Atmospheric CO₂ inversions at the mesoscale using data driven prior uncertainties. Part1: Methodology and system evaluation

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Abstract

Atmospheric inversions are widely used in the optimization of surface carbon fluxes at regional scale using information from atmospheric CO_2 dry mole fractions. In many studies the prior flux uncertainty applied to the inversion schemes does not reflect directly the true flux uncertainties but ~~it~~ is used ~~in such a way~~ to regularize the inverse problem. Here, we aim to implement an inversion scheme using the Jena inversion system and applying a prior flux error structure derived from a model – data residual analysis using high spatial and temporal resolution over a full year period in the European domain. We analyzed the performance of the inversion system with a synthetic experiment, where the flux constraint is derived following the same residual analysis but applied to the model-model mismatch. The synthetic study showed a quite good agreement between posterior and "true" fluxes at European/Country and annual/monthly scales. Posterior monthly and country aggregated fluxes improved their correlation coefficient with the "known truth" by 7% compared to the prior estimates when compared to the reference, with a mean correlation of 0.92. Respectively, the ratio of the standard deviation between posterior/reference and prior/reference was also reduced by 33% with a mean value of 1.15. We identified temporal and spatial scales where the inversion system maximizes the derived information; monthly temporal scales at around 200 km spatial resolution seem to maximize the information gain.

1 Introduction

The continuous rise of the abundance of greenhouse gases in the atmosphere, especially due to fossil fuel combustion, alerted the scientific community to systematically monitor these emissions. The challenge is not limited only to revealing the spatial distribution of CO_2 sources and sinks on continental scales, but also to accurately quantifying CO_2 emissions and their uncertainties at country scales. In situ atmospheric measurements of the atmospheric CO_2 variability combined with inverse atmospheric models are used as an independent method to provide "top down" flux estimates for comparison with estimates from "bottom up" methods. The latter use local observations (e.g. eddy covariance), and combine these with ancillary data, e.g. soil maps, satellite data, and terrestrial ecosystem models in order to spatially scale up local flux estimates to larger regions (Jung et al., 2009). Both approaches act complementary, for optimal comprehension of carbon sources and sinks in a "multiple constraint" (Schulze et al., 2010) approach and emission inventories assessment. As these inventories are used to deduce national emission estimates, in compliance with the Kyoto protocol requirements, accuracy is essential.

An atmospheric inverse modeling system provides the link from atmospheric concentrations to surface fluxes. However, the limited number of observations available for solving the system for quite a number of unknowns (spatially and temporally resolved fluxes) makes the inverse problem strongly under-determined. To solve the inverse problem the system incorporates Bayes' theorem and uses a-priori knowledge, provided by e.g. biosphere models and emission inventories accompanied by corresponding uncertainty estimates. Then, the system optimizes the a-priori fluxes by minimizing the difference between model predictions and observed concentrations. For the current study only the biospheric fluxes were optimized, and emissions from fossil fuel combustion are assumed to be known much better, as it is the case in almost all published regional inversion studies. Inversion systems have been extensively used to derive spatiotemporal flux patterns at global (e.g. Enting et al., 1995; Kaminski et al., 1999a; Gurney et al., 2003; Mueller et al., 2008), and regional scale (e.g. Gerbig et al., 2003a; Peylin et al., 2005; Lauvaux et al., 2012; Broquet et al., 2013).

The challenge in regional inversions is to reconstruct at high resolution the spatiotemporal flux patterns, usually of the net ecosystem exchange (NEE). For that purpose currently deployed global or regional inverse modeling schemes use different state spaces (i.e. the set of variables to be optimized through the inversion process). Peters et al. (2007) split the domain of interest into regions according to ecosystem type. Subsequently fluxes are optimized by using linear multiplication factors to scale NEE for each week and each region. The pitfall of this system is that a zero prior flux has no chance to be optimized and remains zero. Zupanski et al. (2007) divided the NEE into two components, i.e. the gross photosynthetic production (GPP) and ecosystem respiration (R). Then multiplicative factors for the gross fluxes were derived on the grid scale, under the assumption of being constant in time. A step further made by Lokupitiya et al. (2008) used the same approach but with an 8-week time window allowing for temporal variations for the multiplicative factors. A different approach introducing the carbon cycle data assimilation system (CCDAS) was implemented by Rayner et al. (2005) and Kaminski et al. (2012) by constraining global parameters within a biosphere model able to control surface-atmosphere exchange fluxes, against observed atmospheric CO_2 mole fractions, instead of the fluxes themselves; this CCDAS approach alwo allows for nonlinear dependencies of the fluxes on the parameters. Lauvaux et al. (2012) used a Bayesian approach based on matrix inversion, separately optimizing day and night time fluxes at a weekly time scale for a limited simulation period and domain. An attempt to assess which of these approaches better reproduces NEE was made by Tolk et al. (2011). This study investigated the impact of different inversion approaches via a synthetic experiment utilizing an ensemble Kalman filter technique and the same transport model for all cases. They found that inversions which separately optimize gross fluxes within a pixel inversion concept perform better on reconstructing the NEE, although they fail to obtain the gross fluxes. Taking into consideration these findings we also choose the pixel based inversions but optimizing the net biogenic fluxes as we are mainly interested in the total carbon flux budget.

Introducing proper prior flux uncertainties is crucial for meaningful posterior estimates, as these uncertainties weight the prior knowledge between different locations and times, as well as with respect to the data constraint. The uncertainties have the form of a covariance matrix and can be categorized in uncertainties of the prior fluxes, and uncertainties of the observational constraint, which includes measurement and transport model uncertainties. While the measurement

1 uncertainty in the observational constraint ~~may be more easily~~is usually defined with the main

2 diagonal of the covariance matrix representing the uncertainty of the observations and the model

3 at a specific time and location, our knowledge for the prior uncertainty is limited, especially

4 regarding temporal and spatial correlations that effectively control the state space. Early

5 inversions assumed fully uncorrelated flux uncertainties (Kaminski et al., 1999b), while spatial

6 and temporal correlations were used later by Rödenbeck et al. (2003), who investigated the

7 autocorrelation of monthly CO_2 fluxes calculated by a set of terrestrial and ocean models. In

8 Rödenbeck (2005), spatial correlations for land fluxes were assigned to a state space of 4°

9 latitude x 5° longitude resolution. Slightly different correlation length scales were considered for

10 the meridional and zonal direction, assuming that the climate ~~zone~~ of the latter varies less than of

11 the former. Flux correlations on land were determined by assuming an exponential pulse

12 response function with a length of 1275 km. This leads to correlation lengths~~with~~ approximately

13 two~~ice~~ times larger compared to the pulse ~~the correlation~~ length. Typically the spatial

14 correlations are considered more as a tool to regularize the inverse problem, rather than an

15 uncertainty feature. Schuh et al. (2010) obtained correlation lengths from Rödenbeck et al.

16 (2003) but with a much higher state space resolution of 200 km. Lauvaux et al. (2008) neglected

17 the spatial correlations to enlarge the impact of the data. Carouge et al. (2010a) inferred spatial

18 and temporal correlation lengths based on the agreement between posterior and "true" fluxes in

19 the framework of a synthetic experiment, where the "truth" is known. A different approach was

20 used in Peters et al. (2007) study where they interpret the length scale from a climatological and

21 ecological perspective, and use it to spread information within regions, which the network is

22 incapable to constrain. In particular correlations are applied such that the same ecosystem types

23 in different TransCom regions (basis function regions, see also

24 http://transcom.project.asu.edu/transcom03_protocol_basisMap.php) decrease exponentially with

25 distance (L=2000km), and thus assumes a coupling between the behavior of the same ecosystem.

26 Ad-hoc solutions have also been used, assuming that daily fluxes have smaller correlation

27 lengths than monthly fluxes which are used by other studies (Peylin et al. 2005). More

28 specifically Peylin et al. (2005) assumed 500 km for daily temporal resolution compared to the

29 much larger correlation lengths used by Rödenbeck for monthly flux resolution. Michalak et al.

30 (2004) implemented a geostatistical approach to describe the prior error structure. Specifically

31 the prior error covariance describes at which degree deviations of the surface fluxes from their

mean behavior at two different locations or times are expected to be correlated as a function of the distance in space or in time. They simultaneously estimate posterior fluxes as well as parameters controlling the model-data mismatch uncertainty and the prior flux uncertainty, including variance as well as spatial and temporal correlation lengths. Although this approach may be considered as an objective way to infer spatial and temporal correlation lengths, it forces the structural parameters of the error covariance to be statistically consistent with the atmospheric data. In other words, flux parameters are optimized from atmospheric concentration data, and they are forced to have values which can reproduce the atmospheric data. from the few regions where station to station distances are small enough to be comparable to the correlation length scales. In a similar approach Ganesan et al. (2014) and Lunt et al. (2016), applied a hierarchical Bayesian model using atmospheric concentrations, to estimate both fluxes, and a set of hyper-parameters (e.g. mean and standard deviation of a priori emissions PDF as well as model – measurement standard deviation and autocorrelation scales). However the covariance parameters depend on the atmospheric data and on the transport model (Michalak et., 2005). Those studies are focused on the sulfur hexafluoride (SF_6) and methane (CH_4) and a direct comparison is not possible. However Michalak et al. (2004) which applied the same approach to CO_2, reported spatial decorrelation lengths of around 1000 km which are one order of magnitude larger from our estimates. In addition, Lunt et al. (2016) reports that due to the computational costs, they performed the inversion with no temporal dependence, assuming that the fluxes are constant over a fixed time period. Eddy Covariance stations (EC) can provide a more direct method to infer spatial and temporal flux correlations. Chevallier et al. (2006) and Chevallier et al. (2012) introduced autocorrelation analysis of the residual between fluxes simulated by biosphere models or and fluxes measured by EC to infer spatial and temporal error correlations. The derived error statistics were implemented in a regional CO_2 inversion by Broquet et al. (2013).

Daily NEE flux residuals from model - data comparisons showed temporal correlations up to 30 days but very short spatial correlations up to 40 km (Kountouris et al. 2015). In such a case the a-priori integrated uncertainty over time and space, e.g. annually and EU wide domain integrated, according to the error propagation will be exceptionally small. For example a variance of 1.82 $\mu mole.m^{-2}.s^{-1}$ (from model – data differences) combined with the abovementioned correlation scales yields an uncertainty of 0.12 GtC y^{-1} for the total flux over Europe. This value is

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significantly smaller than the assumed uncertainty which is typically used by the inversion systems. For comparison we refer to studies from Rivier et al. (2010) and Peylin et al. (2005) (for a slightly larger domain than ours) where an a priori uncertainty of approximately 1.4 GtC y^{-1} and 1 GtC y^{-1} respectively was used. Further, Peylin et al. (2013) found that the variance of the posterior NEE fluxes ~~for~~ integrated over the European domain among 11 global inversions is also 3 to 4 times larger (0.45 GtC y^{-1}). Although it is not yet entirely clear what would be the "correct" value for the prior uncertainty, it seems that in our study it should be increased not only to give enough flexibility to the system to adjust but also to be at least comparable with other posterior uncertainty estimates. A typical method is to inflate the spatiotemporal component by scaling accordingly the prior error covariance. In a study by Lauvaux et al. (2012) two correlation lengths were used at 300 and 50 km, and for the shorter scale the uncertainty was inflated by increasing the RMS of the prior error covariance. The model - data analysis (Kountouris et al. 2015) does neither justify the use of large correlation scales nor largely inflated variances which exceed the model-data flux mismatches, however it is consistent with an additional overall bias error which can not be captured from the estimated spatiotemporal error structure. Hence an appropriate approach would be to introduce two adjustable terms into the inversion system. One term to reflect the data-derived error structure without error inflation (prior error covariance matrix which describes the spatiotemporal component) and one term to represent a bias component. To the best of our knowledge such an approach has not yet been used in inversion systems.

This study primarily aims to use the information extracted from the model-EC data residuals (spatiotemporal error structure) to define a data-driven error covariance rather than simply assuming one, adopting a conservative one or an expert knowledge solution. For that, we implement our previous methodology and findings regarding the prior uncertainty to atmospheric inversions following Kountouris et al. (2015). As explained above, we implement two uncertainty terms; the first one to reflect the true spatiotemporal error structure and the second term ~~referred~~ to reflect~~to~~ a bias term. We use the Jena inversion system (Rödenbeck, 2005; Rödenbeck et al., 2009) for the regional scale consisting of a fully coupled system as described in Trusilova et al. (2010), ~~between~~ which couples the global three-dimensional atmospheric tracer transport model TM3 (Heimann and Körner, 2003) and the regional stochastic Lagrangian transport model STILT (Lin et al., 2003). This scheme allows retrieving surface fluxes at much

finer resolution (0.25^{o}) compared to global models. The first part of this study details the methodology of the prior error implementation, and evaluates the system's performance through a synthetic data experiment. The system evaluation is an extension of Trusilova et al. (2010) where the evaluation was limited to the observation space only. We extend that to the flux space by comparing flux retrievals at various spatial and temporal scales against synthetic "true" fluxes. Station locations and observation times (including gaps) were created as in the real observation time series presented in the second part of this study (Kountouris et al., 2016). That way we can use the synthetic experiment to evaluate to what extent we can trust the results, if a real-data inversion is performed. In the second part of this study (Kountouris et al., 2016) the regional inversion system is applied to real observations of atmospheric CO_2 mole fractions from a network of 16 stations.

This paper is structured as follows. In Section 2 we present the inversion scheme and introduce the settings of the atmospheric inversions. In Section 3 we present the results from a synthetic inversion experiment aimed to assess the prior error setup, considering it as a step towards atmospheric inversions using real atmospheric data with an objective, state of the art prior error formulation. Discussion and conclusions are following in Section 4 and 5 respectively.

2 Methods

2.1 Inversion scheme

The Jena Inversion System (Rödenbeck 2005; Rödenbeck et al., 2009) was used for the current study. The scheme is based on the Bayesian inference and uses two transport models, the TM3 model (Heimann and Körner, 2003) for global, and the STILT model (Lin et al., 2003) for regional simulations. The advantage of the system is that it combines a global transport model with a regional one without the need of a direct coupling along the boundaries. The global is used to calculate fluxes from the far field (outside of the regional domain of interest), and subsequently this information can be used to provide lateral boundary information for the regional model. Primary input of the system is the observed mixing ratios c_{meas}. This vector

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1 contains all measured mixing ratios at different times and locations. The modeled mixing ratios

2 c_{mod} given from a temporally and spatially varying discretized flux field f are computed from an

3 atmospheric transport model and can be formally expressed as

4
$$c_{mod} = Af + c_{ini} \qquad (1)$$

5 where c_{ini} is the initial concentration and A the transport matrix which maps the flux space to the

6 observation space. For the regional domain the transport matrix A has been pre-computed by the

7 STILT transport model. The system calculates the modeled concentrations when and where a

8 measurement exists in the c_{meas} vector. The initial concentration assumed to be well mixed and

9 remains constant throughout the simulation. The assumption of the well mixed initial

10 concentration is considered to be valid, since any spatial structure would be lost during the spin-

11 up period.

12 In the following, we briefly describe the inverse modeling approach. For more details the reader

13 is referred to Rödenbeck (2005).

14 In grid-based atmospheric inversions the number of unknowns (spatially and temporally resolved

15 fluxes) is larger than the number of measurements (hourly dry mole fractions at different sites),

16 making the inverse problem ill-posed. In the Bayesian concept this can be remedied by adding a-

17 priori information. This information can be written as

18
$$f = f_{fix} + F \cdot p \qquad (2)$$

19 where f_{fix} is the a-priori expectation value of the flux, matrix F contains all the a-priori

20 information about flux uncertainties and correlations (implicitly defining the covariance matrix)

21 and p is a vector representing the adjustable parameters. The parameters p are uncorrelated with

22 zero mean and unit variance. This flux model represents just a different way to define the a-priori

23 probability distribution of the fluxes, than the traditional way where the a-priori error covariance

24 matrix is explicitly specified. The cost function describing the observational constraint is

25 expressed as

26
$$J_c = \frac{1}{2}(c_{meas} - c_{mod})^T \cdot Q_c^{-1} \cdot (c_{meas} - c_{mod}) \qquad (3)$$

where Q_c is the observation error covariance matrix. This diagonal matrix weights the mixing ratio values considering measurement uncertainty, location-dependent model uncertainty and a data density weighting. The data density inflates the uncertainty over weekly intervals by a factor of the square root of the measurements number within a given time interval. This~~e latter~~ ensures that the higher amount of data from continuous measurements compared to the data from flask measurements would not lead to a considerably stronger impact of these corresponding sites (Rödenbeck, 2005). This can also be formally interpreted as a temporal correlation scale which ensures that the model-data-mismatch error is not independent within a week, corresponding roughly to time scales of synoptic weather patterns.

The inversion system seeks to minimize the following cost function that combines the observational (Eq. 3) and the prior flux constrain

$$J = J_c + \frac{1}{2} \cdot p^T \cdot p \tag{4}$$

The minimization of the cost function is done iteratively with respect to the parameters p by using a Conjugate Gradient algorithm with re-orthogonalization (Rödenbeck 2005).

2.2 Characteristics of the inversion set up

2.2.1 A-priori information and uncertainties

The a-priori CO_2 flux fields were derived from the Vegetation Photosynthesis and Respiration Model, VPRM (Mahadevan et al., 2008). VPRM uses ECMWF (European Centre for Medium Range Weather Forecasting) operational meteorological data for radiation (downward shortwave radiative flux) and temperatures (T2m), the SYNMAP landcover classification (Jung et al., 2006), and EVI (enhanced vegetation index) and LSWI (land surface water index) derived from MODIS (Moderate Resolution Imaging Spectroradiometer). Model parameters were re-

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optimized for Europe using eddy covariance measurements made during 2007 from 47 sites (a full site list is given in Kountouris et al. (2015); we excluded some sites due to insufficient temporal data coverage or lack of representativeness). To mediate the impact of data gaps, a data density weighting was introduced that takes into account the coverage of different times of the day (using 3-hour bins) in the different seasons. Optimized parameters are shown in Table 1. The net ecosystem exchange at hourly scale and at $0.25^{\circ} x\ 0.25^{\circ}$ spatial resolution for 2007 was simulated with the optimized parameters for the European domain shown in Fig. 1. The domain-wide aggregated biospheric carbon budget for 2007 derived that way from VPRM was found to be -0.96 GtC y^{-1} (i.e. uptake by the biosphere). Note that without the density weighting an even stronger flux of -1.35 GtC y^{-1} was derived, indicating the importance of proper treatment of data gaps by either gap-filling or by the inclusion of weights.

Additionally, biogenic CO_2 fluxes were simulated with the BIOME-BGC model, specifically its global implementation as GBIOME-BGCv1 (Trusilova and Churkina 2008) at the same $0.25^{\circ} x\ 0.25^{\circ}$ spatial and hourly temporal resolution. The purpose of the second flux field is to provide a perfectly known flux distribution as "true" fluxes that can be used to generate synthetic observations. The BIOME-BGC model is a terrestrial ecosystem process model which requires only standard meteorological data like, daily maximum-minimum temperature, precipitation, incoming shortwave solar radiation, vapor pressure deficit (VPD), and the day length (DLn). How accurate the modeled fluxes are is difficult to say, since this would require a validation against observed fluxes from Eddy Covariance stations. Nevertheless, biospheric models still suffer from large uncertainties. The remarkably diverge results between models confirm how uncertain models are (see Friedlingstein et al. (2014)). However in the current experiment the accuracy of the "true" fluxes is not of a concern, since we aim only to create a synthetic flux field that we perfectly know.

The a-priori flux in a real-data inversion would have three components including fossil fuel and ocean fluxes

$$f_{pr} = f_{pr,nee} + f_{pr,ff} + f_{pr,oc} \tag{5}$$

We note that for the synthetic case the last two a priori terms are set to zero. Similarly the deviation term (the data-derived correction to the a-priori fluxes) of the flux model (Eq. 6

consists of the terms referring to NEE, fossil fuel, and ocean fluxes. ~~but equivalently~~Here in the synthetic case the last two terms are set to zero (i.e. they are not optimized) ~~for the synthetic inversion~~.

$$F \delta s = (F_{nee}, F_{oc}, F_{ff}) \begin{pmatrix} \delta s_{nee} \\ \delta s_{oc} \\ \delta s_{ff} \end{pmatrix} \qquad (6)$$

~~Note that the a-priori error covariance matrix does not explicitly appear in the inversion, but is included though the second term in Eq. 8 (see section 2.2.2).~~

~~According to this formulation the columns of G_{tcor} and G_{xycor} contain the spatiotemporal extents of the individual NEE pulses (range of values between 0 and 1) and the diagonal matrix $f_{sdf}(x,y,t)$ contains the pixel-wise a-priori uncertainties. These uncertainties were chosen to be flat (constant) in space and time. For more detailed information the reader is referred to Rödenbeck et al. (2005).~~

The total prior uncertainty was chosen according to the mismatch between VPRM and BIOME-BGCv1, calculated as the annual and domain wide integrated flux mismatch. Prior fluxes and the fluxes representing the synthetic truth are strongly different (-0.96 GtC y^{-1} and -0.31 GtC y^{-1} for VPRM and GBIOME-BGCv1, respectively). The error structure used for the synthetic study is estimated according to the method applied in Kountouris et al. (2015). Time-series of daily fluxes were extracted for both biosphere models at grid cell locations where an EC station exists. Fluxes from GBIOME-BGCv1 can also be regarded as synthetic EC fluxes. Then spatial and temporal autocorrelation analysis was performed on the daily model-model flux residuals, yielding a spatial correlation length scale of 566 km and a temporal correlation scale of 30 days. We note that the current study does not directly make use of the error structure derived in Kountouris et al. (2015), since this is applicable for real data inversions. Instead we use the same methodology to derive the actual model-model error structure since here we perform a synthetic data inversion, exploring amongst others the accuracy of this method.

The eddy covariance station locations used for this analysis were exactly the same as in Kountouris et al. (2015) ensuring similarity in the derivation of the error structure for the synthetic data inversions. Following this approach apart from the similarity, we also ensure that

results from the synthetic experiment, would be informative for a real data inversion, by using exactly the same information to characterize the prior uncertainties. ~~However o~~Of note is that for the synthetic data inversions, prior fluxes from VPRM model were not optimized against GBIOME-BGCv1 "true" fluxes.

The implicitly defined prior error covariance matrix contains diagonal elements of $(1.45\ \mu mol\ m^{-2}\ s^{-1})^2$, which reflect the variance from model-model flux mismatches at the 50 km spatial resolution of the state space. Exponentially decaying spatial correlations were implemented with a correlation scale of 766 km at the zonal and 411 km at the meridional direction, roughly corresponding to the 566 km correlation scale yielded from the model-model residual autocorrelation analysis and preserving the same zonal/meridional ratio as in the global inversion. Temporal autocorrelation was set to 31 days, which is consistent with the Kountouris et al. (2015) analysis. These scales result in an uncertainty for the spatiotemporal component (E_{st}) domain-wide and annually integrated of 0.44 GtC y^{-1}. We chose two different approaches to increase the prior uncertainty at domain-wide and annually integrated scale such that it matches the mismatch of 0.65 GtC y^{-1} between the two biosphere models. First we inflate the error by scaling the error covariance matrix, this case is referred to as base case B1 hereafter. The second approach, referred to as scenario S1, could be considered as a more formal way: we introduce an additional degree of freedom to the inversion system by allowing for a bias term. This term is spatially distributed according to the annually averaged VPRM respiration component, and is kept constant in time. The idea behind the implementation of this term is that at large scales a bias might exists, which can not be captured in the model-data residual autocorrelation analysis (EC measurements are representative at scales ~ 1 km). This assumption avoids the artificial inflation of the uncertainty at pixel scale, and restricts the pixel to pixel corrections to be statistically consistent with the actual error structure. The bias shape selection (respiration shape) was preferred over the NEE fluxes, as otherwise a priori neutral pixels (with zero NEE) could not be bias corrected. Further, allowing bias to have a spatial shape might be sound, since regions with stronger fluxes might be also more biased. The error E_{BT} of the bias component was adjusted such that the total prior error E_{tot} for annually and domain-wide integrated fluxes matches the targeted total uncertainty:

$$E_{tot}^2 = E_{ST}^2 + E_{BT}^2 \tag{7}$$

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This resulted in an overall uncertainty E_{tot} of 0.65 GtC y^{-1}, which is identical to the mismatch between the two biosphere models.

2.2.2 State space

The inversion system optimizes additive corrections to three-hourly fluxes in a sense that the posterior flux estimate can be given by the sum of a fixed a priori term (first term of the right hand side in Eq. 8) and an adjustable term (second term in Eq. 8). The latter has a-priori a zero mean and unit variance. The biogenic fluxes can be defined as follows:

$$f(x,y,t) = f_{fix}(x,y,t) + f_{sh}(x,y,t) \cdot \sum_{m_t}^{N_t} \sum_{m_s}^{N_s} G_{tcor,m_t}(t) \cdot G_{xycor,m_s}(x,y) \cdot p_{inv,m_t,m_s} \tag{8}$$

where f_{sh} is a shape function which defines the adjustable term. The spatial and temporal correlation structures of the uncertainty are described by the pulse response functions G_{xycor} and G_{tcor} respectively. The term p_{inv} contains the adjustable parameters which they a-priori have, a Gaussian distribution with zero mean and unit variance.

Note that the a-priori error covariance matrix $(Q_{f,pr})$ does not explicitly appear in the inversion, but is included though the second term in Eq. 8 (see section 2.2.2).

According to this formulation the columns of G_{tcor} and G_{xycor} contain the spatiotemporal extents of the individual NEE pulses (range of values between 0 and 1) and the diagonal matrix $f_{sh}(x,y,t)$ contains the pixel-wise a priori uncertainties. These uncertainties were chosen to be flat (constant) in space and time. For more detailed information the reader is referred to Rödenbeck et al. (2005).

For the S1 case the posterior flux estimates can be derived expressed by adding the optimized bias flux field to Eq. 8

$$f(x,y,t) = f_{fix}(x,y,t) + f_{sh}(x,y,t) \cdot \sum_{m_t}^{N_t} \sum_{m_s}^{N_s} G_{tcor,m_t}(t) \cdot G_{xycor,m_s}(x,y) \cdot p_{inv,m_t,m_s} + f_{sh}^{BT}(x,y) \cdot \sum_{m_t}^{N_t} G_{tcor,m_t}(t) \cdot p_{BT}$$

(9)

The bias term f^{BT} follows a flux shape (here we used annually averaged respiration, with no temporal variation).

Following Rodgers 2000, the posterior flux uncertainties are contained in the covariance matrix of the posterior probability distribution which can be estimated from eq. (10)

$$Q_{f,post} = ((A \cdot F)^T \cdot Q_c^{-1} \cdot (A \cdot F) + Q_{f,pr}^{-1})^{-1}$$ (10)

where Q_c is the measurement error covariance matrix.

2.2.3 Observation vector and uncertainties

The observation vector c_{meas} contains mixing ratio observations at all site locations and sampling times. A common procedure to derive synthetic observations is to create a "true" flux field by adding some error realizations to the a-priori fluxes (Schuh et al., 2009; Broquet et al., 2011) or to perturb the resulting synthetic observations (Wu et al., 2011). For the current study instead we use a different biosphere model, the GBIOME-BGCv1 model, to derive biogenic CO_2 fluxes at hourly scale. Such an approach is also used by Tolk et al. (2011). Then a forward transport model run was performed to create synthetic mixing ratios at hourly resolution for each station location. We note that the synthetic data were derived without adding error realizations. This choice of using two different biosphere models for deriving the a-priori and the "true" fluxes is expected to increase the realism of the synthetic data study, given the fact that the real spatiotemporal flux distribution is highly unknown (though the model-to-model difference may not accurately reflect the model errors either). The use of two different biosphere models assures, that the prior simulated CO_2 time series, will never match with the pseudo-observations (the known truth). For the synthetic study, observations were created for the same station locations and observation times as in the real observation time series which are used in the second part of

this study (Kountouris et al., (2016)). An overview of the atmospheric stations is given in table 2 and Fig. 1. The data coverage per station is shown in Figure 2Figure 2. Only daytime observations were considered (11:00 – 16:00 local time) since the transport model is expected to perform worse during night when a stable boundary layer forms. An exception is made for mountain stations that measure the free troposphere, where only nighttime observations (23:00 – 04:00 local time) were considered, as this time can be better represented by the transport model (Geels et al., (2007)). In total 20273 hourly observations from the year 2007 were used.

The model-data mismatch uncertainty associated with each measurement is expressed as a diagonal covariance matrix, and contains measurement errors and errors from different components describing the modeling framework (i.e. model errors due to imperfect transport, aggregation errors, etc.) (Gerbig et al., 2003b). For the current study, all sites are classified according to their characteristics (e.g. tall tower, mountain sites etc.), and uncertainties were defined depending on the site class (Figure 2Figure 2, legend on the right). The uncertainties are considered as representative for current inverse modeling systems. Although the measurement error covariance is a diagonal matrix, transport error correlations might be present. Although we do not explicitly introduce off-diagonal terms in the measurement error covariance matrix, we do consider for temporal correlations via a data density weighting function which inflates the uncertainty. (see Section 2.1 and more information in Rödenbeck, C., 2005).

2.2.4 Atmospheric transport

For the synthetic data study only the regional atmospheric model STILT was used to create the observations with a forward run, and to perform the inversion. This was feasible since the synthetic CO_2 observations are only influenced by fluxes occurring within the Domain of Interest (DoI), hence global runs to retrieve boundary conditions at the edge of DoI are not necessary. The transport matrix for the regional inversions was generated in form of pre-calculated footprints (sensitivities of atmospheric observations to upstream fluxes) at 0.25 degrees spatial and hourly temporal resolution for the full year 2007. STILT trajectory ensembles were driven by ECMWF meteorological fields (Trusilova et al., 2010), and computed for 10 days backwards in time, ensuring that nearly all trajectories have left the domain of interest.

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With respect to the assumed model height, STILT uses surface elevation maps from ECMWF (European Centre for Medium Range Weather Forecasting) with a resolution of 0.25 x 0.25 degrees. As the model orography represents an average over the whole grid cell, it is, in particular at steep mountain sites, significantly smaller compared to the real orographic height at the station location. In order to better represent the location of the station in the large scale flow, usually a model height is assumed that more closely represents the real height (above sea level) of the measurements. However, using exactly the measurement height (a.s.l.) in the model would decouple the CO_2 signal too strongly from the surface fluxes and hence lead to a systematic underestimation of the surface influence on the concentrations (Geels et al., 2007). A compromise was reached by adjusting the model height (above ground) by half the distance between the model orographic height and the real station height.

2.3 Metrics for performance evaluation

Following Rödenbeck et al. (2003) we evaluate the goodness of fit for each station (station specific χ^2). The modeled dry mole fractions should be with 68% probability within the $\pm 1\sigma$ range from the observed mole fractions. This is equivalent to the requirement that the dry mole fraction part of the cost function defined as the sum of hourly squared differences, divided by the uncertainty interval and the number of observations n (Eq. 10), should be close to unity.

$$\chi_c^2 = \frac{\sum_t \frac{(\Delta c_t)^2}{\sigma_t^2}}{n} \tag{10}$$

Another important aspect is the reduced χ_r^2 metric that compares the a priori model performance with the specified error structure by dividing the squared residuals of optimized minus observed dry mole fractions by the squared specified uncertainties. This is also equivalent to two times the cost function at its minimum divided by the number of degrees of freedom (effective number of observations) (Thompson et al., 2011):

$$\chi_r^2 = 2 \frac{J_{min}}{n}$$

(11)

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~~Again, a correct balance should be close to unity. Smaller values suggest that the model performance was better than specified in the covariance structure and hence the assumed uncertainties (denominator) were conservative.~~

~~In flux space, we evaluate the inversion performance, by comparing the retrieved flux estimates against the synthetic fluxes ("true") at different temporal and spatial scales: annually and monthly integrated fluxes, domain-wide and at country scale. In particular we are interested in capturing the "true" fluxes down to country scale. For that we assess monthly posterior retrievals which we compare to reference data ("true" fluxes), country aggregated, using a Taylor diagram. This diagram provides a concise statistical summary of how well patterns match each other in terms of their correlation and the ratio of their variances.~~

3 Results

The purpose of the synthetic study is to evaluate the system set-up with a realistic approach. To evaluate the ability of the system to retrieve the synthetic true fluxes we visualize spatially distributed fluxes and we study spatially integrated (domain and national scale) as well as temporally (annual and monthly scale) integrated fluxes.

3.1 CO_2 mole fractions

A comparison of true and modeled CO_2 dry mole fractions from forward runs of the optimized fluxes can reveal the goodness of fit, realized through the optimization process. Such a comparison is presented in Figure 3~~Figure 3~~ for the Schauinsland (SCH) continuous station. Both B1 and S1 inversions significantly reduce the misfit between the synthetic (truth) and the a-priori mole fractions. As expected from the optimization (i.e. minimization of the cost function),~~T~~ the RMSD between the prior/posterior from the "true" timeseries for all stations (Table 3) shows an average reduction of around 74% and 76% for the S1 and B1 inversions respectively. Prior correlations (prior vs. true dry mole fractions), have an averaged value of 0.46 which is increased

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to 0.93 for both inversions. Significant differences between the two inversions were not found apart from a slightly larger decrease of the RMSD for the B1 case. Figure 4Figure 4 summarizes the capability of the inversions to capture the true signal at each station location in form of a Taylor diagram, indicating that the inversions showed a significant increase of the correlation for all sites. Further the variance of the modeled time-series is significantly closer to the variance of the true signal.

To estimate the goodness of fit we consider the station specific χ_c^2 values (Eq. 110) following Rödenbeck et al. (2003). We usinge here 7-day aggregated residuals instead of hourly to match the temporal scale of one week of the observation error. The modeled dry mole fractions should be with 68% probability within the $\pm$ 1σ range from the observed mole fractions. This is equivalent to the requirement that the dry mole fraction part of the cost function defined as the sum of hourly squared differences, divided by the uncertainty interval and the number of observations n (Eq. 11), should be close to unity.

$$\chi_c^2 = \frac{\sum_t \frac{(\Delta c_t)^2}{\sigma_t^2}}{n} \tag{11}$$

Values smaller than 1 are found for most of the stations with a mean value of 0.28 and 0.32 for the B1 and S1 cases respectively, suggesting a good fitting performance for all stations and for both inversions. The results are comparable with those found in the Rödenbeck et al. (2003) study.

Another important aspect is the reduced χ_r^2 metric, which we use to assess the model performance. By definition the reduced χ_r^2 can be obtained by dividing the squared residuals of optimized minus observed dry mole fractions by the squared specified uncertainties. This is also equivalent to two times the cost function at its minimum divided by the number of degrees of freedom (effective number of observations) (Tarantola 2005):

$$\chi_r^2 = 2 \frac{J_{min}}{n}$$

(12)

Again, a correct balance should be close to unity. The reduced chi-squared (Eq. 12) was found to be 0.21 for both cases, indicating that the error variance is overestimated, making the error assumption rather conservative.

3.2 Flux estimates and uncertainties

In flux space, we evaluate the inversion performance, by comparing the retrieved flux estimates against the synthetic fluxes ("true") at different temporal and spatial scales: annually and monthly integrated fluxes, domain-wide and at country scale. In particular we are interested in capturing the "true" fluxes down to country scale. For that we assess monthly posterior retrievals which we compare to reference data ("true" fluxes), country aggregated, using a Taylor diagram. This diagram provides a concise statistical summary of how well patterns match each other in terms of their correlation and the ratio of their variances.

The spatial distributions of the annual biosphere-atmosphere exchange fluxes for the prior, the known truth, and the posterior cases are presented in Figure 5. Note that annual fluxes between the two biosphere models used for prior fluxes and true fluxes are substantially different. The inversion significantly adjusts the spatial flux distribution mainly in central Europe and in southern Scandinavia, where a denser atmospheric network exists. The absolute annual mean difference in fluxes ($|$mean(true − prior)$|$ and $|$mean(true − posterior)$|$) is greatly reduced from 70.8 $gCm^{-2}y^{-1}$ to 14.7 $gCm^{-2}y^{-1}$ and 24.6 $gCm^{-2}y^{-1}$ for the B1 and S1 inversions respectively. Detailed patterns, however, are not well reproduced: the fraction of explained spatial variance in the true fluxes (measured as squared Pearson correlation coefficient) decreases from the prior (0.17) to the posterior (0.07 and 0.06 for the cases B1 and S1, respectively). When evaluating this at monthly scales, the fraction of explained spatial variance increases in the posterior estimates compared to the prior for winter months from around 0-15% to about 15-50%, while during the growing season typically a decrease from around 10-35% to about 0-34% is found. The accumulated footprint of the atmospheric network is shown in Figure 6, clearly indicating the strongest constraint on fluxes in central Europe. Interestingly both error structures from S1 and B1 inversions produce posterior fluxes that have approximately the same spatial distribution. When separating the spatiotemporal component from the bias

component (in S1 case) we can identify differences between the two inversions. Significant deviations of the spatial flux distribution between the spatiotemporal components were found: The spatiotemporal component in the S1 case has a domain wide annual flux correction of 0.39 GtC y^{-1} (prior – posterior) while the corresponding term in the B1 case has a correction of 0.78 GtC y^{-1}. Nevertheless standard deviations of the corrections with respect to the true spatial flux distribution (true – posterior) was found to have no significant difference (6.88*10^{-5} and 7.38*10^{-5} GtC y^{-1}cell^{-1} for S1 and B1 respectively). We do not observe any strong correction in the south-eastern part of Europe as it cannot be "seen" from the atmospheric network due to the distance to the observing sites and the prevailing westerly winds. This could also be inferred from the flux innovation plots (see Figure 5Figure 5) defined as the difference between prior and posterior fluxes. Only very small or even no corrections occurred in this area.

We are specifically interested in the ability of the inversion system to capture integrated fluxes over time and space. Figure 7Figure 7 shows an overview of the domain-integrated fluxes at a monthly and annual scale. Despite the remarkably larger a-priori (VPRM) sink compared to the synthetic truth (GBIOME-BGCv1) during the growing season, both inversions, with and without the bias term, produce posterior flux estimates that fully capture the "true" monthly and annually integrated fluxes. While the monthly posterior estimates give no clear evidence on which inversion performs better, retrievals at annual scale slightly favor the inversion without the bias term (B1 case). A difference was observed in the prior uncertainties between the two inversions. While both were scaled to have the same prior annual uncertainty, the B1 inversion has systematically larger prior monthly uncertainties than the S1 as a result of the inflated spatiotemporal component of the prior error covariance. Posterior uncertainties were found to be similar, and include or are close to including (S1 case) the true flux estimates. The uncertainty reduction for annually and domain-wide integrated fluxes, defined as the difference between prior and posterior uncertainties normalized by the prior uncertainty, was found to be 73% and 69% for the S1 and B1 respectively. Note that whilst the prior uncertainty refers only to the flux space, the posterior uncertainty depends on the uncertainty of prior fluxes, measurements, and transport.

In order to assess how well the posterior estimates agree with the true fluxes, root mean square difference (RMSD) between true and posterior monthly integrated gridded fluxes were computed

(Table 4). Both inversions B1 and S1 show a similar reduction in the RMSD values compared to the prior. The same picture emerges for the annually integrated fluxes.

Of particular interest is the performance of the system at regional scale, specifically at national level. Figure 8Figure 8 shows monthly fluxes for selected European countries, including the prior, true and posterior estimates with the corresponding uncertainties. Both error structures show a similar performance. Despite the large prior misfit, the system succeeded in retrieving monthly fluxes at country level. Better constrained regions mainly located in central Europe show the ability to broadly capture the temporal flux variation at monthly scale. Figure 9 summarizes in a Taylor diagram the inversion performance for the S1 case and for each EU-27 country, showing the improvement of monthly and country aggregated fluxes (perfect match would be if the head of the arrow coincides with the reference point marked as green bullet). It is worth mentioning that also for regions that are less constrained by the network, such as Great Britain, Spain, Poland and Romania, the inversions still improved the posterior estimates compared to the prior estimates (see also Fig. 9).

3.3 Evaluation with synthetic eddy covariance data

In order to investigate the potential of using eddy covariance measurements for evaluating the retrieved CO_2 fluxes, monthly fluxes from the prior (VPRM), the truth (GBIOME-BGCv1), and the posterior for cases B1 and S1 were extracted at the grid cell locations where eddy covariance stations exist, using the same 53 sites as in Kountouris et al. (2015). The corresponding fluxes were then aggregated over all sites, using a weight that compensates for the asymmetry between number of flux towers for specific vegetation types and the fraction of land area covered by the specific vegetation type. Prior fluxes show a systematically larger uptake compared to the truth, predominantly during the growing season with maximum differences of 0.8 $gCm^{-2}day^{-1}$ (Figure Figure 10). Posterior estimates for both cases captured the magnitude of the true fluxes, with maximum differences of around 0.3 $gCm^{-2}day^{-1}$ during June/July. A significantly larger correction is apparent during spring and summer compared to winter and fall. The very close correspondence of these results with those shown in Figure 7 for the domain-wide monthly flux

~~budget clearly shows that eddy covariance measurements can principally be used for validation of the inverse estimates at monthly timescales.~~

4 Discussion

4.1 Performance in flux space

Results from the synthetic experiment showed the strengths but also the weaknesses of the system to retrieve the "true" spatial flux distribution. Although the error structure applied to this experiment was statistically coherent with the mismatch between prior and true fluxes, we note a limited ability of the current atmospheric network to retrieve fluxes at local scales. For coarser spatial scales (country level) the carbon budget estimates in the synthetic inversion showed a quite good performance at monthly and annual temporal scales. Further we observed an average reduction of the monthly uncertainties of 65% for the B1 case, and 64% for the S1 case. In combination with the fact that the flux estimates reproduce the "truth" within the posterior uncertainties, this gives us confidence in the accuracy of our estimates.

The current study does not focus on the transport error quantification but it rather includes it, as diagonal elements in the measurement error covariance, which is typical in atmospheric inversions. The chi square values confirm that there is no underestimation of the uncertainties. We note though that erroneous flux estimates are likely to be estimated, especially at finer spatial scales where the transport model is not able to resolve the real transport (e.g. individual eddys, complicate terrain etc). However, for coarser spatial scales transport models is expected to perform better, which seems to be in line with comparisons of the prior/posterior with the true flux estimates, which better agree at largely aggregated scales.

Prior error correlation in time and space limits the scale, at which information can be retrieved from the inversion. The spatial correlation of several hundred kilometers implies that fluxes at scales smaller than this cannot be significantly improved by the inversion, as the results clearly showed. To assess this more quantitatively, the spatial correlation between a priori or retrieved

1 and true monthly fluxes is calculated for different spatial aggregation scales (starting at 0.25

2 degree, fluxes were aggregated to 0.5, and then in 1-degree steps up to 8 degree). Results shown

3 in Fig. 11 a) indicate a nearly ~~continuous~~ monotonous increase of the spatial correlation of prior

4 and posterior fluxes with increasing aggregation scale. The additional explained variance brought

5 about by the inversion, i.e. the difference between posterior (red/blue line) and prior (grey line)

6 flux correlation (r-square) with the truth, starts at low values around 0.1, and reaches values

7 around 0.2 for scales larger or equal 2 degrees. Similarly, the spatial correlation between a priori

8 and true fluxes for a given spatial aggregation of 2 degrees, but for different temporal

9 aggregation scales ranging from 1 day to 128 days (Fig. 11 b) shows a continuous increase from

10 about 0.23 to 0.42 (r-square), while the spatial correlation between retrieved and true fluxes only

11 varies slightly between 0.4 and 0.53 (Fig. 11 b), red and blue lines). Here, the additional spatial

12 variance explained by the retrieved fluxes is largest at around monthly time scales (differences

13 between prior and posterior r-square around 0.2), while at seasonal scales this additional

14 explained variance is only around 0.1. Overall, this analysis confirms that there are preferred

15 spatial and temporal scales at which the inversion retrieves the flux distribution best and where

16 thus most information is gained. This is not dependent on whether or not a bias term is included

17 in the state vector, as results for case B1 and S1 do not differ in this regard. It is important to

18 realize that all other scales, at which the inversion does not provide much information, need to be

19 properly represented by the a priori flux distribution. Thus the a priori fluxes need to be realistic

20 at short spatial scales below about 200 km, at seasonal temporal scales, and of course at hourly

21 time scales which are not retrieved by the inversion.

22 The annual spatial flux distribution of the B1 and S1 cases was found to be quite similar,

23 indicating that inflating the uncertainty by a factor of 1.5 (B1 case, see also 2.2.1 section) or

24 adding a bias component to compensate the inflation (S1 case) lead to a similar flux constraint.

25 This could be explained due to the long correlation length (566 km) which drastically reduces the

26 effective number of degrees of freedom, forcing the fluxes to be smoothly corrected, regardless

27 the use of the bias component.

28 The "true" fluxes were used to validate the posterior flux estimates. In this synthetic experiment,

29 both fluxes share the same spatial resolution (25km) which makes the validation straightforward.

30 In a real data inversion, eddy covariance measurements will substitute the "true" fluxes making

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the spatial scales not directly comparable. Despite the scale mismatch, Broquet et al. (2013) compared the posterior flux estimates against eddy covariance data with promising results; showing that posterior mismatches are in good agreement with the theoretical uncertainties.

4.2 Performance in observation space

The high RMSD reduction in combination with the high correlation values and the captured variability between posterior and true dry mole fractions in the synthetic experiment suggest a good performance of the inversion system to retrieve the "true" mixing ratios. Nevertheless this is not surprising, as the atmospheric data are "fitted" by the inversion, and furthermore the forward and the inverse runs used identical transport, without any impact from imperfections in transport simulations.

The uncertainties in the flux space are statistically consistent with the model-model flux mismatch. However the reduced χ_r^2 values obtained from the inversions were rather small (around 0.21). This indicates that overall conservative uncertainties were assumed, and the small χ_r^2 values are a result from the assumed uncertainties in the observation space. Indeed uncertainties in the observation space include also transport uncertainties; however, given that the same transport is used to create synthetic observations and to perform the inversion, there is no actual model-data mismatch related to transport uncertainties, and so the assumed uncertainties are overestimated. In the current study we assumed a diagonal measurement error covariance matrix. Concerns might rise that the observational uncertainties are underestimated due to the absence of the error correlations. However we do consider implicitly that transport errors might by correlated over time, and we do consider that via the data density function. Further, for the synthetic study the χ_r^2 values prove a fair treatment of the observational uncertainties.

5 Conclusions

This paper describes the setup and the implementation of prior uncertainties as derived from model-eddy covariance data comparisons into an atmospheric CO_2 inversion. The inversion system assimilates hourly dry air mole fractions from 16 ground stations to optimize 3-hourly NEE fluxes for the study year 2007. Two different error structures were introduced to describe the prior uncertainty by either inflating the error or by adding an additional degree of freedom allowing for a long term bias. The need of this error inflation comes from the fact that the spatiotemporal model - data error structure alone underestimates prior uncertainties typically assumed for inversion systems at continental/annual scale. In this study we evaluate the Jena inversion system by performing a synthetic experiment and expanding the evaluation also to the retrieved fluxes, whilst only the observation space was evaluated in Trusilova et al. (2010). Further we assess the impact when adding a bias term in the flux error structure. This study is a preparatory step to retrieving European biogenic fluxes using a data driven error structure consistent with model-flux data mismatches, which is described in the companion paper (Kountouris et al. 2016).

Significant flux corrections and error reductions were found for larger aggregated regions (i.e. domain-wide and countries), giving us confidence on the reliability of the results for a real data inversion at least for aggregated scales up to the country level. We found a similar performance for both error structures. A more detailed analysis of the spatial and temporal scales, at which the inversion provides a significant gain in information on the distribution of fluxes, clearly confirms that a) fluxes at spatial scales much smaller than the spatial correlation length used for the a prior uncertainty cannot be retrieved; b) the inversion performs best at temporal scales around monthly, and c) especially the small spatial scales need to be realistically represented in the a priori fluxes.

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Appendix

The exponentially decaying temporal autocorrelations is a feature newly implemented into the Jena Inversion System. Temporal correlations are not directly defined as off-diagonal elements in the a-priori error covariance, as the latter does not appear explicitly in the inversion. Rather, the inversion system involves time series filtering in terms of weighted Fourier expansions. More specifically the columns of matrix G_{tcor} contain Fourier modes, weighted according to the frequency spectrum that corresponds to the desired autocorrelation function. The reader is referred to Rödenbeck (2005) for more information. Following Rödenbeck (2005) we define the following spectral weight w:

$$w = \frac{v_{low}}{\sqrt{v_{low}^2 + (2\pi v)^2}} \qquad \text{A1}$$

where v_{low} is the characteristic frequency. The characteristic frequency v_{low} can be calculated from the desired temporal autocorrelation time (30 days) of the exponential decay and is expressed in years:

$v_{low} = 1/(1/12)$ where 1/12 is the autocorrelation time in years. Hence the characteristic frequency corresponding to a monthly autocorrelation is 12.

To test numerically whether the implemented autocorrelation decay shape approximates an exponential decay, an error realization of the characteristic frequency was added to the prior fluxes, and the autocorrelation function as described in Kountouris et al. (2015) was calculated numerically simultaneously for the flux time series of all grid cells. Then an exponentially decaying function was fitted (Fig. A1) to derive the autocorrelation scale for the corresponding frequency. The resulting autocorrelation shape indeed approximates very well an exponential

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1   decay, with an e-folding time of precisely 30 days. The tight confidence bounds of the fitted

2   parameter (29.3 and 30.6 days within 95 % confidence interval), in combination with the small

3   residual sum-of-squares (0.14) suggests a very good approximation of the exponential decay.
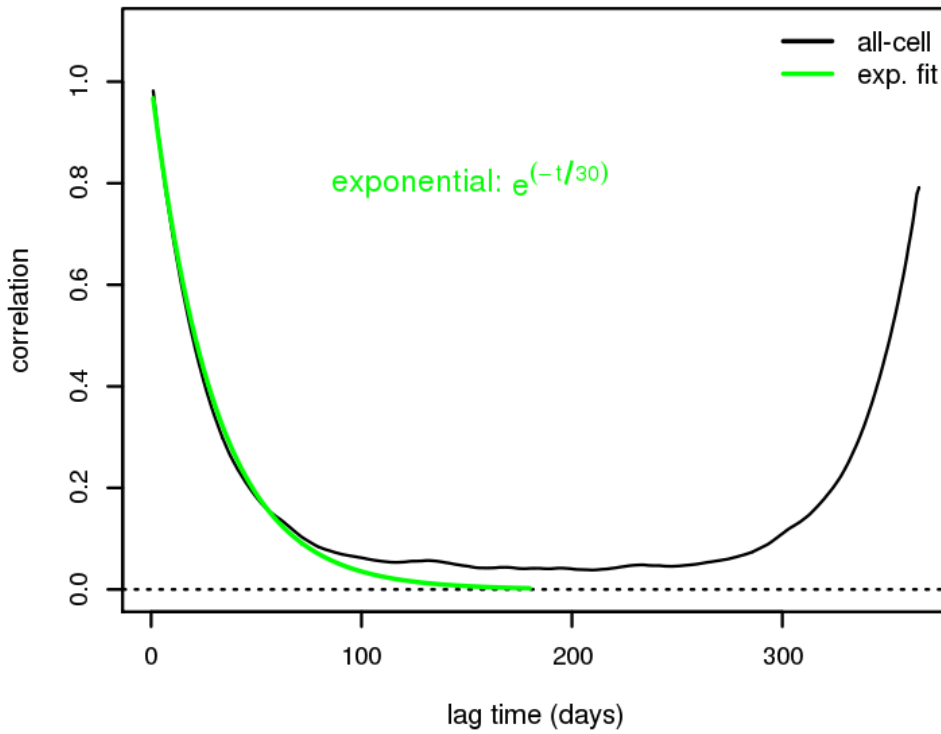
4

5   Figure A1: Autocorrelation function for a characteristic frequency of the exponential filter. The

6   autocorrelation is calculated simultaneously for all the domain grid cells. The numerical

7   realization of the autocorrelation does not decay to zero because of the flux seasonality.

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1 Table 1. Optimized VPRM parameters SW_0, λ_{SW}, α, β for different vegetation classes[a]

	SW_0	λ_{SW}	α	β
Evergreen forest	275	0.226	0.288	-1.10
Deciduous forest	254	0.215	0.181	0.84
Mixed forest	446	0.163	0.244	-0.49
Open shrub	70	0.293	0.055	-0.12
Crop	1132	0.086	0.092	0.29
Grass	528	0.119	0.125	0.017

2 [a]Units are as follows: SW_0 : $W\ m^{-2}$; λ_{SW}: $\mu mole\ CO_2\ m^{-2}s^{-1} / (W\ m^{-2})$; α: $\mu mole\ CO_2\ m^{-2}s^{-1} / {}^0C$;

3 β: $(\mu mole\ CO_2\ m^{-2}s^{-1})$.

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1 Table 2. Information on the stations used for the regional inversions. Same network applied for
2 the synthetic, and the real data inversions in Kountouris et al. (2016). In first column the term
3 "type" stands for continuous (C) or flask (F) data.

Site Code / type	Name	Latitude (°)	Longitude (°)	Height (m.a.s.l.) (m)	Measurement height (above ground) (m)	Model height
BAL/F	Baltic Sea, Poland	55.50	16.67	8	57	28
BIK/C	Bialystok, Poland	53.23	23.03	183	90	90
CBW/C	Cabauw, Netherlands	51.58	4.55	-2	200	200
CMN/C	Monte Cimone, Italy	44.18	10.7	2165	12	670
HEI/C	Heidelberg, Germany	49.42	8.67	116	30	30
HPB/F	Hohenpeissenberg, Germany	47.80	11.01	934	50	10
HUN/C	Hegyhatsal, Hungary	46.95	16.65	248	115	96
JFJ/C	Jungfraujoch, Switzerland	46.55	7.98	3572	10	720
KAS/C	Kasprowy Wierch	49.23	19.93	1987	5	480
LMU/C	La Muela, Spain	41.36	-1.6	570	79	80
MHD/C	Mace Head, Ireland	53.33	-9.90	25	10	15
OXK/C	Ochsenkopf,	50.03	11.81	1022	163	163

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	Germany					
PRS/C	Plateau Rosa, Italy	45.93	7.71	3480	-	500
PUY/C	Puy De Dome, France	45.77	2.97	1465	10	400
SCH/C	Schauinsland, Germany	47.92	7.92	1205	-8	230
WES/C	Westerland, Germany	54.93	8.32	12	-	15

1 Table 3. RMSD (first column in ppm) and correlation coefficients (second column) between
2 known truth and prior/posterior CO_2 dry mole fractions for daily "daytime" or "nighttime"
3 averaged values and for each station. The third column shows χ^2, the normalized dry mole
4 fraction mismatch per degree of freedom for 7-day averaged residuals, as a measure of how well
5 the data were fitted. The format for each station is as follows: RMSD | r^2 | χ^2.

|	Prior	B1	S1
BAL	4.78 | 0.07 | 18.44	0.89 | 0.97 | 0.48	1.02 | 0.96 | 0.37
BIK	5.28 | 0.43 | 15.50	1.20 | 0.97 | 0.18	1.29 | 0.97 | 0.25
CBW	8.60 | 0.04 | 74.29	0.99 | 0.99 | 1.31	1.06 | 0.99 | 1.34
CMN	2.68 | 0.33 | 6.31	0.74 | 0.93 | 0.08	0.78 | 0.92 | 0.10
HEI	11.39 | 0.37 | 12.97	1.83 | 0.98 | 0.36	1.84 | 0.98 | 0.37
HPB	7.73 | 0.35 | 26.58	1.01 | 0.99 | 0.21	1.19 | 0.99 | 0.31
HUN	6.50 | 0.63 | 31.89	1.36 | 0.98 | 0.21	1.46 | 0.98 | 0.25
JFJ	3.12 | 0.21 | 3.93	1.24 | 0.86 | 0.24	1.31 | 0.84 | 0.27
KAS	4.00 | 0.32 | 10.67	0.73 | 0.98 | 0.11	0.80 | 0.97 | 0.15
LMU	3.42 | 0.19 | 6.5	0.79 | 0.95 | 0.12	0.86 | 0.94 | 0.16
MHD	1.53 | 0.0002 | 0.83	0.65 | 0.09 | 0.16	0.68 | 0.06 | 0.17
OXK	6.10 | 0.21 | 38.50	3.35 | 0.76 | 0.76	3.40 | 0.75 | 0.80
PRS	2.32 | 0.15 | 2.46	0.70 | 0.92 | 0.30	0.74 | 0.91 | 0.33
PUY	4.27 | 0.15 | 12.06	0.68 | 0.97 | 0.06	0.73 | 0.~~15~~ 96 | 0.09
SCH	4.76 | 0.26 | 21.17	0.90 | 0.97 | 0.07	0.95 | 0.97 | 0.09

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1   Table 4. Performance of the two error structures expressed as the spatial RMSD of the optimized

2   monthly and annual NEE fluxes compared to the truth for the whole domain in µmole m^{-2} s^{-1}.

	Annual	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
prior	0.38	0.61	0.53	0.55	1.06	1.26	1.56	1.17	0.94	0.65	0.57	0.63	0.63
B1	0.33	0.46	0.40	0.45	0.84	0.99	1.21	1.00	0.86	0.63	0.43	0.46	0.44
S1	0.34	0.48	0.41	0.45	0.86	1.01	1.24	1.03	0.86	0.63	0.45	0.47	0.45

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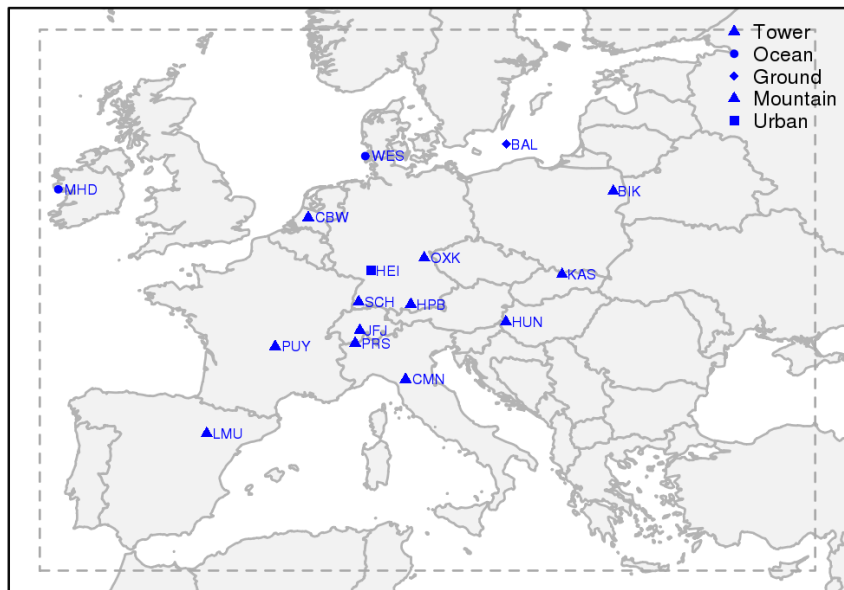
Figure 1. Domain of the inversions (dashed rectangle). Locations of the atmospheric measurement stations are shown with blue marks. Red stars denote the eddy covariance locations used for flux comparisons at grid scale.

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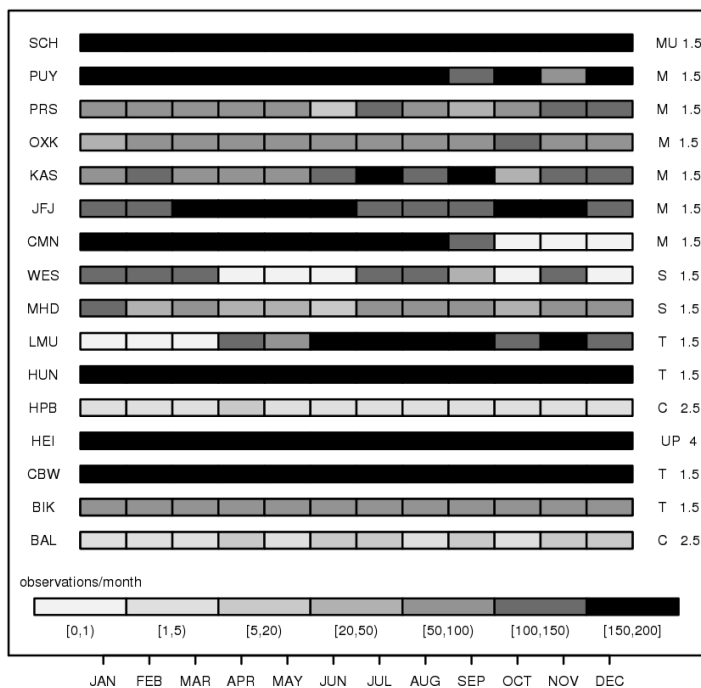
Figure 2. Monthly data coverage plot for the atmospheric stations used in the regional inversions. Left column shows the code name and the right columns show the station class and the assigned uncertainty in units of ppm. "C" stands for continental sites near the surface, "T" for continental tall towers, "S" for stations near shore, "M" for mountain sites, "MU" for mountain sites with diurnal upslope winds and "UP" for urban pollutant.
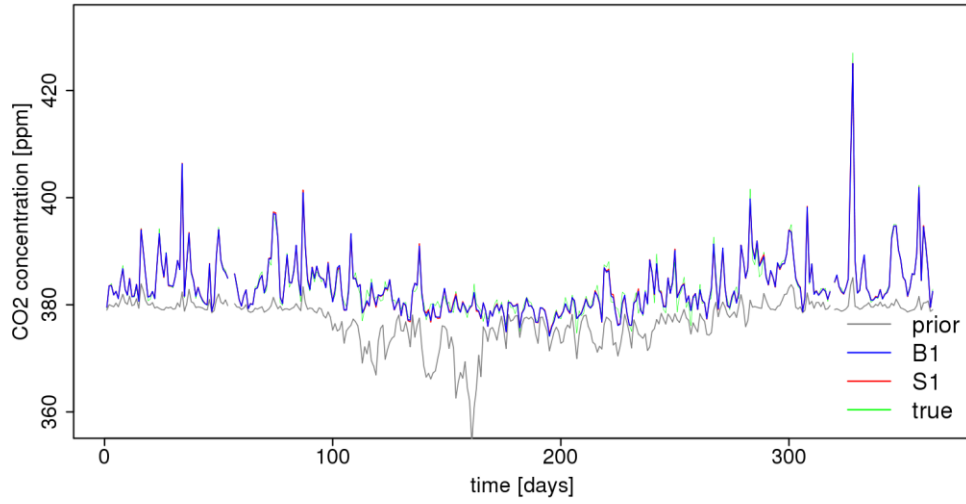
Figure 3. Daily nighttime (23:00-4:00 UTC) averages for prior, true, and posterior CO_2 dry mole fraction time series for the mountain site Schauinsland. Time starts at 1st January 2007. Note due to the almost perfect fit posterior and true time-series overlap to each other.

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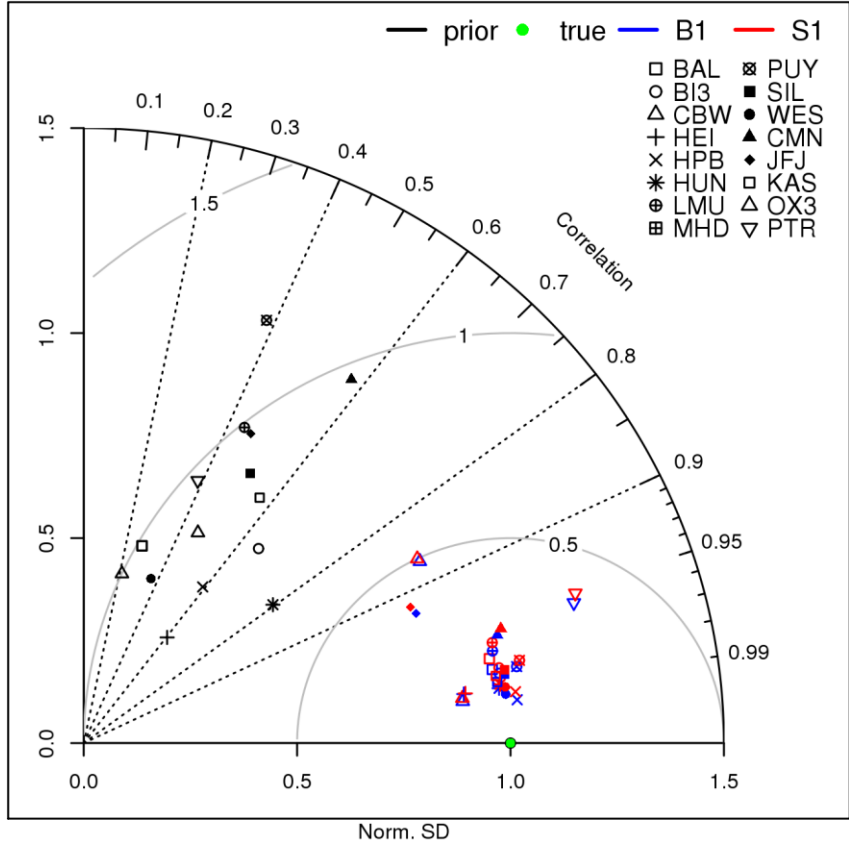
Figure 4. Taylor diagram for daily averaged modeled and measured time-series (annual basis) of
CO$_2$ dry mole fractions. Prior (black), true (green, the perfect match of modeled and true time-
series) and the different inversion cases (BR01 blue; SR1 red) are displayed. Different symbols
denote different atmospheric stations. The normalized SD was calculated as the ration of the SD
of the modeled time-series to the SD of observations.
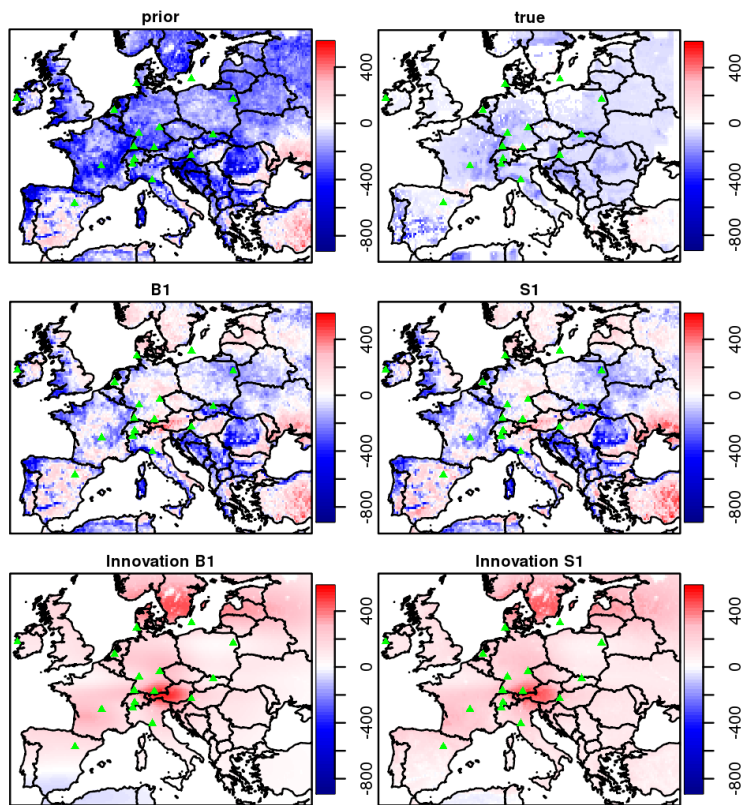
Figure 5. Annual spatial distribution for the prior, true, and posterior biogenic flux estimates for the two synthetic inversions S1 and B1 (top two rows), and flux innovation defined as the difference posterior - prior (bottom row). Fluxes are given in units of gC y^{-1} m^{-2} y^{-1}.
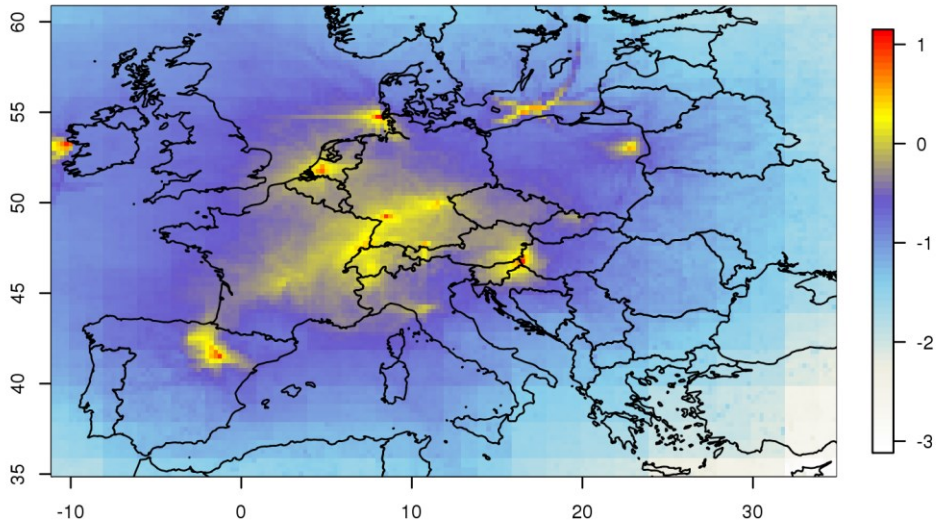
Figure 6. Annual integrated influence for 2007 of the current atmospheric network. Footprint influence is presented in a logarithmic scale and units are in $\log_{10}[ppm/(\mu mol/m^2/s)]$
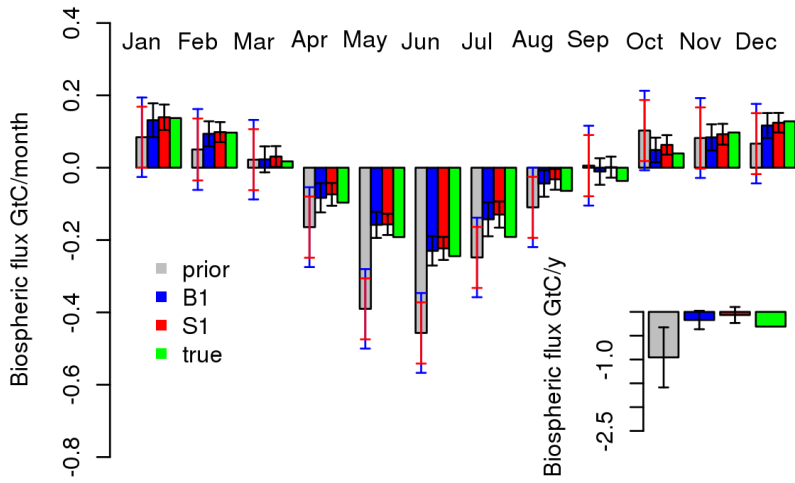
Figure 7. Monthly and annual carbon flux budget, integrated over the European domain. Note that both inversions share the same annual prior uncertainty but monthly uncertainties differ. Blue and red error bars denote the prior uncertainty for the B1 and S1 scenarios respectively.

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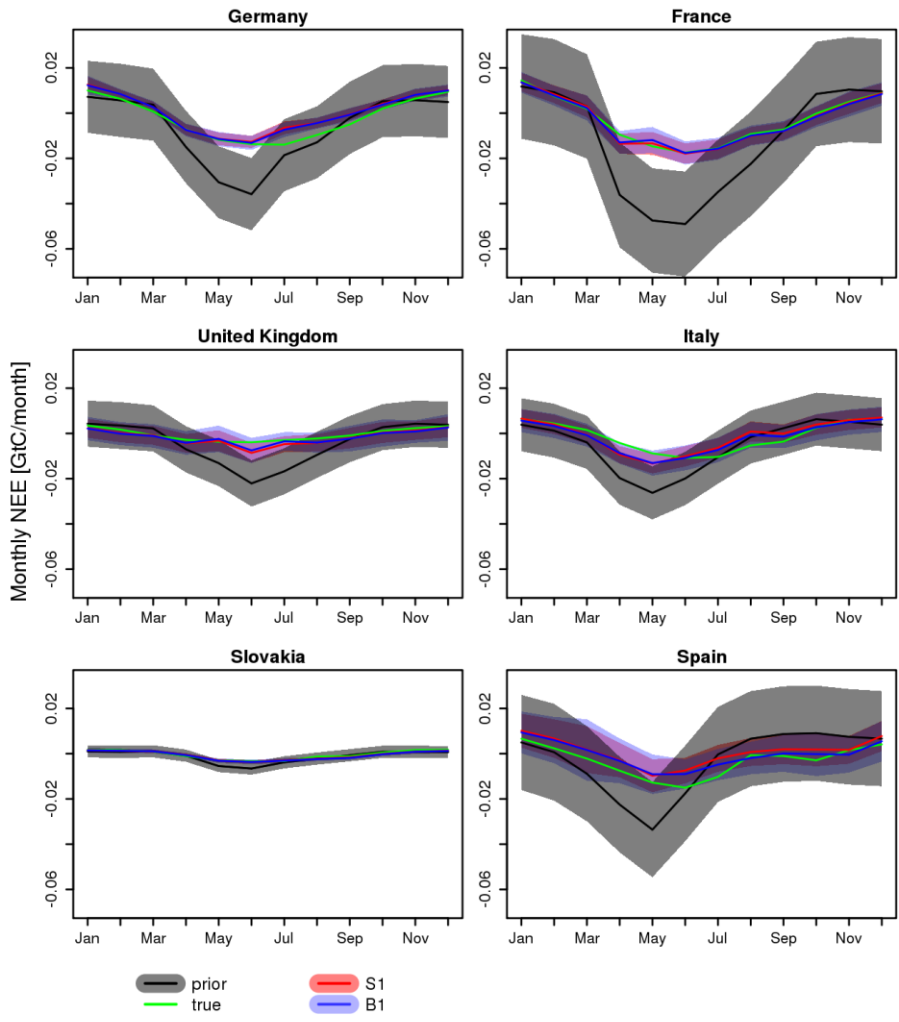
Figure 8. Temporal evolution of monthly NEE for selected European countries for the synthetic
data inversion.

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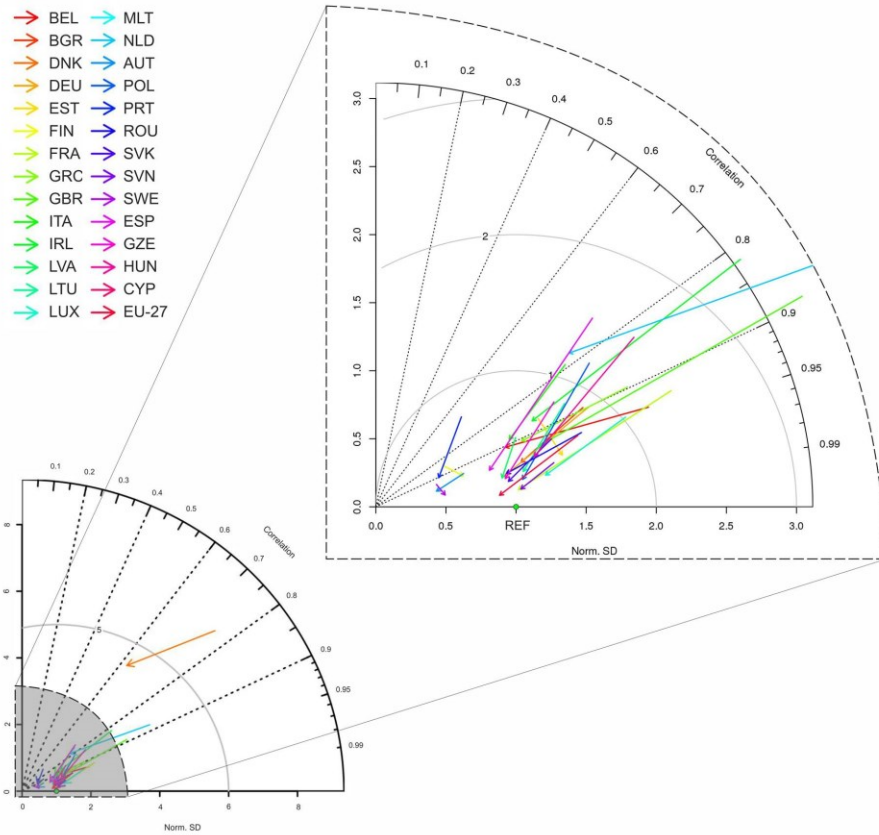
Figure 9. Overview of the model performance (S1 case) summarized in a Taylor diagram. Posterior and prior monthly and country scale aggregated biospheric fluxes are compared against the reference fluxes ("true"). Each line corresponds to a different country. The starting point of each arrow shows prior/reference comparison and the ending point the posterior/reference comparison. Ideally the ending point should coincide with the green point which represents the reference model.
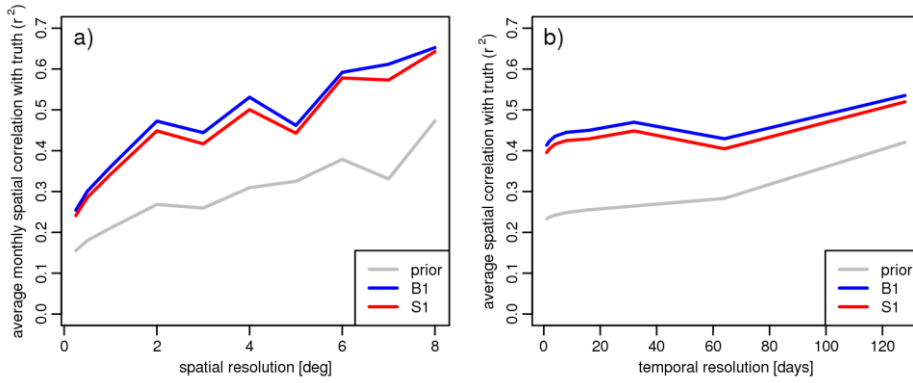
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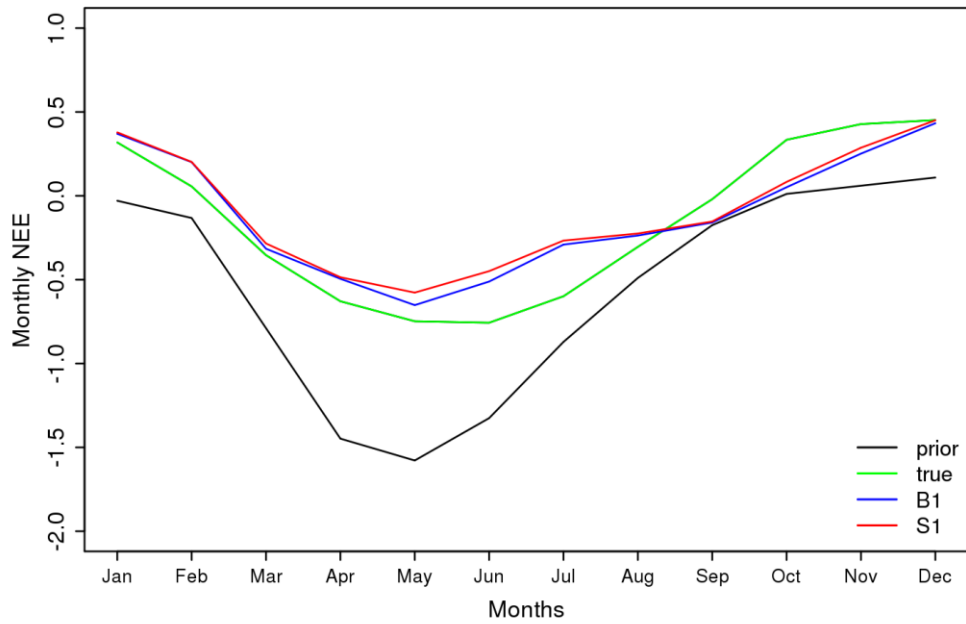
Figure 10. Mean monthly NEE averaged over the 53 different eddy covariance site locations as
reported in Kountouris et al. (2015). A priori (black), true (green), and posterior fluxes for
scenarios B1 (blue) and S1 (red) are shown. Units are in $gCm^{-2}day^{-1}$.

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Figure 11. a): Mean spatial correlation of monthly fluxes with true fluxes as function of spatial
flux aggregation scale for prior fluxes (grey), and for posterior fluxes from scenarios B1 (blue)
and S1 (red). b): Mean spatial correlation of fluxes with true fluxes at 2 deg. spatial resolution as
function of temporal flux aggregation scale for prior fluxes (grey), and for posterior fluxes from
scenarios B1 (blue) and S1 (red).

Response to comments raised by reviewer #3

We thank the reviewer for his helpful comments, and hope to have addressed the concerns in the revised manuscript. Below we respond to each of the comments, and list the corresponding modifications that were made to the manuscript. The original comments are in bold face letters, and our replies are in regular face letters.

1. My previous comment still stands that improvements in "goodness of fit" tests (RMSE, correlation, chi-squared) are simply a consequence of the inversion code performing in a way that is not obviously erroneous. In their response the authors state that an improvement in flux space is not a necessarily condition of an improvement in concentration space. Whilst this is true in the real world (in contrast to some of the comments in the revised paper, see below), it should absolutely not be the case in the situation where the model and data are perfect, as they are here. Think of the limiting case: if model-data error was very small, and prior flux error was large, one should be able to derive very close to "perfect" fluxes in the case of a perfect model and perfect data. By reducing the data constraint, one simply moves the flux solution back from "perfection" towards the prior.

This comment refers to the previous first comment, where the reviewer was not convinced that different inversion setups can be compared using a synthetic data experiment. We agree that the metrics of RMSE and correlation mostly indicate that the inversion is working. We also agree that a comparison between different inversion setups might not be possible using a pseudo-data experiment. However, it is not our intention to actually compare different setups in order to decide which setup performs better than another. We intended to assess the spatial and temporal scales at which we can expect the inversion system to inform us about surface-atmosphere exchange fluxes, which is different from quantitatively comparing different setups. We do think that this information on the relevant spatiotemporal scales, at which the inversion is informative, can be transferred to the real-world case, at least to a certain degree.

Regarding perfect model and data we think there seems to be a fundamental misunderstanding of how the synthetic experiment is performed. Unlike the reviewer states, the model used in the inversion is not perfect (i.e. identical to the model used for the truth). The flux fields as a priori are generated from a completely different biosphere model than that used to generate the "true" fluxes. Also uncertainties for model-data mismatch are included in a realistic way. The only aspect of the synthetic experiment where the model is perfect is the atmospheric transport (i.e. the identical transport is used for forward and inverse, and no realization of the model-data mismatch error was added to the simulated concentrations), but the inversion does not make use of this "perfect" transport model, as a realistic model-data mismatch error is used. Even for the limiting case mentioned by the reviewer, where model-data mismatch error is very small and

prior uncertainties are large, we would not expect the retrieved fluxes to perfectly match the "true" fluxes, as the underlying spatiotemporal patterns are fairly different between "true" and prior fluxes; this is related to the fact that the information provided by the observations is not sufficient to fully constrain the fluxes at all spatiotemporal scales (i.e. the inverse problem is underdetermined).

We attempted to clarify this in the revised manuscript in the following way:

In response also to the comment below (P15 L20), we now state in the paper:

P15 L25 "We note that the synthetic data were derived without adding realizations of model-data mismatch error"

P16 L3 we added: "The use of two different biosphere models ensures that the posterior simulated CO_2 time series will never exactly match the pseudo-observations (the known truth)."

Regarding the potential impact of transport model error:

P23 L24 now reads: "Note that the current study does not include the impact of transport model imperfection, as we used the identical transport model in the inversion as for generating the synthetic observations. However the inversion includes the related uncertainty in a realistic way as diagonal elements in the measurement error covariance, which is typically done in atmospheric inversions. The chi square values confirm that there is no underestimation of the uncertainties. We note though that erroneous flux estimates are likely to be estimated especially at finer spatial scales where the transport model is not able to resolve the real transport (e.g. individual eddys, complex terrain etc). However, at those coarser spatial scales, where the inversion shows good performance, transport models are also expected to perform better, thus limiting the impact of transport model errors."

2. My second general comment highlighted several papers that had developed methodology in this area in recent years. Whilst the authors have now cite a couple of them, I was hoping that, since this is a "methodology" paper, they would compare and contrast the methodology in this paper with the recent developments by other authors. However, instead they simply say that eddy covariance data are not available for the gases used in the other publications. This misses the point to me; if these papers applied their methodology to CO2 (and there is no reason why they couldn't), would the limitations identified by the authors still apply? If so, what would be the benefits of the proposed system.

We thank the reviewer for pointing out the importance of this comparison. We provide a more detailed information, which we hope will make this point clearer.

1   The abovementioned papers from Ganesan et al. (2014) and Lunt et al. (2016), are using a
2   hierarchical Bayesian method to infer terrestrial fluxes from dry mole tracer fractions. They
3   follow a method which has been used over the last 10 years and introduced first by Michalak et
4   al. (2004; 2005). In this approach, the so called "hyperparameters" (spatial and temporal
5   correlation scales which are characterizing the covariance matrix as well as mean and standard
6   deviation which they describe the prior Probability Density Function), are derived from
7   atmospheric data. The main difference between those studies is that the latter calculates the
8   covariance parameters first and then, in a second step, derives the fluxes. In Ganesan et al.
9   (2014) and Lunt et al. (2016) studies, covariance parameters and fluxes are calculated
10 simultaneously. Since the main principle is the same, atmospheric data are used to infer the
11 covariance parameters, those parameters are strongly dependent on the atmospheric data as well
12 as the transport model (Michalak et al. 2005). Assuming that two studies are sharing the same
13 atmospheric data set but different transport model, they will potentially derive a different set of
14 optimized parameters. Since we refer to hyperparameters within the prior error covariance (flux
15 uncertainties), they should not depend on the transport model.

16 It would be of great interest if we could directly compare the two approaches, the one described
17 in Ganesan et al. (2014) and the one described in the current study. Apart from the fact that this
18 would be beyond the scope of this study, a direct comparison is not possible since the two
19 approaches have been applied to different tracers. Nevertheless, the study from Michalak et al.
20 (2004), as explained, uses the same principle as Ganesan et al. (2014) and the companion papers.
21 They report correlation length scales for the prior land fluxes of around 1000 km, which is
22 significantly different from the lengths we derived (around 40 km, see Kountouris et al., 2015)
23 and which we apply in the companion paper (Kountouris et al., 2016). Whilst the prior error
24 covariance parameters are driven from the atmosphere in the above mentioned papers, in our
25 study those parameters are directly driven from the fluxes themselves.

26 Lunt et al. (2016) reduced the spatial dimension of the state vector, where the data are used to
27 determine this reduction. They achieved this by defining basis functions partitioning the domain
28 into Voronoi cells. However, computational cost seems to be significant and they choose to
29 perform their optimization only in the spatial space, ignoring the time dimension. In our study
30 spatial and temporal space (three-hourly fluxes) are being optimized.

31 P6 L10 now reads: "In a similar approach Ganesan et al. (2014) and Lunt et al. (2016), applied a
32 hierarchical Bayesian model using atmospheric concentrations, to estimate both, fluxes and a set
33 of hyper-parameters (e.g. mean and standard deviation of a priori emissions PDF as well as
34 model – measurement standard deviation and autocorrelation scales). Those studies are focused
35 on sulfur hexafluoride (SF_6) and methane (CH_4), so a direct comparison of spatial autocorrelation
36 scales for prior flux uncertainties in CO_2 inversions is not possible. In addition, Lunt et al. (2016)
37 reports that due to the computational costs, they performed the inversion with no temporal
38 dependence, assuming that the fluxes are constant over a fixed time period. Furthermore, the
39 covariance parameters depend on the atmospheric data and on the transport model used

1 (Michalak et., 2005). Michalak et al. (2004) applied a similar approach to CO_2 and reported
2 spatial decorrelation lengths of around 1000 km, which are one order of magnitude larger than
3 our estimates. "

4

5 **Additional comments:**

6 **- P15 L20 In the revised paper the authors now state that no error was added to the**
7 **model/data. Wouldn't it have been more interesting to include some uncertainty here and**
8 **see how it influenced the mismatch between the "true" and a posteriori flux. This follows**
9 **directly from comment 1 above. Without any error in the model/data, the improvement in**
10 **fit is fairly trivial.**

11 We think that this pointed issue is just a misunderstanding. We clarify that in atmospheric
12 inversions most of the synthetic studies, use the same model to derive prior fluxes and to
13 construct the synthetic observations. This would obviously result to a zero model data mismatch.
14 Hence an error realization should be added, to at least, give some mismatch between the model
15 and the "measurements". For example, in Lunt et al. (2016), they perform also a pseudo
16 experiment. However, the pseudo observations were derived simply by scaling the prior flux
17 distribution. Then they added a random noise to the observations to simulate model-
18 measurement errors.

19 By using a different model for the prior, and another model to construct the observations, we
20 make sure that the inversions have to overcome a difference in model structure. Such an
21 approach is already used in Tolk et al. (2011). This causes the simulated CO2 time series (prior)
22 to never perfectly match with the true.

23 P16 L1 we added: "The use of two different biosphere models assures that the prior simulated
24 CO_2 time series will never exactly match the pseudo-observations (the known truth)."

25

26 **- P23 L17, states that model transport error is not "excessively assessed". This is not true.**
27 **Model transport error is ignored.**

28 In atmospheric inversions, the measurement error covariance matrix (i.e Q_c in Eq.3) accounts
29 typically for measurement errors, the representation error (uncertainties introduced from the
30 insufficient grid resolution to resolve fluxes as small scales) and the transport error. Hence
31 transport uncertainties are implicitly assumed in the error covariance matrix which is a standard
32 approach in atmospheric inversions.

33 P23 L21 we clarify: "Note that the current study does not include the impact of transport model
34 imperfection, as we used the identical transport model in the inversion as for generating the

synthetic observations. However the inversion includes the related uncertainty in a realistic way as diagonal elements in the measurement error covariance, which is typically done in atmospheric inversions. The chi square values confirm that there is no underestimation of the uncertainties."

- P23 L22 now states that "for coarser spatial scales transport morels perform better, and as long as the fitting performance shows good results, flux estimates should be more reliable." The first part of this sentence is an unproven assertion (that better resolution = better transport), and the second part is not correct (that better fit to the data = more reliable flux). I could have a terrible transport model that fits the data perfectly simply by compensating for transport error by deriving completely wrong fluxes.

We agree with the reviewer that higher resolution models do not necessarily simulate better the atmosphere. In fact, we say the same thing: transport models, perform better at coarser spatial scales. We do not refer to higher resolution models and their potentials here. For the second part of the sentence we agree again with the reviewer that a good fit does not assure a reliable flux. However, validating the fluxes with independent measurements could be an indicator if the flux correction was done appropriately.

P23 L28 we clarify: "However, at those coarser spatial scales, where the inversion shows good performance, transport models are also expected to perform better, thus limiting the impact of transport model errors."

- P25 L15 states that "Concerns might rise that the observational uncertainties are underestimated due to the absence of the error correlations. However the $\chi r2$ values prove the opposite." This may be true in this synthetic case, but it won't hold at all in the real world. In reality there must be correlated errors in chemical transport models.

This statement is misleading. We already mentioned that we make use of a data density function (see section 2.1 and Rödenbeck, C., 2005). The function inflates the uncertainty and it is equivalent with the assumption that transport errors are correlated in the order of a week.

In the inversion system, data and model uncertainties result to a total uncertainty of

$$\sigma_{tot} = \sqrt{\sigma_{mod}^2 + \sigma_{obs}^2}$$

The data density inflates the uncertainty over weekly intervals and the total uncertainty is now given as

$\sigma_i = \sqrt{N^*} \cdot \sigma_{tot}$ where N^* is the number of measurements within a given time interval. This way, we do consider that transport errors are correlated in time.

P10 L4 we added: "The data density inflates the uncertainty over weekly intervals by a factor of the square root of the number of measurements within a given time interval. This ensures…"

P25 L28 we clarify: "However we do consider implicitly that transport errors might by correlated over time, and we do consider that via the data density function. Further, for the synthetic study the χ_r^2 values prove a fair treatment of the observational uncertainties."

- My previous comment that the comparison with pseudo-EC data still stands, and has not been addressed in the revised manuscript. The authors cannot conclude from this study that EC data can be used to validate these fluxes in the real world. In the real world, scaling issues will be absolutely critical (EC data being representative of scales that are typically an order of magnitude smaller than the transport model).

Although we addressed reviewer's comment in our previous response, we unintentionally did not include it in the revised manuscript. We thank the reviewer for his comment; we made the following changes to the manuscript:

P23 L3-6: we deleted: "The very close correspondence of these results with those shown in Figure 7~~Fig. 7~~ for the domain-wide monthly flux budget potentially shows that eddy covariance measurements can principally be used for validation of the inverse estimates at monthly timescales."

P25 L4 we added : "The "true" fluxes were used to validate the posterior flux estimates. In this synthetic experiment, both fluxes share the same spatial resolution (25km) which makes the validation straightforward. In a real data inversion, eddy covariance measurements will substitute the "true" fluxes making the spatial scales not directly comparable. Despite the scale mismatch, Broquet et al. (2013) compared the posterior flux estimates against eddy covariance data with promising results; showing that posterior mismatches are in good agreement with the theoretical uncertainties."

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