

1 **XBAER derived aerosol optical thickness from OLCI/Sentinel-3 observation**

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4
5 **Abstract**

70 A prolonged pollution haze event occurred in the northeast part of China during December 16 - 21,
71 2016. To assess the impact of such events, the amounts and distribution of aerosol particles
72 formed in such events need to be quantified. The newly launched Ocean Land Color Instrument
73 (OLCI) onboard Sentinel-3 is the successor of the MEidium Resolution Imaging Spectrometer
74 (MERIS). It provides measurements of the radiance and reflectance at the top of the atmosphere
75 which can be used to retrieve the Aerosol Optical Thickness (AOT) on both synoptic to global
76 scales. In this paper, the recently developed AOT retrieval algorithm - eXtensible Bremen
77 AErosol Retrieval (XBAER) has been applied to data from the OLCI instrument for the first time
78 to inlustrate the feasibility of transferring XBAER to new instrument. The first global retrieval
79 results show similar patterns as MODIS and MISR aerosol products. The AOT retrieved from
80 OLCI is validated by comparison with AERONET observations and a correlation coefficient of
81 0.819 and bias (root mean square) of 0.115 is obtained. The haze episode is well-captured by the
82 OLCI-derived AOT product. XBAER is shown to retrieve AOT from the observations of MERIS
83 and OLCI.

88

89 **1 Introduction**

90 Haze is an atmospheric phenomenon which is associated with horizontal visibilities of less than 10
91 km and atmospheric relative humidity (RH) less than 90 % (Liu et al., 2013). Haze occurs as a
92 result of pollution i.e. the release of sulfur dioxide (SO₂), nitrogen oxides (NO_x) and particles or
93 the photochemical production of atmospheric particles (Sezer et al., 2005; Pudasainee et al., 2006).
94 These particles are called aerosol. Aerosol has a variety of effects on climate and environment
95 both directly and indirectly. The direct effect is through scattering which cools the atmosphere and
96 surface system or by absorption of incoming solar radiation which also cools the surface but
97 warms the atmosphere. Indirectly, aerosol impacts on cloud formation and the microphysical
98 properties of clouds, which in turn influence cloud albedo and precipitation (Li et al., 2011)
99 adding to their negative health impacts. Aerosols are also the carriers of toxic substances such as
100 heavy metals and polycyclic aromatic hydrocarbons (Wilkomirski et al., 2011). In Beijing, under
101 high pollution conditions, the concentrations of sulfate and nitrate have been shown to account for
102 1/3 of the particle matter (PM₁₀) mass and 2/3 of the PM_{2.5} mass, a part of which is attributed to
103 the additional secondary conversion of SO₄²⁻ from SO₂ and NO₃⁻ from NO_x (Ji et al., 2012).
104 Haze has a significant effect on regional climatic phenomena, such as monsoon (Chung et al.,
105 2002; Evan, et al., 2011) and on the environment e.g. air quality (Lin et al., 2012) and visibility
106 (Zhao et al., 2011). Aerosol can adversely affect human health (Evan, et al., 2011), especially for
107 the elderly, children (American Academy of Pediatrics Committee on Environmental Health,
108 1993), and even the new-born children (Dadvand et al., 2013).

109 A thick smoke haze enveloped the Eastern and Northern part of China in December 2016.
110 Pictures taken by cameras onboard the satellite TERRA/AQUA show that the area affected by

111 haze exceeded about 1.5 million square kilometers area of China. The poor visibility resulted in
112 several highways and regional airports being closed for extended periods. The situation
113 deteriorated significantly during the haze event and became a matter of public concern.

114 ~~Satellite observations of the reflectance of solar radiation at the top of the atmosphere are~~
115 used to determine Aerosol Optical Thickness (AOT), which is used as an indicator of air quality
116 (Kaufman et al., 2002). There are numerous attempts for the retrieval of aerosol properties from
117 satellite observations. AOT retrieval algorithms have been developed for use with the
118 measurements of Moderate Resolution Imaging Spectroradiometer (MODIS) (e.g. Dark-Target
119 (Levy et al., 2013), DeepBlue (Hsu et al., 2013), the Multiangle implementation of atmospheric
120 correction (MAIAC) (Lyapustin et al., 2011)), Advanced Along-Track Scanning Radiometer
121 (AATSR) (e.g. AATSR Dual-Viewing (ADV) (Kolmonen et al., 2016; Sogacheva et al., 2017),
122 Oxford-RAL Aerosol and Cloud (ORAC) (Thomas et al., 2009) and Swansea University (SU)
123 (North et al., 1999) algorithms). AOT is also derived from observations of the Multi-angle
124 Imaging SpectroRadiometer (MISR) (Diner et al., 2005), PARASOL's Polarization and
125 Directionality of the Earth's Reflectances (POLDER) (Dubovik et al., 2014), Sea-Viewing Wide
126 Field-of-View Sensor (SeaWiFS) (Sayer et al., 2012) etc.

127 One challenge for the derivation of AOT long term datasets from satellite observation is to
128 generate comparable AOT data products from the different instruments, which have limited
129 lifetimes. Consequently mature aerosol algorithms, which can be applied to data from instruments
130 on different platforms, are required. For example, the three MODIS aerosol algorithms have been
131 applied to the Visible Infrared Imaging Radiometer Suite (VIIRS) instrument and the three

删除的内容: Generally speaking, local emissions coupled with unfavourable synoptic weather are the most important factors which create the severe haze episodes (Chan and Yao, 2008 ; Chen et al., 2008). Haze pollution events frequently occur in winter in northern China (Fu et al., 2008). The sources and mechanisms of pollution events in Beijing have been investigated in several studies (Chen et al., 2017; Xu et al., 2011; Ma et al., 2010; Pang et al., 2009; Wang et al., 2006). Local anthropogenic sources, such as fossil fuel combustion for domestic heating as well as dust transported from Northern China are the main sources of the aerosol during Beijing haze. Meteorological conditions having low winds, temperature inversion and low mixed layer heights result in regional air pollution (Ji et al., 2012).

152 AATSR algorithms have been proposed to be applied to the observations of the Sea and Land
153 Surface Temperature Radiometer (SLSTR) instrument (Popp et al., 2016).

154 The MERIS instrument onboard Environmental Satellite (Envisat) provided valuable
155 information for different applications (Verstraete et al., 2010). There are several previous attempts
156 to develop AOT retrieval algorithms for MERIS, e.g. the Bremen AErosol Retrieval (BAER; von
157 Hoyningen-Huene et al., 2003, 2011), and the European Space Agency (ESA) standard aerosol
158 retrieval (Santer et al, 2007). These had mixed success (Mei et al., 2016a). BAER has limited
159 accuracy away from dark-vegetated surfaces and primarily for non-absorbing aerosols (de Leeuw
160 et al., 2015; Holzer-Popp et al., 2013) while the ESA standard AOT retrieval tends to overestimate
161 AOT (de Leeuw et al., 2015). The recently developed eXtensible Bremen AErosol (XBAER)
162 algorithm (Mei et al., 2016a, 2016b) has been internally validated in the Aerosol- Climate Change
163 Initiative (Aerosol-CCI) project (Popp et al., 2016), and shows very promising results.

164 The newly launched (on 16th Feb, 2016) instrument Ocean Land Color Instrument (OLCI)
165 takes the heritage of MERIS as it contains all MERIS channels. Theoretically it is possible to
166 transfer the mature MERIS retrieval algorithms to the OLCI instrument. In this paper, the XBAER
167 algorithm has been applied to OLCI instrument for the first time. To our best knowledge, this is
168 the first publication of AOT retrieved from OLCI. Although Sentinel-3 has only recently been
169 launched, applying XBAER to OLCI data we have identified a haze event over Beijing, China
170 during December 2016. We use observations by OLCI during this episode to test our retrieval of
171 AOT.

172 In this manuscript, the characteristics of OLCI and MERIS instruments are presented and
173 compared in Section 2. The XBAER algorithm is briefly explained in Section 3. Section 4 shows

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175 the comparison between OLCI and MERIS instruments, first XBAER OLCI-derived AOT results
176 and a comparison with AOT from MODIS/MISR and AERONET observations is shown and
177 discussed from a global point of view. The AOT retrieved during the regional haze event is also
178 presented and discussed in Section 4. The conclusions are given in Section 5.

179

180

181 **2 OLCI instrument**

182 The European Space Agency Sentinel-3 satellite was successfully launched on 16th February 2016.

183 It is one element of the EU Copernicus system previously known as the Global Monitoring for

184 Environment and Security (GMES) system

185 (<https://sentinel.esa.int/web/sentinel/user-guides/sentinel-3-olci>). The aim of the Sentinel-3

186 mission is to provide data continuity of observation and data products for two of the instruments

187 aboard ENVISAT viz MERIS

188 (<https://earth.esa.int/web/guest/missions/esa-operational-eo-missions/envisat/instruments/meris>)

189 and AATSR

190 (<https://earth.esa.int/web/guest/missions/esa-operational-eo-missions/envisat/instruments/aatsr>).

191 There is no overlap of observations because ENVISAT was lost unexpectedly and suddenly in

192 April, 2012. The outstanding performance of ENVISAT over the last decade led both scientists

193 and engineers to believe that it is valuable to make use of multiple sensing instruments to

194 accomplish its operational mission for oceanography & global land applications. The instruments

195 onboard Sentinel-3 include SLSTR (Sea and Land Surface Temperature Radiometer), OLCI

196 (Ocean and Land Colour Instrument), SRAL (SAR Altimeter), DORIS (Doppler Orbitography and

197 Radiopositioning Integrated by Satellite), and MWR (Microwave Radiometer), which can deliver

198 additional information for Sea/Land colour data (at least MERIS quality), Sea/Land surface

199 temperature (at least AATSR quality) , Sea surface topography data (at least Envisat RA quality)
 200 (<https://earth.esa.int/web/guest/missions/esa-eo-missions/sentinel-3>).

201 The primary objective of OLCI is to observe the ocean and land surface in the solar spectral
 202 region and thereby to harvest information related to biology. OLCI also provides information on
 203 the atmosphere and contributes to climate studies. OLCI is a push-broom imaging spectrometer
 204 that measures solar radiation reflected by the Earth, at a ground spatial resolution of 300 meter, in
 205 21 spectral bands between 0.4 and 1.02 μm , with a swath width of 1270 km. A comparison
 206 between the MERIS and OLCI instruments has been included in Table 1.

207 **Table 1 Spectral channels for MERIS and OLCI instruments**

OLCI			MERIS			Usage
Band #	Central wavelength	Width	Band #	Central wavelength	Width	Δ : cloud * Surface ∇ : Aerosol
1	400	15				
2	412.5	10	1	412.5	10	Δ /*/ ∇
3	442.5	10	2	442.5	10	*/ ∇
4	490	10	3	490	10	*/ ∇
5	510	10	4	510	10	*/ ∇
6	560	10	5	560	10	*/ ∇
7	620	10	6	620	10	*/ ∇
8	665	10	7	665	10	*/ ∇
9	673.75	7.5				
10	681.25	7.5	8	681.25	7.5	*/ ∇
11	708.75	10	9	708.75	10	*/ ∇
12	753.75	7.5	10	753.75	7.5	Δ
13	761.25	2.5	11	760.625	3.75	Δ
14	764.375	3.75				
15	767.5	2.5				
16	778.75	15	12	778.75	15	
17	865	20	13	865	20	
18	885	10	14	885	10	*
19	900	10	15	900	10	
20	940	20				
21	1020	40				

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210 3 XBAER algorithm

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212 The XBAER algorithm was designed for the retrieval of AOT from MERIS and similar
213 observations. It has its own cloud screening approach, aerosol type selection and surface
214 parameterization (Mei et al., 2016a, 2016b). The cloud screening algorithm minimizes cloud
215 contamination for aerosol retrieval in XBAER. The XBAER cloud masking algorithm determines
216 the presence of cloud by using i) the brightness of the scene, ii) the homogeneity or variability of
217 the top of the atmosphere reflectance and iii) cloud height information (Mei et al., 2016b). The
218 threshold values in the XBAER cloud masking algorithm are selected by a two steps process. The
219 ranges for the thresholds were determined by using accurate radiative transfer modeling with
220 different surface and atmospheric scenarios. A histogram analysis has been used for different
221 cloud, aerosol and surface scenarios to estimate the optimal threshold values for each criterion.

222 The XBAER algorithm uses a generic one-parametric surface parameterization for both land
223 and ocean. XBAER uses a set of space-time dependent spectral coefficients to describe surface
224 properties. The spatial and temporal resolutions are 10 km and monthly, respectively. The surface
225 spectral reflectance can be determined simultaneously with AOT in an iterative procedure (Mei et
226 al., 2016a). This approach assumes that the wavelength-dependent properties of surface spectral
227 reflectance are constrained by space and time dependent spectral coefficients. The
228 wavelength-independent single parameters (Soil-adjusted Vegetation Index (SAVI) for land
229 retrieval and Normalized Differential Pigment Index (NDPI) for ocean retrieval) have been used
230 as the “tuning” parameters. In this manner, XBAER is not limited to dark surfaces (ocean,
231 vegetation) and also retrieves AOT over bright surfaces (e.g. desert, semiarid, and urban areas).

232 XBAER uses MODIS Dark-Target aerosol type assumptions and the expected aerosol type

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235 for a given region and season is taken from an analysis of Aerosol Robotic Network (AERONET)
236 and Maritime Aerosol Network (MAN) observations for both land and ocean. AOT and surface
237 reflectance are retrieved by minimizing the difference between simulated and measured TOA
238 reflectance using a Look-Up-Table (LUT), created by the radiative transfer software package
239 SCIATRAN (Rozanov et al., 2014). Details of the XBAER algorithm can be found in Mei et al.,
240 (2016a, 2016b). A post-processing technique used in Aerosol-CCI project and the MODIS
241 monthly snow fraction dataset have been additionally applied to avoid unresolved clouds/snow
242 (Popp et al., 2016).

243

244

245 **4 Results**

246

247 **4.1 Verification**

248 One important characteristic investigated is the instrument spectral response function (SRF)
249 because it is the major difference between MERIS and OLCI for overlap channels. Fig. 1 shows
250 the SRF for the MERIS and OLCI overlap channels. The OLCI RSF mean dataset
251 ([https://sentinel.esa.int/web/sentinel/technical-guides/sentinel-3-olci/olci-instrument/spectral-respo](https://sentinel.esa.int/web/sentinel/technical-guides/sentinel-3-olci/olci-instrument/spectral-response-function-data)
252 [nse-function-data](https://sentinel.esa.int/web/sentinel/technical-guides/sentinel-3-olci/olci-instrument/spectral-respo)) has been used. Differences between MERIS and OLCI SRF are identified but
253 have negligible impact on the retrieved AOT.

254 In order to quantitatively investigate the impact of different SRFs, the TOA reflectances have
255 been simulated with and without taking SRF into account. The simulations have been determined
256 by undertaking radiative transfer simulations using SCIATRAN for atmospheric and surface
257 conditions (Rozanov et al., 2014). The MERIS observation geometry for the 2nd July 2009 over
258 Paris was used to perform a forward simulation. In particular, the solar zenith angle, viewing angle
259 and relative azimuth were set to (32.32°, 28.7°, 30.65°) as suggested in Mei et al. (2016a).

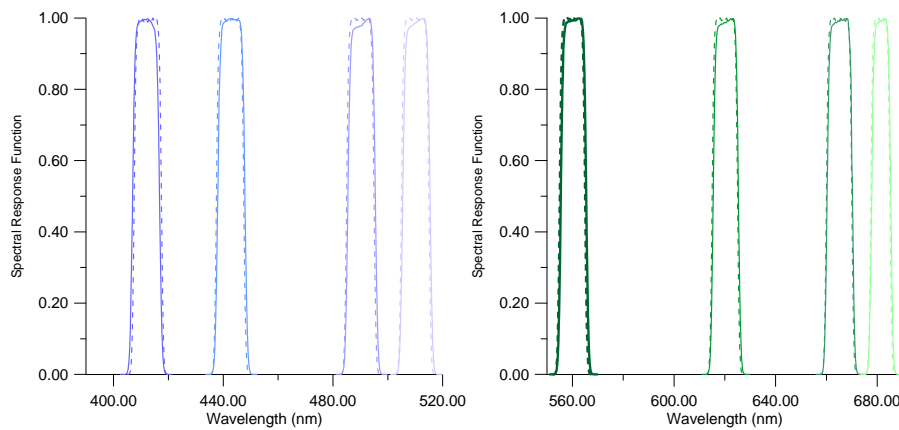
260 In order to design representative simulated scenarios, we define a comprehensive set of
261 aerosol optical parameters, surface spectral reflectances, and other atmospheric properties
262 comprising temperature and pressure profiles, the profiles of the concentration of gaseous
263 absorbers and scattering. Suitable ranges of values for all relevant inputs for the RTM are
264 obtained by statistical analysis of corresponding global products (Mei et al., 2016a). For this
265 purpose, we use:

266 **Surface reflectance:** Three typical surface types representing vegetation, soil and water, i.e.
267 relatively dark land (vegetation-covered city), bright land (desert), and water surface (ocean
268 surface), were used. The typical vegetation and soil spectra are adapted from von
269 Hoyningen-Huene et al. (2011), the liquid water spectrum comes from the SCIATRAN database
270 (see references in Rozanov et al., 2014). Fig. 2 shows the corresponding surface reflectance
271 spectra for selected surface types.

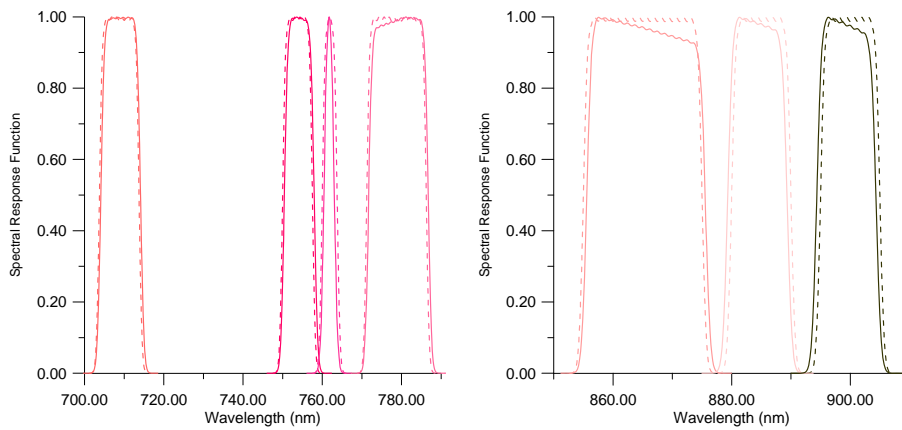
272 **Aerosol Scenarios:** Within the ESA Aerosol-CCI project, a representative value for global
273 mean AOT of 0.25 has been selected (Holzer-Popp et al., 2013; de Leeuw et al., 2015). Thus an
274 AOT of 0.25 was selected for the simulation of “vegetation” and “water” cases. An AOT value of
275 0.5 was used for the “soil” scenario to represent a ‘real’ case for the Sahara region. Moderately
276 absorbing (fine mode radius $r_{v,f} = 0.150 \mu\text{m}$, coarse mode radius $r_{v,c} = 3.19 \mu\text{m}$, fine mode variance
277 $\sigma_f = 0.408$, coarse mode variance $\sigma_c = 0.754$, fine/coarse mode volumes ($\mu\text{m}^3/\mu\text{m}^3$) are 0.055 and
278 0.038), pure maritime type ($r_{v,f} = 0.150 \mu\text{m}$, $r_{v,c} = 3.19 \mu\text{m}$, $\sigma_f = 0.408$, $\sigma_c = 0.754$, fine/coarse
279 mode volumes ($\mu\text{m}^3/\mu\text{m}^3$) are 0.04 and 0.296) and dust aerosol model ($r_{v,f} = 0.140 \mu\text{m}$, $r_{v,c} = 1.74$
280 μm , $\sigma_f = 0.454$, $\sigma_c = 0.687$, fine/coarse mode volumes ($\mu\text{m}^3/\mu\text{m}^3$) are 0.02 and 0.157) were used
281 for aerosol types.

282 **Other atmospheric parameters:** The profiles of temperature, pressure, and concentration of
283 the gases ozone, O₃, nitrogen dioxide, NO₂, and molecular oxygen, O₂ and water vapor, H₂O,
284 which all absorb in the 400 – 900 nm spectral region were provided by the Bremen 2D chemical
285 transport model (Sinnhuber et al., 2009).

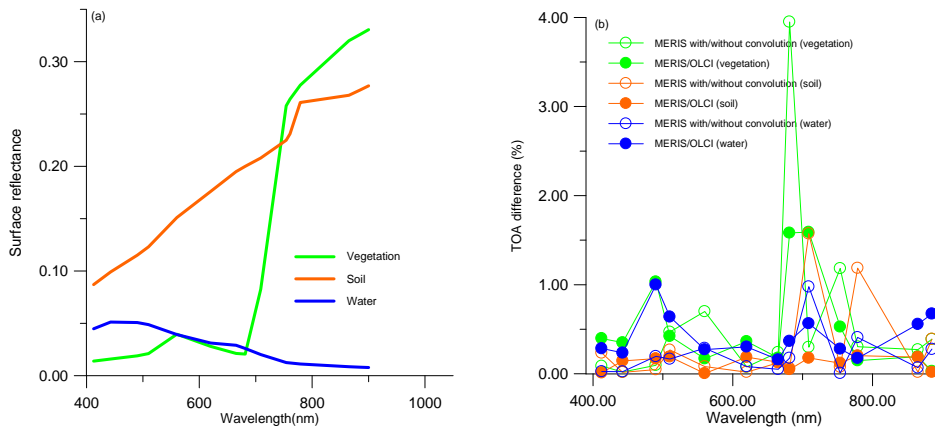
286 In Table 1 the spectral channels of OLCI and MERIS are given. Fig. 2 (a) presents the
287 surface spectral reflectance for the three surface types selected. Fig.2 (b) presents the simulated
288 TOA differences for the above scenarios. The differences for all surface/atmospheric conditions
289 are less than 1.5%. These are similar to the simulation with and without convolution for MERIS
290 with the exception of the O2A and water vapor channels. However, the potential impacts of
291 different SRFs may also introduce some uncertainties to the XBAER cloud mask due to relative
292 strong impact of SRF to the O2A channels (about 20% difference).



293



294
 295 Fig 1 Spectral Response Function of MERIS (dash lines) and OLCI (solid lines) for overlap
 296 channels
 297



298
 299 Fig 2 (a) Surface reflectances of the three selected surface types; (b) Comparisons of the simulated
 300 TOA reflectance for different combinations of MERIS and OLCI SRF values. Green, yellow and
 301 blue colors in (a) and (b) represent vegetation, soil and water simulations. Filled circles in (b) are
 302 differences for simulations using MERIS and OLCI SRFs. Circles in (b) are differences for
 303 simulations with and without convolution.
 304

305 4.2 First XBAER AOT retrieval for OLCI and its validation

306
 307 AERONET observations are considered to be the “ground truth” for satellite validation (Holben et
 308 al., 1998). Here, we collocate the XBAER OLCI aerosol retrievals with the AERONET Version
 309 3.0 (https://aeronet.gsfc.nasa.gov/new_web/Documents/AERONET-V3_News_Final.pdf. last
 310 access: 15 May, 2017), Level 1.5 (Level 2.0 for both AERONET Version 2.0 and 3.0 are not
 311 available till 15 May, 2017) (Holben et al., 1998; Smirnov et al., 2000). As AERONET does not

312 provide AOT at 0.55 μm , data are interpolated to 0.55 μm using quadratic fits on a log-log scale
313 (Eck et al., 1999). Since AERONET provides a point measurement with high-temporal resolution
314 while satellite observations represent a ‘regional’ measurement depending on the satellite spatial
315 resolution for a particular overpass time, spatial statistics for the OLCI data are calculated and
316 compared to the temporal statistics of the AERONET observations taken within ± 30 min of OLCI
317 overpass following the spatial-temporal technique of Ichoku et al. (2002).

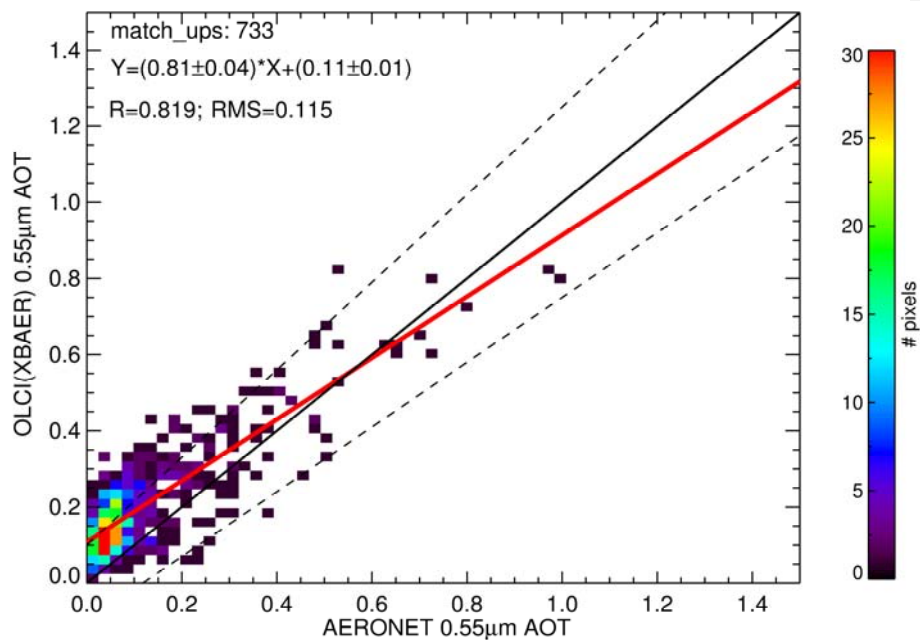
318 Fig. 3 is a plot which compares XBAER-derived and AERONET observed AOT at 0.55 μm .

319 The collocations of Fig.3 contain various surface and aerosol types, which ensure a wide
320 representativeness of the validation. 733 collocations were found for December 2016. The colour
321 of each ordered pair (0.025×0.025 increment) represents the number of such matchups. Negative
322 AOT (> -0.1) values are possible and reasonable as a result of the noise in satellite observations
323 (Levy et al., 2007) and uncertainties of surface parameterization. The comparison here excluded
324 negative values and only AOT values between 0.0 and 2.5 are used following the validation
325 method of other aerosol products (Sayer et al., 2012; Levy et al., 2013). The validation contains
326 various surface and aerosol types, which ensures a wide representativeness of the validation. The
327 regression equation is $y = (0.81x \pm 0.04) + (0.11 \pm 0.01)$ with slightly higher correlation compared
328 to the first MERIS validation ($R=0.82$ vs $R=0.78$) (Mei et al., 2016a). The AOT is
329 reasonable-correlated between the two datasets ($R = 0.82$), with increased scatter for high aerosol
330 loadings. The majority of the data (87.5%) are for low aerosol loadings ($\text{AOT} < 0.3$). The
331 comparison between XBAER AOTs and AERONET observations shows the acceptable quality of
332 the first OLCI XBAER results.

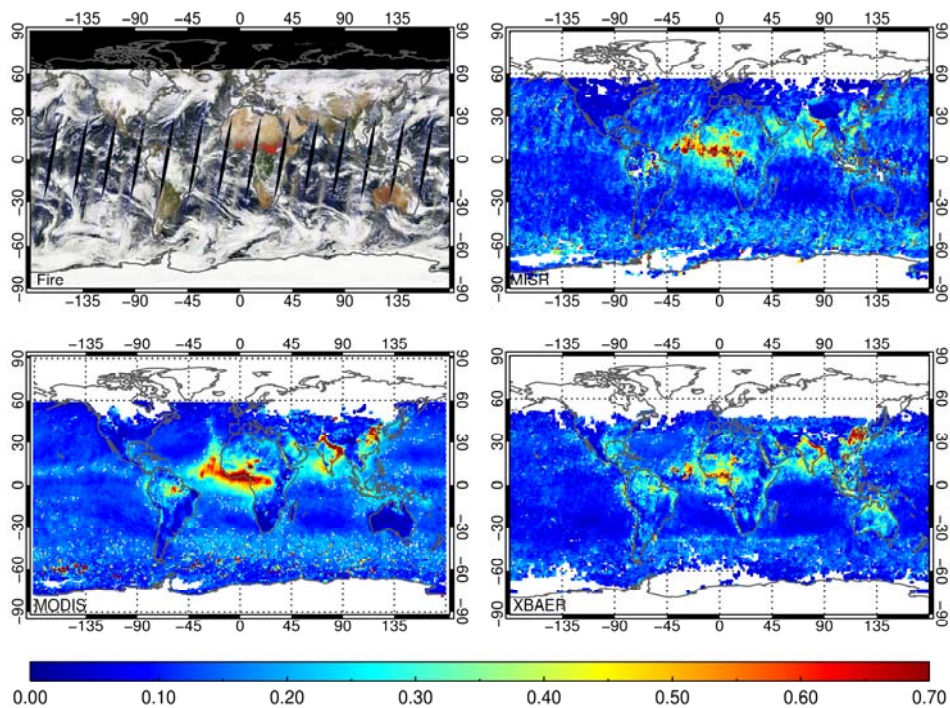
333 Fig. 4 shows the global monthly AOT of December 2016 for MODIS collection 6 (Levy et al.,

334 2013), MISR (Diner et al., 2005) and OLCI (XBAER) algorithm. In order to identify biomass
335 burning events, the active fire points of MODIS
336 (<https://lance.modaps.eosdis.nasa.gov/cgi-bin/imagery/firemaps.cgi>) are added to the figures.
337 Please note that the MISR “FIRSTLOOK” product is used because the monthly Land Surface and
338 Aerosol products are not yet processed for December 2016 (Personal communication with NASA
339 Langley ASDC on 16 February 2017). MODIS/MISR on board of TERRA and OLCI on board of
340 Sentinel-3 have very similar overpass time (within 30 minutes difference). Therefore, all four
341 results should show similar patterns for large AOT from desert dust events over Sahara, biomass
342 burning over West Africa and Amazon region and anthropogenic pollution over India and East
343 Asia. In Fig.4, XBAER AOT from OLCI shows similar patterns as the AOT from MODIS and
344 MISR for both land and ocean. However, there are differences in the magnitude of the AOTs.
345 Biomass burning over Africa, as observed in the MODIS active fire product, produces a ‘plume
346 belt’ of high AOT near the equator. This is observed in all three AOT products. The AOT
347 distribution pattern over India, which depends on the unique meteorological conditions and
348 emissions is captured by the three AOT data products as well. MODIS and OLCI show similar
349 pattern and magnitude of large AOT over Eastern China while the values from MISR are slightly
350 lower, which may be due to the relative small sampling compared to MODIS and OLCI. However,
351 the retrievals from XBAER over Australia are higher than those of MODIS and MISR. In addition
352 to potential contamination by thin clouds observed in the RGB composite figures, the calibration
353 uncertainties associated with a new instrument may also contribute to the bias of XBAER derived
354 AOT. The large AOT differences over Sahara may go, in part, back to different assumptions in the
355 different algorithms for bright surfaces (Lyapustin et al., 2011b; Mei et al., 2016a). Different

356 patterns over Amazon can most likely be attributed to the use of different cloud screening methods.
 357 The global patterns obtained indicate that the generic XBAER algorithm works over both dark and
 358 bright surfaces using its flexible surface parameterization approach. For relative dark surfaces, the
 359 one-parametric surface parameterization is dominated by the first term (SAVI or NDPI tuned term)
 360 making XBAER behave like the Dark-Target-like retrieval algorithm. For bright surfaces such as
 361 desert, XBAER becomes similar to the DeepBlue AOT retrieval algorithm.



362
 363
 364 Fig.3 Global comparison of OLCI XBAER AOT with AERONET observations for 2016
 365 December. R and 'match_ups' refer to the Pearson correlation coefficient and the number of
 366 locations used in the validation respectively. The dashed lines are $\pm 15\% \tau \pm 0.10$
 367



368

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Fig. 4 Comparison of the retrieved global monthly mean AOT at 0.55 μm for December 2016.

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Upper row: left – MODIS fire product, right-MISR. Lower row: left-MODIS [\(Dark-Target and](#)

371

[DeepBlue combined](#)), right- OLCI (XBAER)

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373

4.3 Beijing Haze event observed by OLCI

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In the following we show the ability of the retrievals of XBAER used with OLCI data to resolve

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spatial aerosol patterns on a synoptic scale. A prolonged haze event was observed over Beijing

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during the period of 16 – 21 December 2016. The intention of applying XBAER to this event is to

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show the potential of the retrieval to resolve aerosol patterns at a local level and thus being able to

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support future studies analyzing such events. This event is investigated by both ground-based

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measurements and satellite observations. Fig.5 (a) shows that winds at the surface were weak with

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a daily averaged wind speed lower than 3.5 m/s during the period, causing the accumulation of

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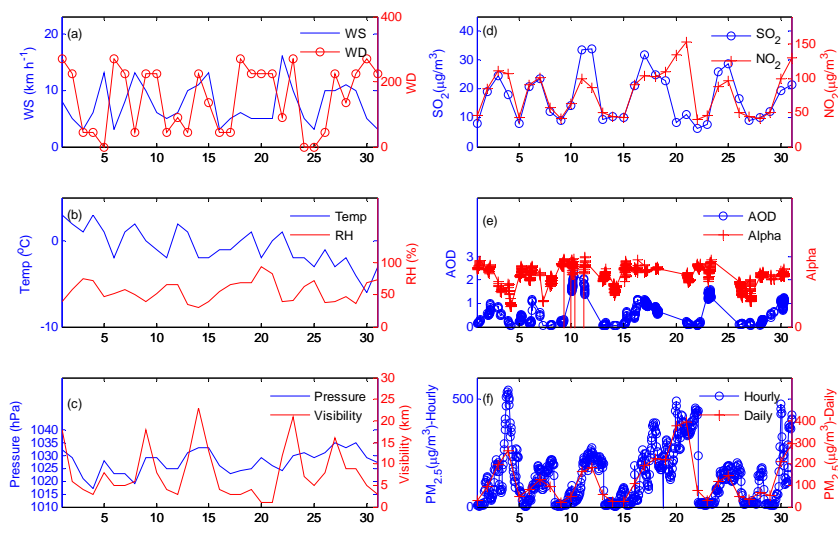
pollutants on a regional scale. The low temperature and high surface pressure near the surface

382 indicate relatively stable atmospheric conditions in the vertical direction (Fig. 5 (b) (c)). The
383 dispersion of pollutants out of the boundary layer is therefore slow. The relative humidity
384 remained high (Fig. 5 (b)) causing the aerosol particles size to increase by the uptake of water
385 (Winkler, 1988), thus making the haze event stronger. Under these meteorological conditions,
386 pollutants can accumulate over the North China Plain (NCP) (Li *et al.*, 2011).

387 Fig. 5 (d) shows the time series of concentration of SO₂ and NO₂ in the boundary layer
388 provided by ground-based measurements. The concentrations of SO₂ and NO₂ for haze periods are
389 three to five times larger than those on relatively clear days. We thus assume anthropogenic
390 activities to be the major source of AOT. Fig. 5 (e) and (f) show the AOT from AERONET sites
391 and the time series of the daily mean concentration of PM_{2.5} in Beijing with clearly increased
392 values in the same timespan (16 – 21 December). The lack of larger AOT values observed by
393 AERONET is likely going back to too strict cloud screening procedures. The daily mean
394 concentrations of PM_{2.5} during 16 – 21 December 2016 ranged from 107.1 µg/m³ to 394.5 µg/m³,
395 which is far above the daily PM_{2.5} limit of the new threshold value set as the Chinese Ambient Air
396 Quality standard (75 µg/m³)
397 (http://transportpolicy.net/index.php?title=China:_Air_Quality_Standards). A large Angstrom
398 coefficient (Fig. 5(e)) shows that fine particles dominate during this period. In summary, we find
399 that the cause of the haze event in Beijing and northeastern China goes back to: (1) The stable
400 meteorological conditions (low wind speeds and temperature inversion) (2) Local emissions (3)
401 High relative humidity.

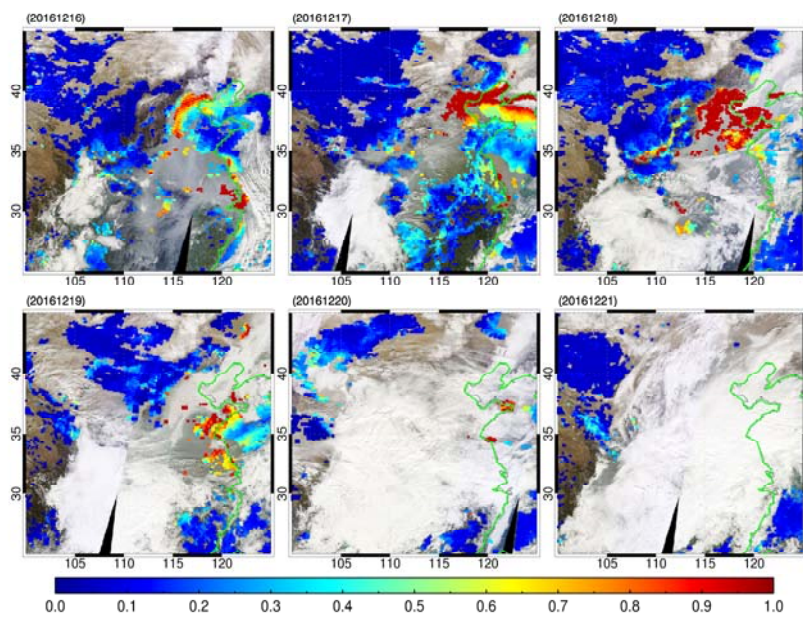
402 Fig 6 shows the MODIS/Terra derived AOT for the haze period. According to Fig. 6, this
403 intense part of the haze episode has been partly observed by MODIS. However, a large part of it

404 (under cloud free conditions) during the first three days is missing, mainly due to cloud masking
405 applied in the MODIS aerosol retrieval. Fig. 7 shows the AOT from Modern-Era Retrospective
406 analysis for Research and Applications, Version 2 (MERRA-2) simulation (Rienecker et al., 2011)
407 in order to exclude the impact from cloud screening. According to Fig. 7, the shape of the area
408 covered by high AOT in MERRA remains stable except for 20 December, indicating the relative
409 stable meteorological condition during the haze period. Due to the narrower swath width of OLCI
410 compared to that of MODIS (1270 km vs 2300 km), OLCI has a longer ‘revisit’ time for a
411 repetitive observation of the ground scene in Beijing. According to Fig. 6 and Fig. 8, XBAER
412 discards fewer clear sky ground scenes than the MODIS retrieval, in particular on the 18th and
413 19th of December over Eastern China. For this period, the aerosol over Eastern China has been
414 characterized as ‘moderately absorbing aerosol’. The SSA at 0.675 μm from AERONET has
415 values between 0.88 and 0.91, indicating relatively strong absorption from anthropogenic
416 activities. The magnitude of AOT for the overlap regions between OLCI and MERRIA are
417 comparable according to Fig. 7 and Fig. 8. The regions of high aerosol agree well with the aeras
418 having high NO₂ columns in Global Ozone Monitoring Experiment 2 (GOME2) (Richter et al.,
419 2011) for the corresponding time period as presented in Fig. 9. Fig. 8 illustrates that cloud
420 masking, surface treatment and aerosol type selection in XBAER all work well for the detection of
421 extreme haze events. Studies like the one by Zheng et al. (2015), are usually focusing on the origin
422 of such plumes and the speciation of aerosol particles on a city level. XBAER results utilizing
423 multi-spectral imagery such as provided by OLCI can support this kind of studies to identify
424 plume transport and extension. This implies that the OLCI instrument can provide important data
425 on AOT for atmospheric research.

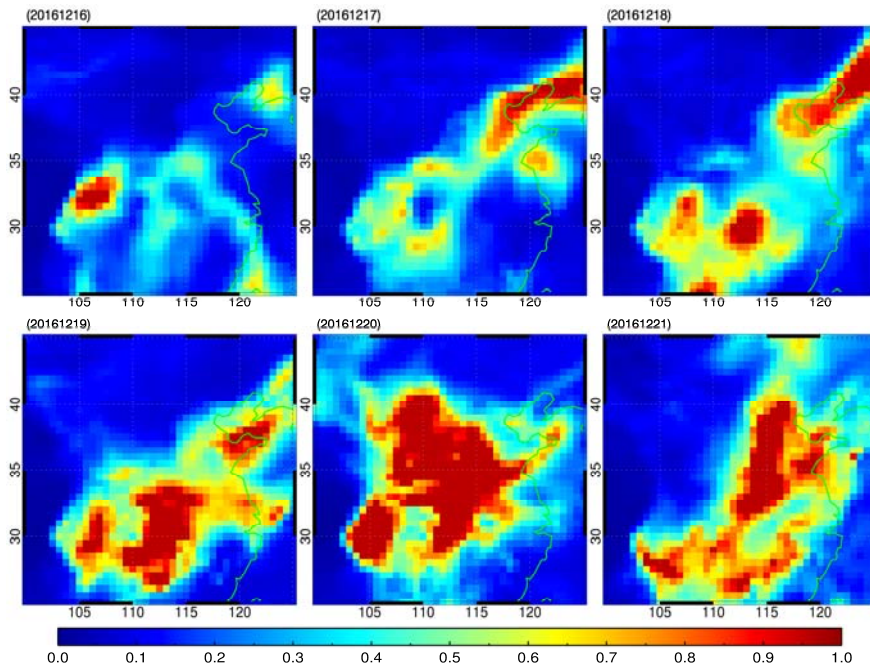


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427 Fig. 5 Time series of meteorological parameters and pollutants during December 2016. (a)wind
 428 direction and wind speed (km/h), (b) temperature (° C) and relative humidity (%) , (c) atmospheric
 429 pressure (hPa) and visibility (m), (d) SO₂ and NO₂ concentration (µg/m³) (e) AOT and Angstrom
 430 coefficient (440-870nm) (Alpha)(f) PM_{2.5} hourly and daily concentration(µg/m³). The atmospheric
 431 components and meteorological data are from <https://www.aqistudy.cn/historydata/index.php> and
 432 <https://www.wunderground.com/>

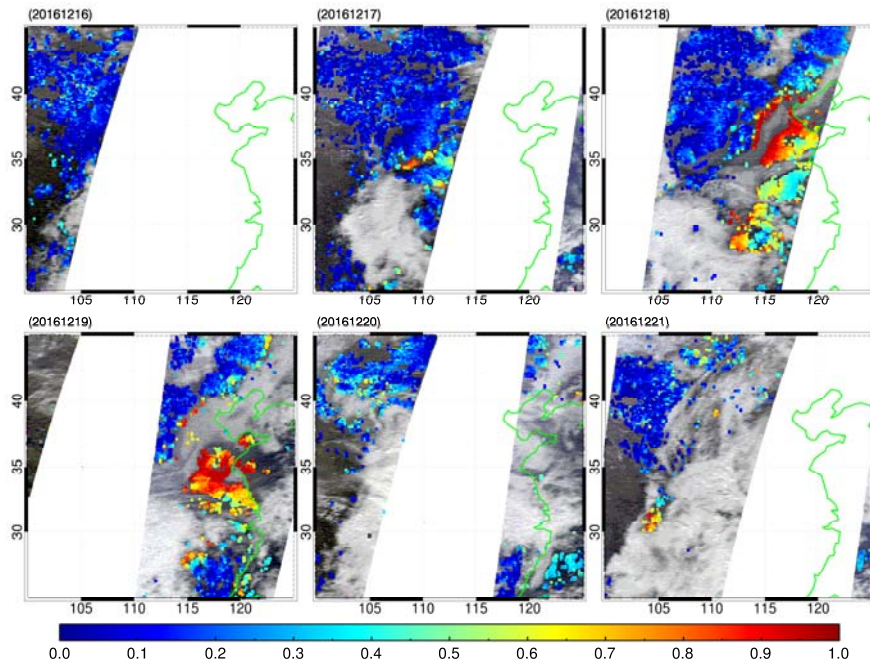


434 Fig. 6 Daily MODIS RGB and AOT for East China [100° - 125 ° E, 25 °- 45 ° N] during 16 – 21
435 December 2016 (from top left to bottom right)



436
437 Fig. 7 Same as Fig. 6 but for MERRA AOT

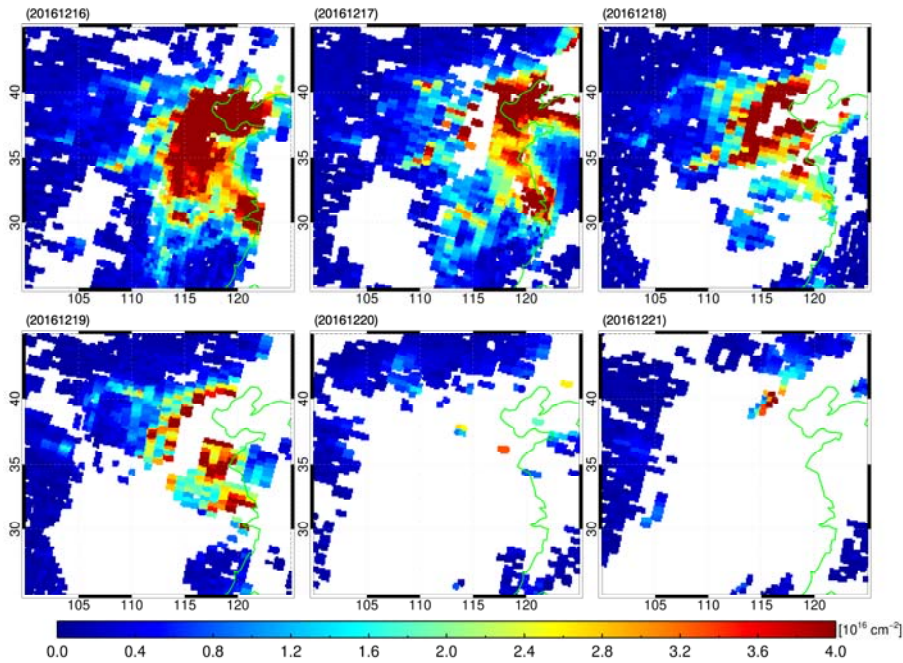
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Fig. 8 Same as Fig. 6 but for OLCI



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Fig. 9 Same as Fig. 6 but for NO_2 from GOME2a/GOME2b combined IUP-UB product

5 Discussions

449 In this study, we have applied XBAER to data from the OLCI instrument onboard Sentinel-3 for
450 the first time on both synoptic and global scale. The potential differences caused by different
451 spectral response functions for OLCI and MERIS have been investigated by using SCIATRAN to
452 generate representative simulated scenarios for dust aerosol type over desert, moderately
453 absorbing aerosol over vegetation regions and maritime aerosol over water. The overall
454 differences for all selected channels for XBAER are smaller than 1.5%. This implies that XBAER
455 can be used to retrieve AOT from OLCI. Although relatively large differences caused by SRFs
456 (approximately 20%) have been found for the O_2A channels, the global retrieval of OLCI shows
457 that the original MERIS cloud masking, which includes the use of O_2A channels, works well for

458 OLCI and can potentially even be improved as only MERIS-heritage channels have been used so
459 far with OLCI.

460 The global monthly mean XBAER AOT maps for December 2016 show good agreement
461 with those by MODIS and MISR. The comparison with AERONET measurements reveals that
462 XBAER can provide promising results over both dark and bright surface. The first comparison
463 with AERONET shows acceptable agreement between the two data sets, with a regression
464 yielding $y = (0.81x \pm 0.04) + (0.11 \pm 0.01)$ and correlation of $R=0.82$. The global retrievals
465 confirm that XBAER is valid for both dark and bright surfaces because of its use of an optimized
466 monthly global SSR spectral coefficients dataset.

467 A significant haze event during December 2016 over Beijing has been analyzed in this paper
468 based on ground-based and satellite observations to show the potential of the retrieval to resolve
469 aerosol patterns at a local level and thus being able to support future studies analyzing such events.
470 This large haze event has been attributed to the large local emissions under unfavorable
471 meteorological conditions (temperature inversion in vertical direction and no advection). The
472 MODIS/Terra and OLCI derived AOT both detect the haze event. However, due to cloud
473 screening, the MODIS AOT partly misses it while OLCI AOT is able to detect the main pattern of
474 haze for clear conditions. The overlap retrieval for both MODIS and OLCI has similar values,
475 indicating that OLCI provides another useful data source for air pollution monitoring.

476 Although the study shows that XBAER can be applied to OLCI observations for synoptic to
477 global applications, several important issues need to be addressed in the future work. Potential
478 cloud contamination due to both the relative large calibration uncertainty of OLCI compared to
479 MERIS as well as the impact of SRF on O₂A channel need to be investigated with the new version

480 of level 1 TOA reflectance dataset. Modification or improvement for OLCI cloud screening will
481 be included besides the criteria of brightness, texturing/variability and cloud altitude of the scenes
482 (Mei et al., 2016b). The underestimation of AOT over regions like Sahara could be explained by
483 the spheroid dust model adapted from MODIS-DT algorithm due to the impact of non-sphericity
484 of dust particles on the aerosol phase function (Mei et al., 2016a), a new spheroid model
485 accounting for aerosol particle non-sphericity will be included in the new version (Dubovik et al.,
486 2006). The cloud screening evaluation shows that approximately 5 – 10 % clouds may be
487 misclassified as retrievable clear cases for MERIS (Mei et al., 2016b) which introduces both bias
488 and potential patchiness of XBAER derived AOT for OLCI. Thus a new cloud post-processing,
489 following the AATSR dual-view (ADV) algorithm (Sogacheva et al., 2017), will be applied to
490 discard the pixels that might potentially be affected by cloud (cloud edge, very thin cloud and so
491 on).

492

493

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