; Pearse等, 2017)。

森林资源结构和功能参数的提取是森林资源调查监测的基础，不同激光雷达平台以其不同的特点被分别应用于不同尺度森林资源三维结构参数的提取研究中（van Leeuwen 和 Nieuwenhuis, 2010; Watt 等, 2019）（图 3）。星载的 ICESat/GLAS 数据以观测范围大、时间连续、成本低等优点被广泛应用于区域—全球尺度森林树高、生物量、叶面积指数等参数的反演（Clark 等, 2004; Lefsky, 2010; Hu 等, 2016; Su 等, 2016; Tian 等, 2017）。例如 Lefsky (2010) 将 ICESat/GLAS 数据和 SRTM (Shuttle Radar Topography Mission) 数据相结合成功估计了亚马逊和美国几个试验区的森林高度；Tang 等 (2014) 以生物物理模型为基础对 ICESat/GLAS 波形数据做递归分析，实现了全美地区的叶面积指数估算；Su 等 (2016) 和 Hu 等 (2016) 将 ICESat/GLAS 数据、光学影像数据及地面实测数据相结合，分别实现了中国和全球范围内森林地上生物量的估算。机载激光雷达特别是无人机激光雷达，以其获取时间灵活、数据精度高、全覆盖等优势被广泛应用于景观—区域尺度冠层水平以及单木水平森林垂直结构信息的获取，如树高 (Huang 等, 2011)、冠幅 (Maltamo 等, 2009)、冠高 (Means 等, 2000)、枝下高 (Luo 等, 2018) 和地上生物量 (Li 等, 2015) 等。单木参数的获取是以单木分割为基础，目前单木分割算法相对成熟，可以分为“自上而下”分割和“自下而上”分割两类 (Li 等, 2012; Tao 等, 2015)。而地面激光雷达以其可提供毫米级数据的优势，被应用于单木—样地尺度的森林参数的提取，如单木位置、树高、胸径、树干材积、蓄积量等 (Moorthy 等, 2011; Vicari 等, 2019)。同时以枝叶分离算法为基础 (Tao 等, 2015)，被应用于叶片水平 (叶面积、叶倾角和方位角) 和枝干水平 (分支角度、长度、粗度等) 精细结构参数的获取 (Li 等, 2018b, 2020b)。以森林资源结构和功能参数的提取为基础，目前激光雷达也被广泛应用于森林资源动态变化研究中，如 Næsset 等 (2013) 将激光雷达与地面实测数据相结合，对比分析了采伐、退化和未干扰 3 种森林类型的生物量变化趋势；Zhao 等 (2018) 利用多时相激光雷达点云数据，监测了森林树木生长动态及生物量变化；Ma 等 (2018) 使用两期激光雷达数据，探测了单木水平上树木的高度生长量，并以此为基础定量分

析了单木间的竞争关系；Hu 等 (2019) 使用林区火前和火后两期激光雷达数据构建了基于激光雷达的林火烈度指数，评估了森林资源损失情况。同时，激光雷达在获取林下地形方面也表现出无可比拟的优势，目前地面滤波算法已经相对比较成熟 (Zhao 等, 2016)。

激光雷达应用于森林资源调查监测，最早可以追溯到 1970 年代，发展到现在已有较为成熟的数据处理算法体系和森林调查技术体系。目前，激光雷达在不同尺度 (个体—样方—景观—区域—全球) 的森林资源三维结构参数提取中都已有比较成熟的算法流程，并具有较高的参数提取精度。同时以多期机载激光雷达数据为基础，初步实现了小尺度森林资源生长动态监测。目前已有研究多以单波段激光雷达数据为基础，单波段激光雷达在森林资源三维结构信息提取中具有绝对优势，但难以应用于森林资源树种分类识别研究。在未来研究中如何将激光雷达数据与光学遥感数据相结合，以及如何实现多光谱、高光谱激光雷达的普及应用，对于以遥感为基础的森林资源三维动态监测具有十分重要的意义。与此同时，不同平台的激光雷达系统在不同尺度森林资源动态监测中各具优势，因此如何将不同平台激光雷达数据与光学遥感数据相结合，同时实现新型激光雷达传感器 (单光子、多光谱、高光谱) 的普及应用，是未来以激光雷达为基础的森林资源三维动态调查监测的重要趋势。

### 3.3 草地资源调查监测

草地资源是分布最广泛的自然资源，是生态文明建设不可或缺的要素，对维护国家生态安全、促进草原地区经济社会发展具有重要意义 (Jin 等, 2014)。激光雷达技术的出现，为草地资源的三维动态监测提供了一种全新的遥感手段 (Cooper 等, 2017; Wijesingha 等, 2019; Xu 等, 2020)。

因草地资源本身的特殊性，相比于森林资源，激光雷达在草地资源调查监测中的应用起步较晚，目前仍处于初级阶段 (Schulze-Brüninghoff 等, 2019; Xu 等, 2020)。激光雷达在草地资源调查监测研究中，最早被用来提取灌木的冠层高度 (Streutker 和 Glenn, 2006)，随着激光雷达技术的发展，研究人员开始逐步将其应用于提取更多的草地结构参数，包括冠层高度、覆盖度、冠层体

积等 (图 4) (Streutker 和 Glenn, 2006; Mitchell 等, 2011; Fan 等, 2014; Anderson 等, 2018; Xu 等, 2020)。同时以提取的结构参数为基础, 通过构建生物量估算模型, 实现草地生物量的估测 (图 4) (Olsoy 等, 2014; Greaves 等, 2015, 2016; Cooper 等, 2017; Li 等, 2017; Wallace 等, 2017; Wang 等, 2017; Anderson 等, 2018; Wijesingha 等, 2019; Schulze-Brüninghoff 等, 2019; Xu 等, 2020)。也有部分研究基于草地结构参数和生物量, 来探索分析草地的空间格局动态变化 (Zlinszky 等,

2014; Fisher 等, 2018; Marcinkowska-Ochtyra 等, 2018; Zlinszky 等, 2016; Jansen 等, 2019; Moeslund 等, 2019)。如 Li 等 (2019) 以地基激光雷达为基础, 通过提取草地结构参数、生物量和地形因子, 实现了退化草地的恢复监测。Jansen 等 (2019) 利用激光雷达提取的草地结构参数估算生物量, 并以此为基础对草地空间异质性进行了分析。Zlinszky 等 (2016) 和 Moeslund 等 (2019) 分别利用机载激光雷达成功评估了不同草地类型的空间异质性, 并将其应用于草地生物多样性的评估。

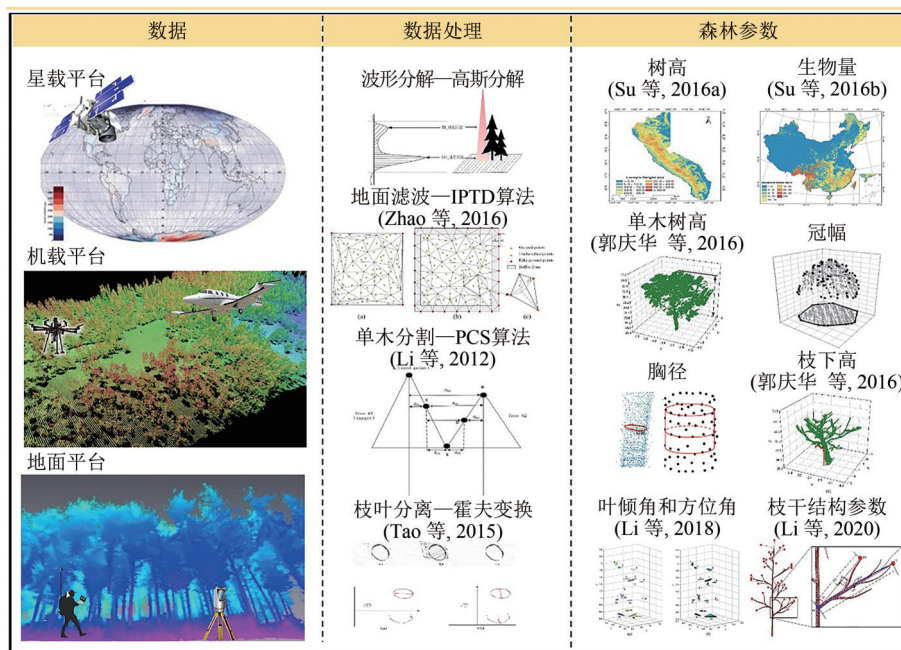


图 3 基于不同激光雷达平台的森林参数的提取

Fig.3 Retrieval of forest attributes based on different lidar platforms

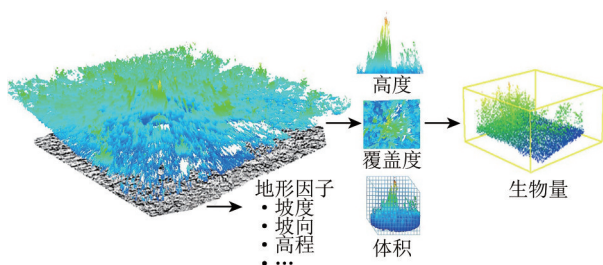


图 4 基于激光雷达的草地参数提取

Fig.4 Retrieval of grassland attributes based on lidar data

目前激光雷达在草地资源动态监测中已有初步应用, 但其潜力值得进一步探索和挖掘。与其他自然资源动态监测不同, 目前以激光雷达为基础的草地资源动态监测研究, 在三维结构参数提取基础上, 集中于草地资源空间分布格局动态变化研究, 鲜有研究关注其年际变化, 这是由草地

资源本身的生长特性所决定的。总体来看, 目前激光雷达应用于草地资源动态监测多以地面和机载平台为主, 而星载激光雷达的相关应用处在尚待深入探讨阶段。地面和机载激光雷达适用于局部或样地尺度草地资源的动态监测研究, 随着无人机激光雷达平台的不断发展与广泛应用, 激光雷达在样方-景观尺度草地资源动态监测方面将表现出巨大应用潜力。因此, 如何以多平台激光雷达为基础, 提取出更精确和更具生态意义的草地结构参数, 是目前草地资源动态监测关注的重点问题之一 (Fan 等, 2014)。

### 3.4 湿地资源调查监测

湿地作为重要的自然资源, 具有多种生态功能, 能提供多种生态系统服务, 对生物多样性、



生态安全和人类福祉至关重要（陈宜瑜和吕宪国，2003）。传统湿地资源调查监测方法主要采用野外调查技术，具有费时费力的特点（张树文等，2013；邱霓等，2017）。近30年来，遥感技术已成为湿地资源调查监测的主要技术手段，目前已有大量以传统光学遥感为基础的湿地调查监测的相关研究（韦玮等，2010；Simard等，2006；Zhu等，2015；Mao等，2020；Wan等，2020）。大量研究表明光学遥感技术无法满足精细尺度的湿地调查监测，难以实现垂直结构信息和地形信息的获取。同时，由于人类的干扰，湿地资源出现破碎化和离散化，这也亟需一种适用于中小尺度湿地的详查方法。

在局部地区的湿地调查监测中，激光雷达在获取湿地植被垂直结构信息和地形信息方面具有很强的优势性（Guo等，2017）。星载激光雷达，如ICESat/GLAS，与SRTM数据相结合，被用于湿地植被高度获取（Simard等，2019）。机载激光雷达数据不仅可以直接获取湿地地形，还可以与多光谱数据结合，提高湿地植被物种分类精度（Chadwick，2011）、实现湿地植被冠层覆盖动态变化监测（Lymburner等，2020）。无人机激光雷达具有更强的机动性和灵活性，能获取高精度的湿地信息，目前成本也在逐渐降低，在湿地资源调查监测中具有很强的应用前景（Guo等，2017）（图5）。如，Yin和Wang（2019）验证了无人机激光雷达在红树林单木识别上的可行性；Wang等（2020）将无人机激光雷达数据作为红树林湿地中条带采样工具，结合地面样方和卫星遥感数据构建了一种尺度上推方法，实现了红树林地上生物量的反演；Hu等（2020）将激光雷达数据与其他多源遥感数据相结合实现全球红树林地上生物量的估算。地基激光雷达能够提供植被的详细结构形态信息，在解决复杂湿地植被难以准确调查、观测的问题上表现出巨大潜力。Owers等（2018）的研究证明地基激光雷达是一种估算结构复杂的滨海湿地植被生物量的一种有效的非破坏性方法。

激光雷达尽管在湿地调查监测上表现出很大的潜力，但是大多数激光雷达数据获取范围较小、成本高，无法像Landsat 8或Sentinel-2那样覆盖全球。2018-09 NASA成功发射ICESat-2卫星虽然能全球覆盖，但是数据并不连续（Li等，2020a）。

因此，目前以激光雷达为基础的湿地资源调查监测多集中于小尺度的三维结构精细提取研究，而大尺度的湿地资源动态监测研究还多以激光雷达数据与全覆盖遥感影像相融合为基础。同时单波段激光雷达数据在湿地资源物种识别上具有一定的局限性。另外，大多湿地有明显的浅层水覆盖，激光雷达打到水面上时，无法得到有效点云（Bandini等，2020）。因此，激光雷达未来在进行湿地水源补给、流出状况和积水状况等水文情况研究时，还是需要结合高分辨率光学遥感影像和水位计。综上，不同平台激光雷达数据与多源光学遥感数据相结合是实现大尺度湿地资源动态监测的重要趋势，同时新的遥感技术（如单光子、多光谱、高光谱激光雷达）出现与普及将为湿地资源动态监测提供新的技术支持。

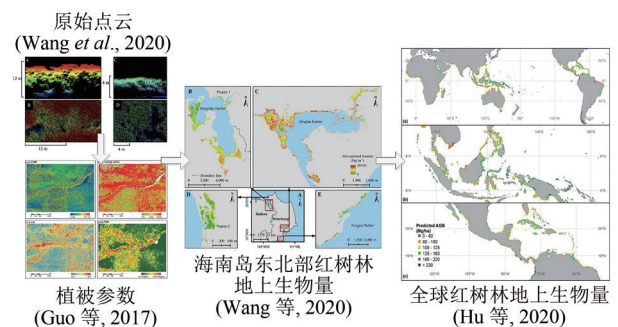


图5 无人机获取的红树林点云数据及地上生物量上推过程  
Fig.5 Examples of unmanned aerial vehicle (UAV) lidar data in mangrove forests and the upscaling of mangrove aboveground biomass through the integration of UAV lidar data and optical imagery

### 3.5 水资源调查监测

水资源作为自然资源的重要组成部分，在全球变化的背景下，其时空分布格局正在发生着重大变化，水资源的快速、准确、及时动态监测是解决水资源供需矛盾的重要前提（陈亚宁等，2014）。目前激光雷达在冰川水资源和地表水资源的三维动态监测方面表现出较大优势（高志远，2019）。

目前星载ICESat/GLAS数据是冰川海冰厚度动态变化监测的重要数据源，大量研究以多期ICESat/GLAS数据为基础，对冰川消融、出水高度、冰川厚度体积变化进行动态监测（Li等，2018a；Smith等，2019）。随着欧洲空间局高分辨率冰探测卫星CryoSat-2的成功发射，不少学者开

始利用 CryoSat-2 数据研究冰川海冰高程的变化 (Laxon 等, 2013; Kwok 和 Cunningham, 2015)。同时 2018 年由 NASA 发射的新一代激光测高仪 ICESat-2/ATLAS 为长期研究测量冰川、冰盖和海冰等动态变化提供了新的数据源 (王建宇, 2013; Yu 等, 2010; Smith 等, 2019)。与此同时, 激光雷达数据也被应用于雪深的动态监测中 (Deems 等, 2013), 如 Shu 等 (2018) 利用 ICESat/GLAS 数据对众多北极冰雪湖进行重复测高, 得出北极地区的积雪厚度变化信息。Kwok 和 Markus (2018) 利用 CryoSat-2 和 ICESat-2 的高度差异实现了雪深的估算。机载激光雷达也是区域尺度雪深动态监测的一种重要手段 (Harpold 等, 2014; Behrangi 等, 2018)。Kirchner 等 (2014) 以机载激光雷达数据为基础, 对内华达山脉南部沿海海拔梯度季节性积雪进行了测量。Zheng 等 (2019) 利用机载激光雷达数据对加利福尼亚州内华达山脉积雪空间格局进行了分析, 并进一步探讨了积雪空间格局与树冠和地形间的相互关系。同时, 随着无人机激光雷达的不断发展, 其小尺度雪深和积雪评估研究中表现出较大的应用潜力 (Bernard 等, 2017; Harder 等, 2020)。Harder 等 (2020) 以无人机激光雷达为基础, 对山地和草原生态系统中的雪深和积雪动态变化进行了高精度动态评估。在地表水资源水位动态变化监测方面, 激光雷达普遍具有较高精度且应用较为广泛, 如吴红波 (2019) 利用 1990 年—2015 年 Landsat TM/ETM/OLI 影像和 2002 年—2015 年多年星载激光雷达测高资料, 借助归一化水体指数, 提取博斯腾湖湖泊水域面积, 结合湖泊水位观测数据, 对星载激光雷达提取的湖面瞬时水位估计值进行了对比与分析。Wang 等 (2013) 根据 2003 年—2009 年的 ICESat/GLAS 数据, 监测了中国 56 个湖泊的水位变化。Zhou 等 (2019) 也运用 ICESat/GLAS 测高数据量化了两个由冰川融水形成的湖泊 2003 年—2009 年的水位变化, 进而建立一种由湖面面积变化和湖水水位变化之间的统计关系。Verpoorter 等 (2014) 研究表明星载激光雷达技术在垂直结构和地表高度测量上的精度可达到分米级, 可以满足湖泊水位信息提取的精度要求, 尤其是在较大面积的湖泊水位估计具较大潜力。与此同时, 近些年来, 随着测深激光雷达 (Bathymetric Lidar) 的

出现和不断发展, 激光雷达在地表水资源水位动态变化监测表现出越来越强的技术优势 (Wang 和 Philpot, 2007; Mandlbürger 等, 2015)。

目前, 以多期数据为基础, 激光雷达在大尺度冰川高度和地表水水位变化等动态监测方面都有较好的应用。从平台来看, 星载激光雷达在大尺度冰川高度变化及湖泊水位变化动态监测应用较多且算法较为成熟, 而新一代星载激光雷达卫星 ICESat-2 的成功发射将为大尺度水资源动态监测提供新的数据支持; 机载激光雷达在小尺度地表水 (包括雪深和湖泊水位等) 的动态变化监测中表现出突出优势, 特别是随着方便灵活的无人机平台的不断发展; 地面激光雷达平台, 因观察尺度限制, 目前应用于水资源动态监测研究相对较少。相比于动态监测研究, 目前激光雷达在水资源的水质定量化监测研究方面还存在一定的困难, 同时难以实现地下和土壤水资源的动态监测, 而激光雷达数据与传统光学数据相融合, 以及未来多光谱、高光谱激光雷达不断发展和应用, 将为这一问题解决提供新的数据支持。因此, 在未来研究中, 如何实现不同类型数据源的联合构建, 发挥各数据源各自优势, 是实现不同尺度水资源全面动态监测的重要研究基础。

### 3.6 海洋资源调查监测

海洋是覆盖地表面积最大的自然资源, 准确实现海洋资源的生态监测及水文参数测量对维持全球气候变化及生态平衡具有重要意义, 也是保护和开发海洋资源的重要前提 (张微微 等, 2019; Bianchi 和 Morri, 2000)。激光雷达作为一种主动式的测量技术, 它具有测量精度高、分辨率高、全天候监测和探测跨度大的优势, 能够提供海洋垂直层面的分布信息, 近些年来在海洋资源监测研究方面取得了迅猛的发展 (金翔龙, 2004, 2007; 栾晓宁 等, 2014; Dickey 等, 2006; Hostetler 等, 2018)。

激光雷达应用于海洋资源监测最早可以追溯到 1968 (Hickman 等, 1969), 目前激光雷达常用波段有蓝绿、近红外、红外波段等, 而蓝绿光激光雷达能够穿透水体, 而被广泛的应用于浅海地形测绘、珊瑚礁的监测、水下鱼群监测等相关研究领域 (张晓浩 等, 2010; 刘志鹏 等, 2019; 张

锋等, 2019; Brock等, 2006; Brock和Purkis, 2009; Reineman等, 2009; Liu等, 2019a; Pittman等, 2009; Zhou等, 2019)。如Finkl等(2005)以蓝绿光激光雷达为基础对美国佛罗里达东南珊瑚礁区由海岸至离岸6 km的海域的地形进行全面的测量, 并完成了大量地貌特征的识别; Reese等(2011)以蓝绿光激光雷达为基础发现了鲸、海鸟、鲱鱼以及南极磷虾之间的掠食行为, 并探测到了海面附近的鱼群对调查船只的躲避行为。除了地形、生物探测外, 水深探测也是海洋资源动态监测重要内容, 而目前探测水深的激光雷达可以分为单频和双频两大类, 单频是蓝绿激光波段为基础, 依据于波段在水中的反射、折射和衰减等光学特性实现水深探测; 而双频则是低功率的红外波段与较大功率的蓝绿光波段像结合, 依据于两波段的光学特性差异实现水深探测(图6), 目前两种方式在水深测量中都有较为广泛的应用(刘焱雄等, 2017; 张靓等, 2017; Casella等, 2017)。浮游植物也是海洋的重要组成部分, 蓝绿光和近红外激光雷达难以实现其动态监测, 基于激光诱导荧光效应的荧光激光雷达在探测分析海洋浮游植物物及叶绿素等物质的种类和丰度分布信息上发挥着重要作用(Fiorani等, 2019; Chen等, 2020)。海洋激光雷达在海洋温度探测和海水成分参数分析等相关研究中也广泛的应用(Barbini等, 2001; Yu等, 2014)。

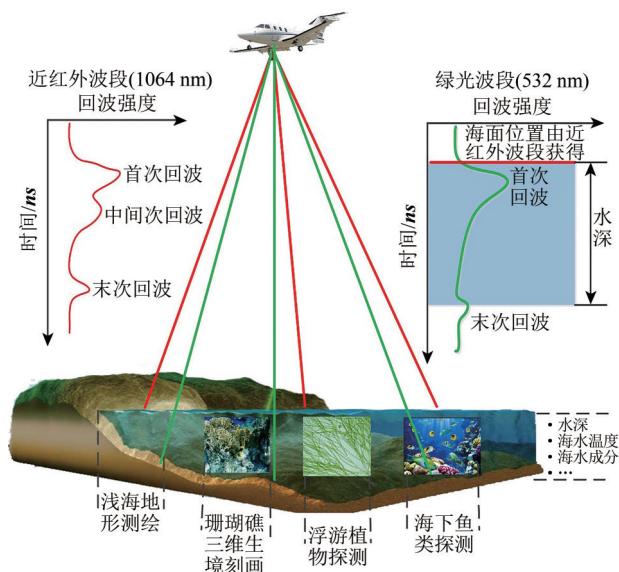


图6 双频激光雷达原理示意图及在海洋资源监测中的应用

Fig.6 Schematic diagram of dual-frequency lidar and its application in marine resource monitoring

目前激光雷达凭借其独特的优势在浅海地形测绘、珊瑚礁三维生境刻画、浮游植物和海洋鱼类探测、水深探测、海水温度、成分评估等方面发挥着重要作用, 正推动着水下生态环境三维监测的发展, 已然成为海洋资源监测最有效的技术手段之一(陈戈等, 2019)。自1968年第一个海水测深系统研制成功以来, 机载海洋激光雷达发展到现在已经成为最先进、最有效的海洋资源监测平台。而目前无人机技术的迅猛发展, 也将不断推进机载海洋激光雷达的快速发展和深入应用。同时小型化、自动化、多波段、多通道是海洋激光雷达未来发展的重要趋势, 如何将激光雷达与其他遥感数据相结合, 是拓宽海洋激光雷达的应用范围的必然趋势。

### 3.7 矿产资源调查监测

矿产资源是一类非常重要的自然资源, 是社会经济发展和人类社会进步的重要物质基础, 同样也是国家安全和经济社会发展的重要保障(李文芳等, 2008; Arndt等, 2017; Goodenough等, 2018)。对矿产资源进行勘测以及动态监测, 对保障矿产资源的科学、高效、安全、合理的开发和利用具有重要作用。目前激光雷达技术在矿产资源的勘探和矿区生态环境监测中已有初步应用(Errington等, 2016; Caudal等, 2017; Wu等, 2018)。在矿产资源探测方面, Errington等(2016)利用激光雷达回波信息对矿区地表的漫反射率进行建模, 从而对地下钾矿中的粘土矿物含量进行估算, 表明了激光雷达在绘制矿区边界, 估算矿储量大小上的潜力。在矿区生态环境监测方面, 目前已有研究多以构建数字高程模型为基础, 用于边坡稳定性(张贺, 2015)、开采沉陷(郭超, 2014; 施展宇, 2014)、矸石山复垦(刘强等, 2015)、滑坡灾害(张进德等, 2008)等探测研究。同时也有研究利用激光雷达对矿山的植被进行了动态监测(吕国屏, 2018)。总的来说, 目前以激光雷达为基础的矿产资源动态监测研究相对较少, 但激光雷达在矿产资源动态监测的各个方面都表现出巨大优势(图7), 同时随着激光雷达的不断发展特别是无人机平台优化和完善, 激光雷达将是未来矿产资源动态监测的一种重要手段。

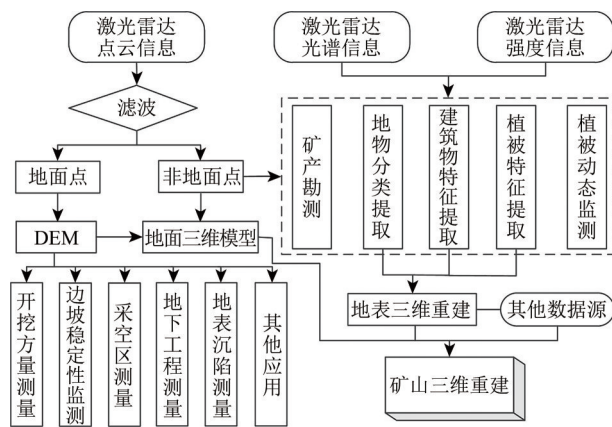


图7 激光雷达在矿产资源领域的应用前景图

Fig.7 An illustration of the prospects of lidar applications in mineral resource monitoring.

#### 4 激光雷达在自然资源调查中应用潜力和局限性分析

激光雷达以其三维探测的特性，目前在土地、矿产、森林、草原、湿地、水、海洋等自然资源的地形和三维属性获取方面表现出巨大的优势。同时随着激光雷达技术的不断发展，除了三维空间信息外，物理时间维度（多时相）信息以及回波强度信息（单波段或多波段）也将会越来越被深入挖掘与应用，Eitel等（2016）将三维空间信息、时间信息、回波强度信息定义为5D（Five-Dimensional）激光雷达信息。激光雷达5D信息的深入挖掘，将使其在自然资源调查监测中表现出全新的应用潜力。首先，多时相激光雷达数据（三维空间信息+时间信息）将实现自然资源随时间变化的三维动态变化监测，如滑坡和断层特征的实时追踪、植被结构和功能的动态变化监测、冰盖体积及湖泊面积的动态变化探测等等。其次，多光谱激光雷达（三维空间信息+光谱信息）将拓宽激光雷达在各类自然资源监测中的应用范围，在各类自然资源三维生物物理特性获取、自然资源类型和元素识别（土地类型识别、物种识别、冰盖类型识别等）、自然资源质量功能评估等方面将表现出巨大的应用潜力。最后，多时相多光谱激光雷达（三维空间信息+时间信息+光谱信息），全新的5D激光雷达信息将很好的弥补激光雷达传统三维空间信息所存在的监测局限性，促使其在各类自然资源的全要素、全属性的三维动态变化监测中发挥巨大的作用。与此同时，近些年来，随着近地面激光平台（无人机、背包、车载）不断发展和优

化，激光雷达将在中小尺度自然资源全要素精细动态监测中发挥越来越重要的作用。由于平台间的互补性，无人机和背包平台相结合将成为以激光雷达为基础的中小尺度自然资源动态监测的重要趋势，目前已经在森林资源三维动态监测中得到初步应用和验证。同时，随着新型激光雷达传感器的不断革新和发展，单光子、多光谱、高光谱激光雷达的出现与普及，将有望解决目前难以获取大范围、高精度、多波段激光雷达数据的困境，全新的激光雷达技术在未来的自然资源三维动态监测中将表现出巨大潜力。

尽管如此，目前激光雷达在自然资源的动态监测中仍表现出一定的局限性，主要表现在以下几个方面：

（1）激光雷达很难提供丰富的光谱信息。目前在自然资源监测中应用最广的激光雷达多以单波段激光雷达为主，尽管商业多波段激光雷达开始逐步进入行业应用，但其成本较高应用较少。单波段激光雷达不能提供丰富的光谱信息，所以在自然资源各类别和各元素的识别和生理特性探测上表现出较大的局限性。具体主要表现为难以实现森林、草地、湿地资源的植物物种的识别以及植物生理特性的探测，难以直接应用于土地类型识别等。

（2）激光雷达很难提供大范围全覆盖全天候的数据。目前星载激光雷达数据尽管范围覆盖全球，但数据呈条带状，数据并不连续，虽有回访周期，但样带重叠率较低。机载和地面激光雷达应用较为广泛，可以获取全覆盖数据，但由于其获取成本较高，目前多应用于景观一样地尺度的数据获取，难以应用于区域—全球尺度全覆盖全天候的获取。

（3）激光雷达很难实现全三维信息的获取。自然资源完整的激光雷达点云获取是实现自然资源三维动态监测的重要前提，而单平台激光雷达很难实现目标物完整三维信息的获取。以机载和地基激光雷达监测森林资源为例，机载激光雷达系统能够获取大范围森林冠层信息，但其点云密度较小、同时由于冠层遮挡无法精确、完整地获取下层植被信息；而地基激光雷达可获取的高精度、高密度林分三维结构信息，但因其扫描范围有限，在结构复杂、枝叶茂盛的林区难以获得上层林冠信息。

(4) 激光雷达数据处理及信息提取算法目前还不够完善与系统。目前国内外学者已在激光雷达自然资源应用领域开展了大量研究工作, 并已形成了初步的方法体系。但由于面向对象的不同、传感器类型的不同及观察尺度的不同, 其相应的算法体系往往具有一定的局限性, 还未形成系统完善的理论算法体系, 数据获取和分析处理软件相对缺乏。与此同时, 受限于传感器类型及获取尺度的不同, 不同平台数据间的高精度融合仍存在一定难度。

## 5 结 语

随着激光雷达技术及平台的不断发展, 激光雷达在不同尺度自然资源三维动态调查监测中将发挥越来越重要的作用。而单一激光雷达数据难以满足自然资源全要素、全流程、全覆盖、高精度、高效率的现代化动态监测的要求, 如何实现多源、多尺度、多平台遥感数据的复合协同应用, 构建“天—空—地”一体化的自然资源调查监测技术体系, 加快各类自然资源遥感技术应用的标准研究, 是自然资源遥感应用的未来重点研究方向。与此同时, 随着大数据时代的来临, 人工智能和云计算等高新技术的不断发展, 将加快多源、多尺度、多平台遥感数据在自然资源调查应用中的纵深发展, 为全面提高遥感数据集群化处理、遥感信息自动智能提取以及遥感信息动态变化智能探测的能力提供了技术支持和保障。多源、多尺度、多平台遥感数据与人工智能相结合, 实现自然资源数量、质量、生态一体化监测和山、水、林、田、湖、草集成化监测, 是自然资源一体化三维动态监测的未来发展方向。

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## Current status and prospect of three-dimensional dynamic monitoring of natural resources based on LiDAR

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**Abstract:** Natural resources, as the necessary conditions for human survival and development, play an important role of driving force and main support for achieving high-quality and sustainable economic development, and are also the fundamental carrier for building a beautiful

China and deepening the system reform of ecological civilization. Thus it is of great significance for human survival and development to achieve the high-precision and high-efficiency investigation, evaluation and monitoring of various natural resources. As an active three-dimensional remote sensing observation technology, Light Detection and Ranging (LiDAR) is playing an increasingly important role in the three-dimensional dynamic monitoring of multi-scale natural resources, such as land, mineral, forest, grassland, wetland, water, and ocean resources. To better understand the development and application situation of LiDAR in the three-dimensional dynamic monitoring of multi-scale natural resources, in this paper we first briefly introduced the current development status of LiDAR technology, including the review of technological development history of LiDAR and the brief elaboration of different LiDAR platforms (e.g. spaceborne LiDAR systems, airborne LiDAR systems, terrestrial LiDAR systems, etc) and their components. Then we reviewed respectively the application of LiDAR technology in three-dimensional dynamic monitoring of land, mineral, forest, grassland, wetland, water as well as ocean resources, and preliminarily analyzed the potentials and limitations of different LiDAR platforms in the three-dimensional dynamic monitoring of multi-scale natural resources. Based on the above review, we then comprehensively analyzed the potentials and limitations of applying LiDAR in natural resource surveys. The analysis showed that it is no doubt that the LiDAR technology will show the enormous advantages and potential in the three-dimensional dynamic monitoring of multi-scale natural resources in the future, as the fast development of the single photon LiDAR, multispectral LiDAR, hyperspectral LiDAR as well as Unmanned Aerial Vehicle (UAV) LiDAR platform. Certainly, LiDAR technology also demonstrated some limitations in natural resource surveys, which were mainly embodied in the following four aspects: (1) it was difficult for LiDAR technology to provide rich spectral information of natural resource; (2) A wide range of the all-weather and full-coverage LiDAR data normally was inaccessible; (3) The full three-dimensional information of natural resource was hard to be generated from a single LiDAR platform; (4) The data processing and information extraction algorithms of LiDAR were not yet systematic and perfect. Finally, we discussed the future development trend and direction of the three-dimensional dynamic monitoring of natural resources based on LiDAR technology. It is believed that the continuous development in LiDAR hardware and software platforms will continue to promote the in-depth mining of LiDAR data in the applications of three-dimensional dynamic monitoring of natural resources. However, current LiDAR technology still cannot meet the requirements of full-element, full-processes, full-coverage, high-precision and high-efficiency monitoring of natural resources, owing to its shortcoming of lack of spectral information, full three-dimensional information as well as all-weather and full-coverage data. Therefore, how to fuse multi-source, multi-scale, and multi-platform remote sensing data by taking advantages of artificial intelligence to build an integrated natural resource monitoring system is the future direction of three-dimensional dynamic monitoring of natural resources.

**Key words:** remote sensing, LiDAR, natural resources, three-dimensional information, dynamic monitoring, data fusion

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