



This discussion paper is/has been under review for the journal Atmospheric Measurement Techniques (AMT). Please refer to the corresponding final paper in AMT if available.

Volcanic ash detection and retrievals from MODIS data by means of Neural Networks

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Received: 11 April 2011 – Accepted: 22 April 2011 – Published: 4 May 2011

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Published by Copernicus Publications on behalf of the European Geosciences Union.

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Abstract

Volcanic ash clouds detection and retrieval represent a key issue for the aviation safety due to the harming effects they can provoke on aircrafts. A lesson learned from the recent Icelandic Eyjafjalla volcano eruption is the need to obtain accurate and reliable retrievals on a real time basis.

The current most widely adopted procedures for ash detection and retrieval are based on the Brightness Temperature Difference (BTD) inversion observed at 11 and 12 µm that allows volcanic and meteo clouds discrimination. While ash cloud detection can be readily obtained, a reliable quantitative ash cloud retrieval can be so time consuming to prevent its utilization during the crisis phase.

In this work a fast and accurate Neural Network (NN) approach to detect and retrieve volcanic ash cloud properties has been developed using multispectral IR measurements collected by the Moderate Resolution Imaging Spectroradiometer (MODIS) over Mt. Etna volcano during 2001, 2002 and 2006 eruptive events.

The procedure consists in two separate steps: the ash detection and ash mass retrieval. The detection is reduced to a classification problem by identifying two classes of "ashy" and "non-ashy" pixels in the MODIS images. Then the ash mass is estimated by means of the NN, replicating the BTD-based model performances.

The results obtained from the entire procedure are very encouraging; indeed the confusion matrix for the test set has an accuracy greater than 90 %. Both ash detection and retrieval show a good agreement when compared to the results achieved by the BTD-based procedure. Moreover, the NN procedure is so fast to be extremely attractive in all the cases when the quick response time of the system is a mandatory requirement.

AMTD

4, 2567–2598, 2011

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1 Introduction

The recent Eyjafjalla eruption showed clearly that real time detection and tracking of the volcanic cloud evolution based on satellite data plays a key role in the aviation crisis management. Because of the well known harming effects of ash cloud particles on aircrafts (loss of power, failure of high-bypass turbine engines, abrasion of turbine blades, windscreens, fuselage, and Pitot static tubes, see Miller and Casadevall, 2000, many European airports were closed causing millions of passengers to be stranded, with a worldwide airline industry loss estimated of about 2.5 billion Euros (EUMETSAT Report, 2010). Both security and economical grounds necessitate a great effort to realize reliable and robust ash cloud detection and retrieval on a real time basis.

Because of the sporadic nature and the large spatial extent of the volcanic ash clouds, satellite remote sensing represents the most suitable tool to attack the problem. The best known approach to detect and retrieve volcanic ash is based on the BTD of two channels centered on 11 and 12 μm . The inversion observed in the BTD behavior when evaluated on meteorological and volcanic clouds, the underlying microphysical model and the accurate satellite data simulation by means of radiative transfer codes are the main foundations of this method (Prata, 1989a; Wen and Rose, 1994). The technique has been applied either to polar satellite instruments as the Advanced Very High Resolution Radiometer (AVHRR) (Prata, 1989b; Wen and Rose, 1994), the Moderate Resolution Imaging Spectroradiometer (MODIS) (Hillger et al., 2002; Watson et al., 2004; Tupper et al., 2004; Corradini et al., 2008a, 2010, 2011), than to geostationary satellite instruments as the Geostationary Operational Environmental Satellite (GOES) (Yu et al., 2002), and the Spin Enhanced Visible and Infrared Imager (SEVIRI) measurements (Prata and Kerkemann, 2007; Corradini et al., 2008b). The use of radiative transfer models for the ash retrievals has two main drawbacks: the need of several inputs and the processing time. The latter can yield to time consuming retrievals that can prevent an effective utilization of this information during the crisis phases.

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2 MODIS instrument

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(24 November at 12:20 UTC) Mt. Etna eruptions, have been considered as test cases. Figure 1 shows the channel 31 of five MODIS images affected by the ash absorption.

The considered MODIS dataset is representative of different volcano eruption typologies (high and medium ash emissions) occurred during different seasons (spring, autumn and winter).

4 Brightness Temperature Difference procedure description

The Brightness Temperature Description (BTD) procedure used for the volcanic ash detection, exploiting the selective absorption in the TIR spectral range, is based on the difference between the brightness temperatures of two TIR channels centered on

- 10 11 and 12 μm (Prata, 1989a, b). The main BTD advantage is its very simple and fast application, while the main drawbacks are the false alarms (negative and positive ash detections) obtained in specific and well documented cases (Simpson et al., 2000; Prata et al., 2001; Simpson et al., 2001), as over clear land surfaces at night (Platt and Prata, 1993), over soils with a high quartz content (e.g., deserts) (Barton and 15 Takashima, 1986), over very cold surfaces (temperatures less than 220 K) (Potts and Ebert, 1996), over ice-covered surfaces (Yamanouchi et al., 1987) and in presence of high water vapour content (Prata et al., 2001; Yu et al., 2002; Corradini et al., 2008a). This latter effect, that tends to attenuate and in some cases can completely cancel-out 20 the BTD signal, has been corrected by applying a procedure developed by Corradini et al. (2008a). The ash mass is computed in each pixel by using the simplified formula suggested by Wen and Rose (1994) exploiting the ash density, the pixel size, the ash extinction efficiency factor and the effective radius (r_e) and optical depth (τ), where r_e and τ are obtained from the Top Of Atmosphere (TOA) simulated “inverted arches” BTD curves vs. brightness temperature at 11 μm (Wen and Rose, 1994; Prata and Grant, 25 2001; Yu et al., 2002).

The simulated TOA radiances Look-Up Table (LUT) needed for the ash retrievals are computed by using the MODTRAN 4 (Berk et al., 1989; Anderson et al., 1995)

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Radiative Transfer Model (RTM). The inputs to MODTRAN are the atmospheric profiles of Pressure, Temperature and Humidity (PTH), the surface characteristics (temperature and emissivity), the volcanic plume altitude and thickness, and the volcanic ash optical properties. In this work all the atmospheric profiles have been collected

5 at the Trapani WMO Meteo Station (the meteorological station nearest to the volcanic area). In all the cases considered in this study the ash clouds were mainly located over the sea; therefore the surface emissivity has been taken equal to 0.99 for both 11 and 12 μm channels. The surface temperature is computed by inverting the radiative transfer equation in the TIR spectral range. The volcanic cloud altitude has been derived
10 from the comparison between the 11 μm brightness temperature of the ash cloud most opaque pixels and the WMO atmospheric temperature profiles (see Prata and Grant, 2001; Corradini et al., 2008a). The ash optical properties are derived using a Mie code (EODG, Oxford University) using the Volz et al. (1973) refractive index. The density of ash has been set to $2.6 \times 10^6 \text{ g m}^{-3}$ (Neal et al., 1994). The final set of RTM simulations,
15 computed in a multiple scattering atmosphere (16 streams), uses 801 wavelengths (from 700 to 1500 cm^{-1} , step $1 \text{ cm}^{-1} \times 15$ angles (from 0 to 75°, step 5°) $\times 9$ optical depths (from 0 to 10, constant step in a logarithmic scale) $\times 8$ particle effective radii (from 0.4 to 10 mm, constant step in a logarithmic scale). The total computational time for each LUT, by considering a personal computer (Intel dual core processor 2,
20 13 GHz) is about 4 h.

Every MODTRAN input parameter has an uncertainty that will cause errors in the ash retrievals. A 40 % of total ash mass retrieval error has been considered, accordingly to the sensitivity study carried out by Corradini et al. (2008a) considering the uncertainties of many parameters such as atmospheric profiles, plume geometry, surface
25 temperature and emissivity and ash type.

4.1 Ash Mass retrievals results

In Figs. 2 and 3 we show the ash detection and retrieval maps, respectively, computed by means of the BTD procedure applied to the 5 MODIS test case measurements.

The retrievals show the huge amount of ash emitted during the 2001 and 2002 eruption events, affecting the south Mediterranean area and north Africa. The 2006 ash emission was significantly lower, limiting the problems to the Etna surrounding area and to the Catania Fontanarossa airport.

5 Neural Network approach

In this section the Neural Network (NN) methodology for the ash detection and retrieval is described. The first problem handled is the identification of volcanic ash, while the second one is the retrieval of the ash total mass only where ash has been detected. For the two cases two separate NNs have been used. As it has already been mentioned, 10 the most effective set of channels from MODIS sensor have been considered as input for both NNs, which are the channel 28, 31 and 32 (hereafter CH28, CH31 and CH32).

The NNs are statistical-mathematical models designed to extract the underlying relationships between a given number of input and output quantities. In this work we have considered a particular type of NNs known as feed-forward multilayer perceptron (MLP) (Bishop, 1995; Haykin, 1994). MLP-NNs are composed of elementary computational units called neurons, organized in layers. Usually we have one Input layer, one Output layer and one or more Hidden layers (Funahashi, 1989). The elements of each layer are connected to the elements of adjacent layers with weighted links, and the signal propagates from one layer to the next only along the input-output (forward) 15 direction. Each neuron accepts as input a combination of the outputs from the neurons of the previous layer, and processes it by means of its Activation Function (AF). The learning stage is performed by the progressive and iterative adjustment of the weights, in order to minimize the error, between the outputs computed by the NN and the known true outputs, on an appropriate set of input-output training samples, also called training 20 patterns. During the training phase, a trade-off between accuracy and generalization capabilities of the networks is reached when the error function on an independent set of patterns, also called test set, reaches the global minimum (Prechelt, 1998). It has 25

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been demonstrated that any continuous mapping can be approximated to whatever accuracy by an MLP, with at least a hidden layer and a sufficient number of hidden neurons with sigmoidal activation function (Cybenko, 1989; Hornik et al., 1989). Moreover, in Gardner and Dorling (1998) and in Hsieh and Tang (1998) is shown how the use of this kind of NNs it is effective for the solution of atmospheric inverse problems that involve complex physical behaviors.

Relying on their capability of discovering appropriate functional mapping between the inputs and the outputs spaces, we have used the MLP-NN to approximate the linking function between the measured quantity, i.e. brightness temperature, and the quantity of interest, like the presence of ash and its mass. Furthermore, once the NN is correctly trained, it can process the new data in quasi real time thanks to its high speed computation (Del Frate et al., 2002). This opportunity makes the inversion method based on NN algorithm very attractive when the computation time speed is a concern.

As target output we have considered the results obtained by the BTD procedure over a fixed number of MODIS images.

5.1 NNs for volcanic ash detection

The first problem is the identification of volcanic ash using MODIS data. The input space is composed of three MODIS channels such as CH28, CH31 and CH32. The last two channels are the same considered for the BTD procedure. We observe that the BTD procedure also uses other ancillary data that are not taken into account in the NN algorithm. In the BTD algorithm the atmospheric water vapor correction is computed to improve the detection of the ash. This is achieved using the atmospheric profile derived from ground meteorological station. Differently, in the NN architecture the water vapor content is taken into account adding as input to the network the CH28. It is worth to note that CH28 is centered around $7.3\text{ }\mu\text{m}$, where the atmospheric water vapor absorption is particularly strong. Concerning the outputs, we configured the ash detection as a classification problem, where the output space is divided in two classes

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such as *Ash* and *No Ash* (hereafter *A* and *NA*). This latter is clearly a simplification, as many other possible classes, e.g. meteorological clouds, have not been considered.

To generate the training set (*TrS*) and the test set (*TeS*) we chose the acquisition of 28 October 2002 and of 29 October 2002, while the data collected on 23 July 2001,
5 30 October 2002 and 24 November 2006, have been used for evaluating the classification performance. This approach has been considered in order to assess the generalization capabilities of the NN and the statistical representativeness of the training/test samples. Considering the histograms of the measurements at the three channels and
10 of the estimates of the ash mass computed by the BTD procedure (Fig. 4), it is possible to observe that the 28 October 2002 and of 29 October 2002, have a more exhaustive data distribution; this behavior has guided the choice of the two dates for the *TrS* and *Tes*.

The input-output samples of the *TrS* and *TeS* have been created matching the CH28, CH31 and CH32 data with the ash map obtained by the BTD procedure, which is the target output (see Fig. 2). Based on the target output map, we have randomly extracted
15 a number n of pixels for *A* and an equal number for *NA* classes in order to have a balanced *TrS*. The *TeS* is obtained similarly by the selection of m independent pixels ($m < n$).

5.2 NNs for volcanic ash mass retrieval

20 The second issue is the retrieval of the total mass of the ash. The input dataset of the NN is the same as for the ash detection, i.e. CH28, CH31 and CH32, while the output is the ash mass (tons km^{-2}). Differently from the detection, which is a classification exercise, the network performs an estimation of a physical parameter, replicating the BTD model. Therefore the BTD model results (shown in Fig. 3) have been used to
25 extract the target output information to the NN.

The training/test and validation phases are completely focused on the target output regions where the ash plume is identified, according to the BTD ash detection maps (see Fig. 2). Since more than one MODIS image representative of the different events

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is available, a study on the generalization capability of the NN is possible, as explained in the following.

For each date i three separate independent subsets have been generated: a training set (TrS_i), a test set (TeS_i) and a validation set (VaS_i), with i , spanning from 1 to p , and p being the total amount of acquisitions. Different NNs have been trained with an increasing number of samples. In particular, starting with $i = 1$, the NN at stage $i + 1$ is obtained by adding to TrS_i the elements belonging to TrS_{i+1} . At each step the performance of the retrieval has been tested on all p VaS . It is worth noting that at all $p-1$ stages there is at least one validation test whose samples belong to an image not considered in the training phase. The results expected by this approach are an improvement of the ash mass retrieval performance with the increase of the training samples taken from completely uncorrelated acquisitions. In fact, the inclusion of additional samples should provide a better statistical representation of the phenomenon. This hypothesis will be validated in the Sect. 6.2 where the results for the different VaS_i sets, obtained by means of the different NN_i , are shown.

6 Experimental results

In this section we present the results obtained applying the proposed procedures for the ash cloud detection and the retrieval of the ash cloud mass. First the NNs-based ash detection is compared with the results obtained applied the BTD procedure, and then the performance of the NNs retrieval results is shown and discussed.

6.1 Ash detection results

As explained in Sect. 5.2 the problem of the ash detection can be addressed as a classification exercise considering two classes, A and NA , with TrS and TeS randomly extracted from the 28 October 2002 and 29 October 2002 acquisition dates, while the

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by the developed NN procedure are in agreement with the results obtained by the BTD procedure. Moreover, the post classification segmentation procedure slightly increases the classification accuracies (see right column of Table 4).

6.2 Ash mass retrieval results

- 5 The approach used for the ash mass retrieval from the CH28, CH31, and CH32 has already been explained in Sect. 5.3. In Table 5 the number of patterns extracted from the different acquisition dates for the *TrS*, *TeS* and *VaS* are reported. The adopted network topology is the same of the ash detection, except for the output layer which consists of a single neuron, i.e. [3]–[10]–[1].
- 10 To investigate further the relation between the statistical representativeness of the data used in the training phase and the NN retrieval accuracy, an ensemble of scatter plots for the five *V* sets has been computed and is shown in Fig. 6. The results, for the *VaS* extracted from the all five dates, reached with the NN trained only with the patterns from the 28 October 2002 are shown on top of the figure. The successive 15 scatter plots, arranged in rows, show the results obtained adding training set data from a successive acquisition. For instance, in the second row are shown the scatter plots for all five *VaS* as well, while the training and test sets have been obtained joining the *TrS* and *TeS* of the data taken on 28 October 2002 and 29 October 2002 and so on for the others rows. The results are less easily interpretable than those obtained 20 for the ash detection, therefore a brief comment seems appropriate in evaluating the effectiveness of the proposed method. The first evidence is that the retrieval results are already positive with the NN trained only with the *TrS* and *TeS* extracted from the first acquired date (28 October 2002). This is probably due to the large number of patterns considered in the first training set. For the majority of the input-output 25 patterns of the other four *VaS* the statistical representativeness of the *TrS* seems to be appropriate (see Fig. 4). In fact the Pearson correlation coefficients between the true and the retrieved parameters are always major or equal to 0.95 (see the first row of Fig. 6), while the slope of the regression line it is closer to one with the increase of

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the training/test patterns from different date. The latter is indeed an important indicator for evaluating the ash mass retrieval capability of the NN (see Fig. 6), because when the number of training patterns increases an improvement of the parameter can be observed.

5 The above analysis seems to uphold the effectiveness of the proposed approach: when increasing the training data, an increase of the retrieval accuracy can be appreciated. This tendency can be evaluated from the ensemble of scatter plots shown in Fig. 6, as well as considering the trend of the rmse values for the five VaS sets obtained by means of the five different NNs (see Table 6).

10 Considering the evidences discussed above for computing the ash total mass maps we have adopted the NN5, trained with the total training set. The retrieved ash mass maps are shown in Fig. 7. The retrieval has been done only where the ash has been detected by the NN detection algorithm with region growing algorithm previously described. The visual analysis of the maps confirms the positive results obtained with the proposed approach. In particular the comparison of BTD (see Fig. 3) and NN (see Fig. 7) results shows very similar concentration (i.e. colours) and shape features, thus evidencing the ability of the NN algorithm to approximate the results provided by the BTD MODTRAN-based method.

7 Conclusions

20 In this work a NN procedure for detecting volcanic ash clouds and retrieving the ash clouds' mass has been implemented and discussed. The considered test cases are several eruptions of Mt. Etna volcano occurred in 2001, 2002 and 2006 and imaged by MODIS instrument. It has been shown that the neural approach drastically reduces the computational burden required for the data processing. Indeed, the ash cloud detection and the production of the ash clouds' mass maps are produced in few minutes. This is a much shorter time if compared with the several hours usually needed using a more traditional LUT based approach. The described technique is therefore

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Table 1. MODIS TIR channels characteristics.

Channel n°	Center Wavelength (μm)	NEDT (K)	Spatial Resolution (km)
28	7.3	0.25	1
29	8.5	0.05	1
30	9.7	0.25	1
31	11.0	0.05	1
32	12.0	0.05	1



Table 2. The Training, Test and Validations sets extracted from the data, for the ash detection exercise.

Data	<i>TrS</i>	<i>TeS</i>	<i>VeS</i>	Tot
28 October 2002	37416	16306	—	810000
29 October 2002	18918	8108	—	810000
30 October 2002	—	—	810000	810000
24 November 2006	—	—	810000	810000
23 July 2001	—	—	810000	810000

Table 3. Confusion Matrix assess the classification accuracy on the validation sets: Left column results of NN. Right column results of NN and segmentation post processing.

		July 23 2001		July 23 2001			
		BTD		BTD			
NN	Ash	Ash	Not Ash	NN	Ash	Ash	Not Ash
	Not Ash	8159	1163		7034	2289	201
Overall Accuracy = 99.7 %				Overall Accuracy = 99.0 %			
K Coefficient = 0.87				K Coefficient = 0.83			
30 October 2002				30 October 2002			
		BTD		BTD			
NN	Ash	Ash	Not Ash	NN	Ash	Ash	Not Ash
	Not Ash	23922	21630		1164	23755	11714
Overall Accuracy = 97.2 %				Overall Accuracy = 98.4 %			
K Coefficient = 0.67				K Coefficient = 0.78			
24 November 2006				24 November 2006			
		BTD		BTD			
NN	Ash	Ash	Not Ash	NN	Ash	Ash	Not Ash
	Not Ash	2673	4833		1126	2484	397
Overall Accuracy = 99.2 %				Overall Accuracy = 99.8 %			
K Coefficient = 0.47				K Coefficient = 0.76			

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Table 4. The Training, Test and Validations sets for the ash mass retrieval exercise.

Data	TrS	TeS	VaS	Tot Ash	Tot
28 October 2002	11841	3634	2742	18271	810000
29 October 2002	5780	1774	1338	8892	810000
30 October 2002	8700	2670	2014	13384	810000
24 November 2006	1633	501	378	2512	160000
23 July 2001	6060	1865	1398	9323	810000

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Table 5. The rmse values for the extracted Validations sets.

	RMSE VaS 28 October 2002	RMSE VaS 29 October 2002	RMSE VaS 30 October 2002	RMSE VaS 24 November 2006	RMSE VaS 23 July 2001
NN1: 28 October 2002	0.3756	0.5217	0.4247	0.4831	0.4032
NN2: 28 October 2002 + 29 October 2002	0.3573	0.3580	0.3408	0.4722	0.3101
NN3: 28 October 2002 + 29 October 2002 + 30 October 2002	0.4619	0.3405	0.3181	0.4712	0.2417
NN4: 28 October 2002 + 29 October 2002 + 30 October 2002 + 24 November 2006	0.4544	0.3348	0.3263	0.4528	0.2510
NN5: 28 October 2002 + 29 October 2002 + 30 October 2002 + 24 November 2006 + 23 July 2001	0.4544	0.3348	0.3263	0.4528	0.2600

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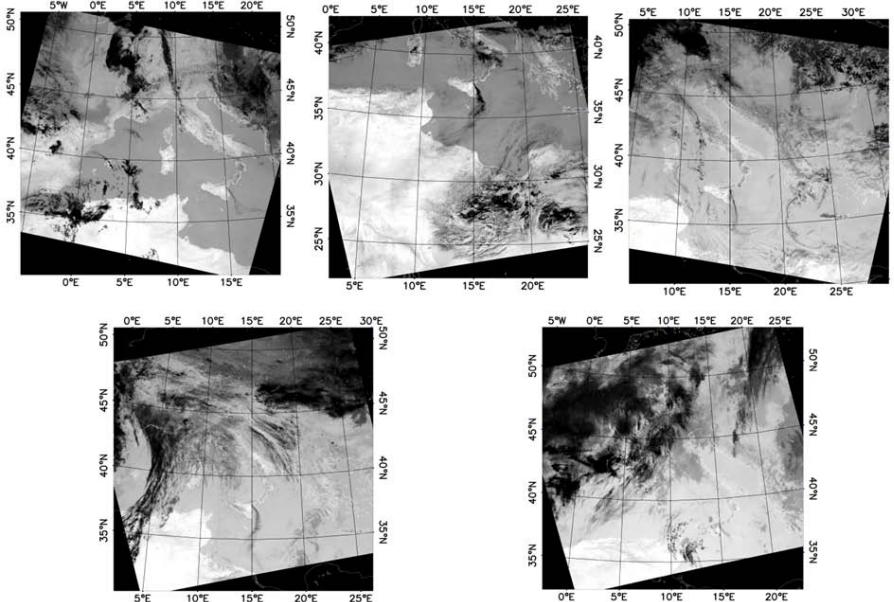


Fig. 1. MODIS test case images. Top Plates, from left to right: 23 July 2001 at 10:35 UTC; 28 October 2001 at 12:15 UTC and 29 October 2002 at 12:05 UTC. Bottom Plates, from left to right: 30 October 2002 at 9:45 UTC and 24 November 2006 at 12:20 UTC.

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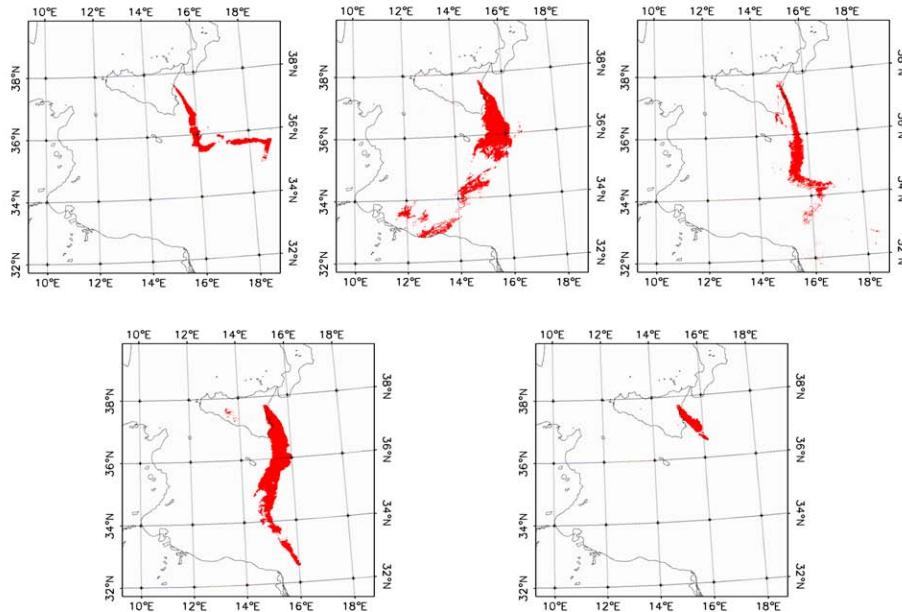


Fig. 2. MODIS BTD ash detection maps. Top Plates, from left to right: 23 July 2001, 28 October 2002 and 29 October 2002. Bottom Plates, from left to right: 30 October 2002 and 24 November 2006.

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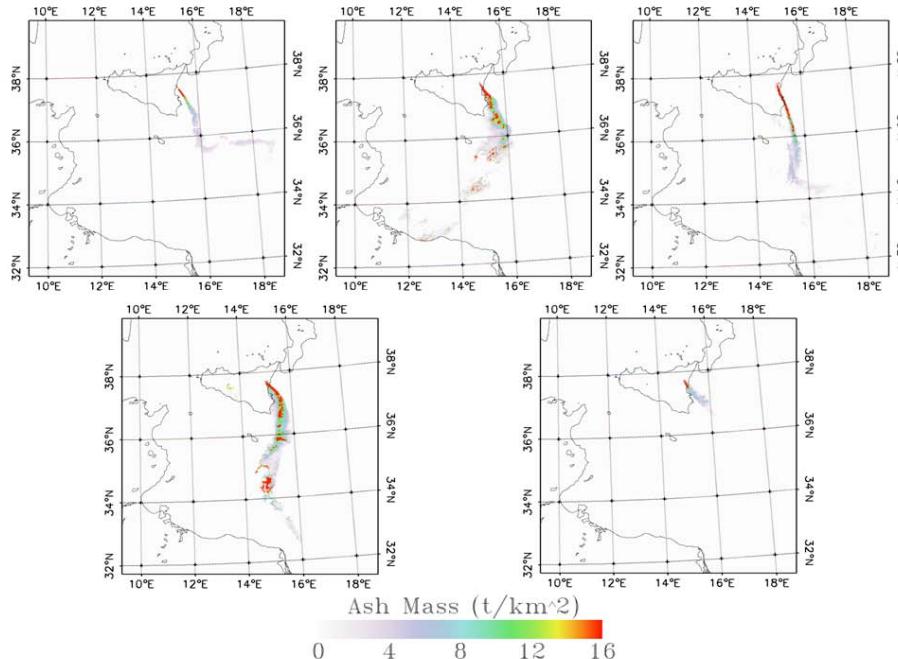


Fig. 3. MODIS BTD ash retrieval maps. Top Plates, from left to right: 23 July 2001, 28 October 2001 and 29 October 2002. Bottom Plates, from left to right: 30 October 2002 and 24 November 2006.

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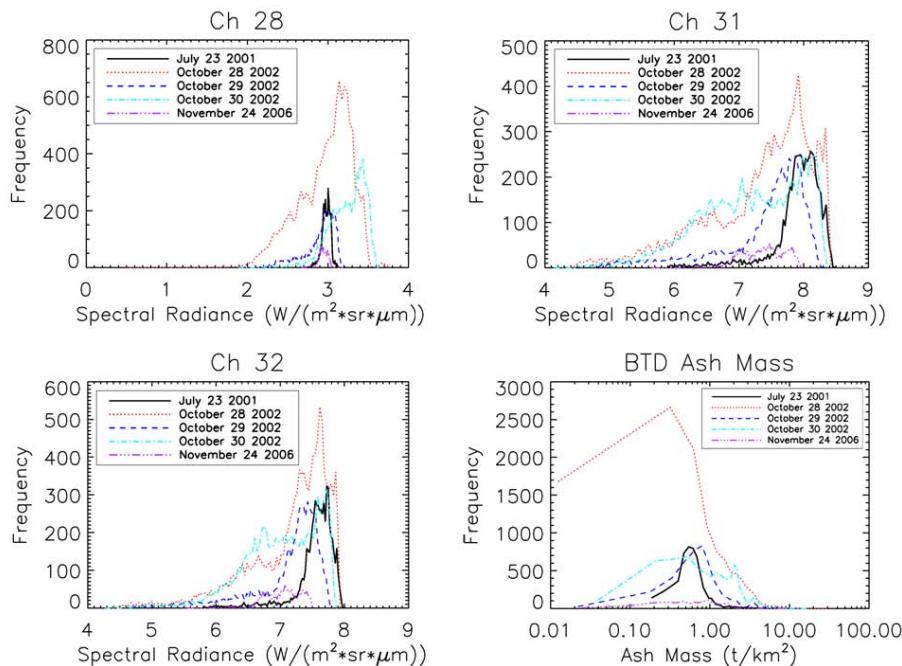


Fig. 4. The histograms computed for the three considered MODIS channels and for the BTD ash mass esteemed values, for the five considered acquisition date. Top Plates, from left to right: MODIS CH28 and CH31. Bottom Plates, from left to right: MODIS CH32 and BTD Total mass esteemed values.

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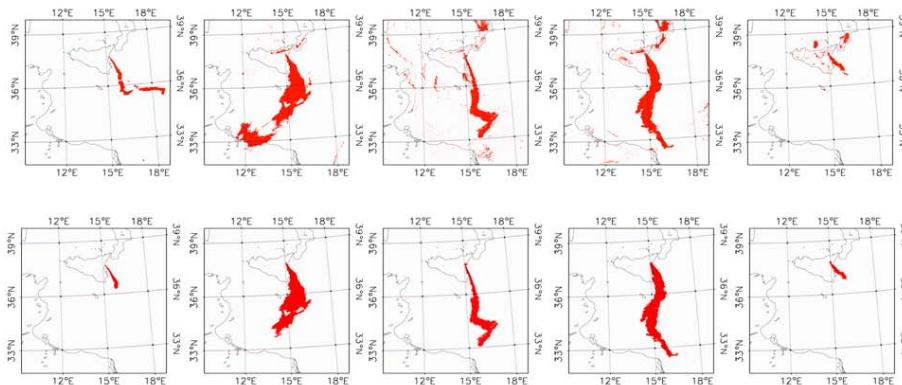


Fig. 5. MODIS NNs procedure ash maps. From left to right: 23 July 2001, 28 October 2002, 29 October 2002, 30 October 2002, and 24 November 2006. **(a)** Upper part: maps without segmentation step. **(b)** Lower part: maps with segmentation step.

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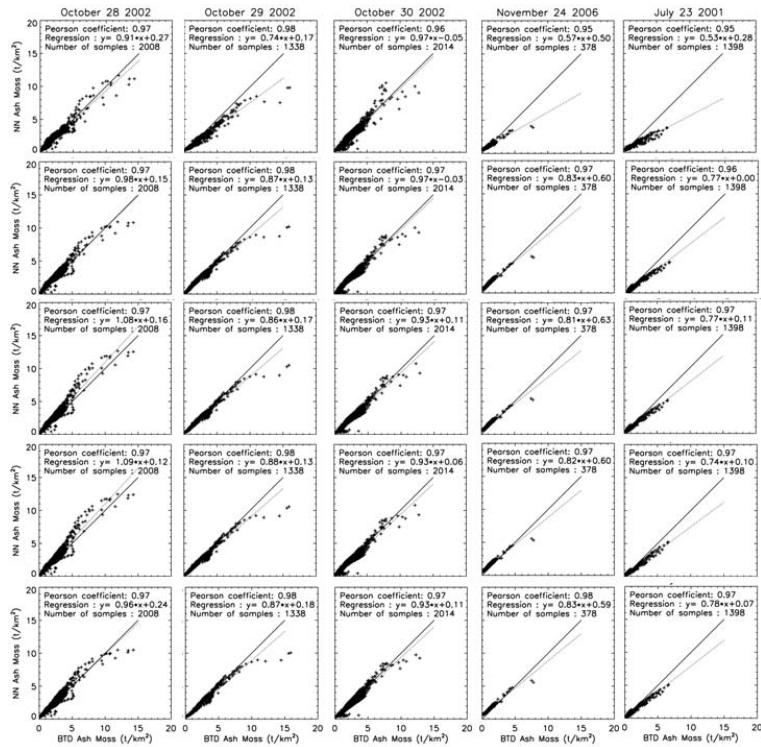


Fig. 6. Scatter plots for the five V sets, from left to right: 28 October 2002, 29 October 2002, 30 October 2002, 24 November 2006, 23 July 2001. From top to bottom results from: NN1 (28 October 2002). NN2 (28 October 2002 + 29 October 2002). NN3 (28 October 2002 + 29 October 2002 + 30 October 2002). NN4 (28 October 2002 + 29 October 2002 + 30 October 2002 + 24 November 2006). NN5 (28 October 2002 + 29 October 2002 + 30 October 2002 + 24 November 2006 + 23 July 2001).

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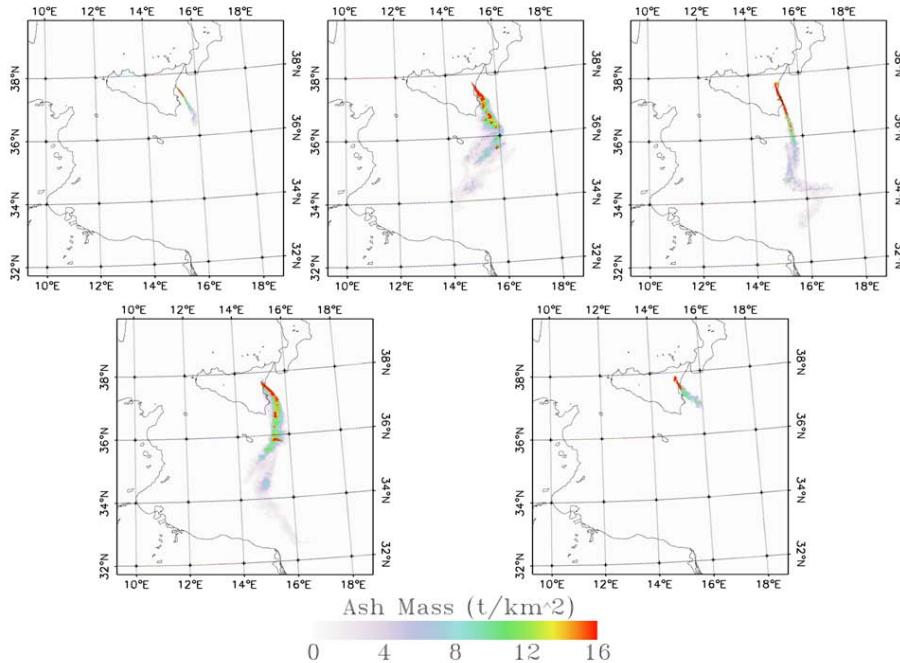


Fig. 7. NNs MODIS Ash mass maps from five different dates. Top Plates, from left to right: 23 July 2001, 28 October 2001 and 29 October 2002. Bottom Plates, from left to right: 30 October 2002 and 24 November 2006.

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