



1     **Development and application of the WRFDA-Chem 3DVAR system:**  
2     **aiming to improve air quality forecast and diagnose model deficiencies**

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9 **Abstract**

10 To improve the operational air quality forecasting over China, a new aerosol/gas phase pollutants  
11 assimilation capability is developed within the WRFDA system using 3DVAR algorithm. In this first  
12 application, the interface for MOSAIC aerosol scheme is built with flexible extending potentials.  
13 Based on the new WRFDA-Chem system, five experiments assimilating different surface observations,  
14 including PM<sub>2.5</sub>, PM<sub>10</sub>, SO<sub>2</sub>, NO<sub>2</sub>, O<sub>3</sub>, and CO are conducted for January 2017 along with a control  
15 experiment without DA. Results exhibit that the WRFDA-Chem system evidently improves the air  
16 quality forecasting. On the analysis aspect, the assimilation of surface observations reduces the bias  
17 and RMSE in the initial condition (IC) remarkably; on the forecast aspect, better forecast performances  
18 are acquired up to 24-h, in which the experiment assimilating the six pollutants simultaneously displays  
19 the best forecast skill overall. With respect to the impact of DA cycling frequency, the responses  
20 toward IC updating are found out to be different among the pollutants. For PM<sub>2.5</sub>, PM<sub>10</sub>, SO<sub>2</sub> and CO,  
21 the forecast skills increase with the DA frequency; for O<sub>3</sub>, although improvements are acquired at the  
22 6-h cycling frequency, the advantage of more frequent DA could be consumed by the disadvantage of  
23 unbalanced photochemistry (due to inaccurate precursor NO<sub>x</sub>/VOC ratios) from assimilating the  
24 existing observations (only O<sub>3</sub> and NO<sub>2</sub>, but no VOC). Considering after one aspect (IC) in the model  
25 is corrected by DA, the deficiencies from other aspects (e.g., chemical reactions) could be more evident,  
26 this study further explores the model deficiencies by investigating the effects of assimilating gaseous  
27 precursors on the forecast of related aerosols. Results exhibit that the parameterization (uptake  
28 coefficients) in the newly added Sulfate-Nitrate-Ammonium (SNA) relevant heterogeneous reactions  
29 in the model are not fully appropriate although it best simulates observed SNA aerosols without DA;  
30 since the uptake coefficients were originally tuned under the inaccurate gaseous precursor scenarios



31 without DA, the biases from the two aspects (SNA reactions and IC DA) were just compensated. In  
32 the future chemistry development, parameterizations (such as uptake coefficients) for different gaseous  
33 precursor scenarios should be adjusted and verified with the help of DA technique. According to these  
34 results, DA ameliorates certain aspects by using observation as constraints, and thus provides an  
35 opportunity to identify and diagnose the model deficiencies; it is useful especially when the  
36 uncertainties of various aspects are mixed up and the reaction paths are not clearly revealed. In the  
37 future, besides being used to improve the forecast through updating IC, DA could be treated as another  
38 approach to explore necessary developments in the model.

## 39 **1. Introduction**

40 Air pollution is almost inevitable for all developed (historically) and developing (in present days)  
41 countries. From acid rain, haze to smog etc., the air pollution significantly impacts atmospheric  
42 visibility, human health, and climate. As one of the fastest growing countries, China has been suffering  
43 from extreme haze with high particulate matter (PM) national-wide and increasing tropospheric ozone  
44 ( $O_3$ ) pollution in city clusters (Fu et al., 2019; Lu et al., 2019). To control the pollutions as well as to  
45 improve the air quality forecast, Chinese governments had enforced stricter air quality standards from  
46 2012, and deployed monitoring network for six “criteria” air pollutants since 2013, which includes  
47  $PM_{2.5}$  and  $PM_{10}$  (aerosols/fine particulate matter with aerodynamic diameters less than 2.5 or 10  $\mu m$ ),  
48  $SO_2$  (sulfur dioxide),  $NO_2$  (nitrogen dioxide),  $O_3$  (ozone), and CO (carbon monoxide). Among the six  
49 pollutants, the forecast on aerosols (especially  $PM_{2.5}$ ) is of greatest research interest as the severity of  
50 aerosol pollution and its negative effects on both health and climate. However, it’s still challenging to  
51 accurately simulate and forecast aerosols by pure air quality models due to some issues, such as the



52 large uncertainties in primary and precursor emissions processes, the incomplete understanding and  
53 parameterization of secondary inorganic/organic reactions from precursors, and the accumulation of  
54 meteorology simulation errors. In addition to aerosol forecast, the elevated O<sub>3</sub> levels in city clusters  
55 over eastern China draw more and more attentions recently. Under this circumstance, in the urban  
56 regions in China, where suffer from complex air pollution with both haze and smog, the accurate  
57 forecast of air quality has been not only a challenge for operational centers, but also a common concern  
58 for scientific community.

59 To improve the forecast skill, data assimilation (DA), a combination of observations and numerical  
60 model output, has been widely used in meteorology forecast since last century, and recently extended  
61 to air pollutant forecasts. Based upon various techniques, DA is proven to be skillful at improving the  
62 meteorology and aerosol forecasts (Bannister 2017; McHenry et al. 2015; Peng et al. 2018; Sandu and  
63 Chai 2011; Schutgens et al. 2010; Sekiyama et al. 2010; Tang et al. 2011; Tang et al. 2013). Focusing  
64 on aerosol assimilation, NCAR group had conducted a series of work. Using three-dimensional  
65 variational (3DVAR) algorithm, Liu et al. (2011) implemented DA on aerosol optical depth estimates  
66 within the Grid-point Statistical Interpolation (GSI) system. Schwartz et al. (2012), Jiang et al. (2013),  
67 and Chen et al. (2019) further extended this system to assimilate surface PM<sub>2.5</sub> and PM<sub>10</sub>. It should be  
68 noted that the aerosols are complicated not merely from primary emissions but also secondary  
69 reactions with gaseous precursors in the atmosphere (Huang et al. 2014; Nie et al. 2014; Xie et al.  
70 2015). However, the assimilation of aerosols along with gas phase pollutants are seldom investigated.  
71 Recently, it is encouraging that an Ensemble Kalman Filter (EnKF) DA system is developed to  
72 assimilate multi-species surface chemical observations (Peng et al. 2017), while the EnKF system may  
73 not be the favorite choice in operational applications due to its massive computational cost. In addition,



74 at the Institute of Urban Meteorology (IUM), regional NWP system–RMAPS-ST (adapted from WRF)  
75 and regional air quality model–RMAPS-Chem (adapted from WRF-Chem) are applied operationally  
76 for the weather and air quality forecast over Northern China. RMAPS-ST provides the meteorology  
77 drivers for RMAPS-Chem, and WRFDA is utilized for the meteorology DA in RMAPS-ST (Fan et al.  
78 2016; Yu et al. 2018). In result, to implement the assimilations of aerosols along with gas phase  
79 pollutants in the future air quality forecast operational system (e.g. the RMPAS-Chem), and to design  
80 an efficient and unified DA platform that satisfies the operational needs in both meteorology and air  
81 quality forecast, this study works on the WRFDA system with 3DVAR algorithm. To the authors’  
82 knowledge, this is the first attempt to assimilate hourly ground-based aerosols simultaneously with gas  
83 phase pollutants in the WRFDA system.

84 With regard to the aerosol data assimilation, the first and foremost challenge comes from the  
85 complex components related to the aerosol scheme. With different emphasis and applications, the  
86 chosen aerosol scheme in the model could be different, which will lead to various choices and  
87 treatment for the analysis variables in the DA system. For example, in the existed DA developments,  
88 many studies used the GOCART aerosol scheme to address the dust or the natural-source related events.  
89 However, the GOCART aerosol scheme is well known to underestimate the PM concentrations due to  
90 lack of secondary organic aerosol (SOA) formation, as well as aerosol species related to the  
91 anthropogenic emission, such as nitrate and ammonium (McKeen et al. 2009; Pang et al. 2018).  
92 Different from the GOCART scheme, the MOSAIC (Model for Simulating Aerosol Interactions and  
93 Chemistry) aerosol scheme uses a sectional approach to represent the aerosol size distribution with  
94 different size bins, and it takes black carbon, organic carbon, sulfate, nitrate, ammonium, sodium,  
95 chloride, and other inorganic compounds that are related to anthropogenic emissions into consideration.



96 In result, the MOSAIC scheme exhibits a better performance in representing the complex PM<sub>2.5</sub>  
97 pollution over China (Chen et al. 2016; Chen et al. 2019). Therefore, to make the DA system suitable  
98 for different emphasis and applications, a flexible aerosol assimilation capability is built within the  
99 WRFDA system in this study, which will facilitate developments and applications for more chemistry  
100 schemes in the future. Focusing on the air quality forecast over China, this study mainly analyses the  
101 results of MOSAIC aerosol scheme.

102 It should be mentioned that the forecast performance with data assimilation also relies on the air  
103 quality model itself. Due to the limited observational information as constraint, the DA system uses  
104 large parts of model mechanism and processes to derive the full analysis information (e.g. use total  
105 PM mass observations to analyze all PM components). However, there are still potential deficiencies  
106 in the model. For example, some reaction paths are missing in the heavily polluted events in China  
107 (e.g. Wang et al., 2014), since the chemistry schemes are originally developed for relatively clean areas  
108 and recent observed pathways haven't been timely reflected in the model. Moreover, the large  
109 uncertainties of precursor and primary emissions could bring errors to the aerosol species partitioning  
110 and size distribution in the model. Nevertheless, when it comes to DA, as one aspect (initial conditions  
111 of aerosols and some precursors) in the model is corrected by using observation as constraints, the  
112 deficiencies from other aspects, such as the above mentioned chemical reactions, could be more  
113 evident. From this point of view, after investigating to what extent the DA technique can help to  
114 improve the forecast of air quality, this study further explores the model deficiencies with the help of  
115 DA, aiming to provide helpful indications for future model development.

116 In the rest of the paper, an overview of the model description, observations and methodology is  
117 presented in Section 2, followed by evaluations of the new WRFDA-Chem system in Section 3.



118 Section 4 analyzes the DA experiments in consideration of potential issues in the model, aiming to  
119 provide beneficial references on further model development. Conclusions and discussions are given in  
120 section 5.

## 121 **2. Model description, observations and methodology**

122 In this study, the interfaced air quality model is WRF-Chem. The WRF-Chem settings are very  
123 similar to those of Chen et al. (2016). Here, only a brief summary of the model configuration and  
124 observations is provided below. Descriptions of the most important development of this study, the  
125 WRFDA-Chem system, are presented in Section 2.3.

### 126 **2.1 WRF-Chem model and emissions**

127 As in Chen et al. (2016), version 3.6.1 of the WRF-Chem model is used in this study to simulate  
128 the aerosols and gas-phase chemistry processes. A summary of the used physical parameterizations is  
129 given in Table 1. Details of the WRF-Chem model have been described by Grell et al. (2005) and Fast  
130 et al. (2006). The Carbon Bond Mechanism version Z (CBMZ) and Model for Simulating Aerosol  
131 Interactions and Chemistry (MOSAIC) schemes are used as the gas-phase and aerosol chemical  
132 mechanisms, respectively. The relative humidity (RH) dependent heterogeneous reactions added by  
133 Chen et al. (2016) are also applied in the simulations. The model computational domain covers most  
134 of China and its surrounding regions. Figure 1 presents the horizontal range of the domain, which  
135 contains 121 x 121 horizontal grids at a 40.5-km resolution. Vertically, there are 57 levels extending  
136 from the surface to 10 hPa.



137 As in Chen et al. (2019), the emission input is based on the 2010 Multi-resolution Emission  
138 Inventory for China (MEIC) (He 2012; Lei et al. 2011; Li et al. 2014; Zhang et al. 2009), which has  
139 already been applied in many recent studies over China (Wang et al. 2016; Wang et al. 2013; Zheng  
140 et al. 2015). The emission inventory has also been processed to match the model grid spacing (40.5  
141 km) from an original grid spacing of  $0.25^\circ \times 0.25^\circ$  (Chen et al. 2016). Admittedly, the difference  
142 between the emission base year and our simulation year and the spatial-temporal allocations may arise  
143 uncertainties in our simulation, this emission is the only publicly available emission inventory when  
144 the study is conducted. Meanwhile, the inhomogeneous spatial changes and large uncertainties in  
145 seasonal allocations of the emissions made it difficult to simply scale the original emission inventory  
146 for our study period (Chen et al. 2019).

## 147 **2.2 Observations**

148 For the future application in RMAPS-Chem operational air quality forecast system, the WRFDA-  
149 Chem system is designed to assimilate the hourly surface observations of six major pollutants (PM<sub>2.5</sub>,  
150 PM<sub>10</sub>, SO<sub>2</sub>, NO<sub>2</sub>, O<sub>3</sub>, and CO) from the China National Environmental Monitoring Center (CNEMC).  
151 To verify capability of the system, we use the data for the whole month of January 2017. As in Chen  
152 et al. (2019), to perform statistical calculations, an observation dataset at 531 locations (Fig. 1) is  
153 acquired by averaging all the original observations (1600+ sites) that fall into the same model grid.  
154 Meanwhile, two steps of data quality control are conducted before DA. Firstly, observations larger than  
155 a threshold are treated as unrealistic and are not assimilated. Secondly, observations leading to  
156 innovations (observations minus the model-simulated values) higher than a maximum deviation are  
157 omitted. For PM<sub>2.5</sub>, PM<sub>10</sub>, SO<sub>2</sub>, NO<sub>2</sub>, O<sub>3</sub>, and CO, the threshold in the first step is  $500 \mu\text{g m}^{-3}$ ,  $700 \mu\text{g}$





158  $\text{m}^{-3}$ ,  $200 \mu\text{g m}^{-3}$ ,  $200 \mu\text{g m}^{-3}$ ,  $200 \mu\text{g m}^{-3}$ , and  $20 \text{mg m}^{-3}$ , respectively; the maximum deviation in the  
159 second step is  $120 \mu\text{g m}^{-3}$ ,  $120 \mu\text{g m}^{-3}$ ,  $60 \mu\text{g m}^{-3}$ ,  $60 \mu\text{g m}^{-3}$ ,  $60 \mu\text{g m}^{-3}$ , and  $6 \text{mg m}^{-3}$ , respectively.

160 To verify sulfate-nitrate-ammonium partitioning, a site observation of different chemical species  
161 is used in Section 4. The measurements were performed over January 14–20, 2017, and carried out on  
162 the roof of IUM in Beijing (green dot in Fig. 1). A detailed description for the features of the  
163 observation, including the quality assurance and quality control has been given by Su et al. (2018).  
164 This study mainly uses the sulfate ( $\text{SO}_4^{2-}$ ) and nitrate ( $\text{NO}_3^-$ ) in this dataset.

### 165 **2.3 WRFDA-Chem system**

166 In this study, an aerosol/chemical assimilation capability is built within the version 4.0.3 of the  
167 WRFDA system with 3DVAR algorithm. The WRFDA 3DVAR produces the analysis through the  
168 minimization of a scalar objective function  $J(x)$  given by

$$169 \quad J(x) = \frac{1}{2}(x - x_b)^T B^{-1}(x - x_b) + \frac{1}{2}[H(x) - y]^T R^{-1}[H(x) - y], \quad (1)$$

170 where  $x_b$  denotes the background vector,  $y$  is a vector of the observations, and  $B$  and  $R$  represent  
171 the background and observation error covariance matrices, respectively. The covariance matrices  
172 determine how close the analysis is weighted toward the background and observations.  $H$  is the  
173 observation operator that interpolates model grid point values to observation space and converts  
174 model-predicted variables to observed quantities.

175 Generally, the implementation of WRFDA-Chem 3DVAR includes several parts: WRF-Chem  
176 model and surface air pollutants observation interface to WRFDA, the addition of aerosol/chemical  
177 analysis variables, the surface air pollutants observation operators, the update of observation errors,



178 and the statistics of background error covariances for chemical analysis variables. Detailed  
179 descriptions will be presented in the following parts. It's worth mentioning that the new WRFDA-  
180 Chem system is designed with a flexible aerosol assimilation capability that can switch between  
181 different aerosol schemes. Given the fact that WRF-Chem model predicts the PM concentrations in  
182 the forms of different prognostic variables depending on the chosen aerosol scheme, the  
183 aerosol/chemical prognostic variables are given in the registry file of the WRFDA-Chem, instead of  
184 specifically defined in the code. With the help of the registry mechanism of WRF model, the prognostic  
185 variables in the entire DA process can be easily adjusted by modifying the registry file. The WRFDA-  
186 Chem system has been tested with GOCART and MOSAIC aerosol scheme, while this study focuses  
187 on the MOSAIC scheme.

### 188 2.3.1 Observation operators

189 The WRFDA-Chem is designed to assimilate six types of surface aerosol/chemical observations,  
190 including PM<sub>2.5</sub>, PM<sub>10</sub>, SO<sub>2</sub>, NO<sub>2</sub>, O<sub>3</sub>, and CO. For aerosol assimilation, the aerosol species in the  
191 MOSAIC scheme are defined as black carbon (BC), organic compounds (OCs), sulfate (SO<sub>4</sub><sup>2-</sup>), nitrate  
192 (NO<sub>3</sub><sup>-</sup>), ammonium (NH<sub>4</sub><sup>+</sup>), sodium (NA), chloride (CL), and other inorganic compounds (OIN). To  
193 represent the aerosol size distribution, MOSAIC uses a sectional approach with different bins. This  
194 study uses four size bins with aerosol diameters ranging from 0.039–0.1, 0.1–1.0, 1.0–2.5, and 2.5–  
195 10 μm. The PM<sub>2.5</sub> total is controlled by the 24 variables in the first three bins (8 species multiplied by  
196 3 bins), and the PM<sub>10</sub> total is controlled by the 32 variables in the four bins (8 species multiplied by 4  
197 bins). In result, the model-simulated PM<sub>2.5</sub> are computed by summing the 24 variables as

$$198 \quad y_{PM_{2.5}}^f = \rho_d \sum_{i=1}^3 [BC_i + OC_i + SO_{4i} + NO_{3i} + NH_{4i} + CL_i + NA_i + OIN_i]. \quad (2)$$



199 The model-simulated PM<sub>10</sub> observations are computed by summing the 32 variables as

$$200 \quad y_{PM_{10}}^f = \rho_d \sum_{i=1}^4 [BC_i + OC_i + SO_{4i} + NO_{3i} + NH_{4i} + CL_i + NA_i + OIN_i]. \quad (3)$$

201 Correspondingly,

$$202 \quad y_{PM_{10-2.5}}^f = \rho_d \sum_{i=4}^4 [BC_i + OC_i + SO_{4i} + NO_{3i} + NH_{4i} + CL_i + NA_i + OIN_i], \quad (4)$$

203 where  $\rho_d$  is the dry-air density, which is used to convert the unit of the analysis variable ( $\mu\text{g}/\text{kg}$ ) to  
204 the observations ( $\mu\text{g}/\text{m}^3$ );  $i$  denotes the bin number in the MOSAIC aerosol scheme. In the  
205 experiment assimilating PM<sub>2.5</sub> alone, the PM<sub>2.5</sub> observations are used to analyze the species in first  
206 three bins (Eq. 2). In the experiment assimilating PM<sub>2.5</sub> and PM<sub>10</sub> simultaneously, the PM<sub>2.5</sub>  
207 observations are used to analyze the species in first three bins (Eq. 2), and the PM<sub>10-2.5</sub> (PMcoarse,  
208 hereafter) in the observations is used to analyze the species in the 4th bin (Eq. 4). A similar approach  
209 has been adopted by Peng et al. (2018).

210 In the assimilation of the gas-phase pollutants, the model-simulated values are computed by

$$211 \quad y_x^f = \rho_d \cdot \frac{M_x}{M_{\text{dair}}} \cdot R_x \cdot 10^3, \quad (5)$$

212 where  $x$  denotes the four gas-phases pollutants as in SO<sub>2</sub>, NO<sub>2</sub>, O<sub>3</sub>, and CO,  $\rho_d$  is the dry-air density,  
213  $M_x$  is the relative molecular mass for the four gas-phases pollutants,  $M_{\text{dair}}$  is the relative molecular  
214 mass for dry-air, and  $R_x$  is the mixing ratio for the four gas-phases pollutants. Since the gas-phase  
215 pollutants observations are mass concentrations in  $\mu\text{g}/\text{m}^3$  and the analysis variables are mixing ratios  
216 in ppmv, the Eq. 5 is used for the unit conversion.



### 217 2.3.2 Observation errors

218 Following Chen et al. (2019) and Peng et al. (2018), the observation error covariance matrix  $\mathbf{R}$  in  
219 Eq. (1) is estimated from measurement error  $\varepsilon_0$  and the representativeness error  $\varepsilon_r$  in this study. The  
220 measurement error  $\varepsilon_0$  is defined as  $\varepsilon_0 = 1.0 + 0.0075 \cdot M_i$ , where  $M_i$  denotes the observation of  
221 the six major pollutants in unit  $\mu\text{g}/\text{m}^3$ ; the representativeness error  $\varepsilon_r$  is defined as  $\varepsilon_r = \gamma \varepsilon_0 \sqrt{\frac{\Delta x}{L}}$ .  
222 where  $\gamma$  is an adjustable parameter scaling (set as 0.5),  $\Delta x$  is the grid spacing (40.5 km in our case)  
223 and  $L$  is the radius of influence of the observation (set to 2 km). These parameter settings are based  
224 on the sensitivity tests by Chen et al. (2019). The total observation error ( $\varepsilon_x$ ) is computed as  $\varepsilon_x =$   
225  $\sqrt{\varepsilon_{0x}^2 + \varepsilon_{rx}^2}$ , where  $x$  denotes the six major pollutants as in PM<sub>2.5</sub>, PM<sub>10</sub>, SO<sub>2</sub>, NO<sub>2</sub>, O<sub>3</sub>, and CO.

### 226 2.3.3 Background error covariance

227 To implement the aerosol/chemical DA with the MOSAIC-4Bin scheme, this study expands the  
228 GEN\_BE v2.0 (Descombes et al. 2015) to compute the  $\mathbf{B}$  matrix in Eq. (1) for the 32 chemical variables  
229 as in Eq. 3 (BC, OC, SO<sub>4</sub><sup>2-</sup>, NO<sub>3</sub><sup>-</sup>, NH<sub>4</sub><sup>+</sup>, NA, CL, and OIN in four bins), as well as the four gas-phase  
230 variables as in Eq. 5 (SO<sub>2</sub>, NO<sub>2</sub>, O<sub>3</sub>, and CO). Cross-correlations between different aerosol/chemical  
231 variables were not considered. With the updated GEN\_BE v2.0, the statistics for background error  
232 covariance, such as standard deviation, vertical and horizontal length scales, and vertical correlations,  
233 are computed for each of the aerosol/chemical variable. In this study, the background error covariance  
234 is estimated using the National Meteorological Center (NMC) method (Parrish and Derber, 1992) from  
235 one-month WRF-Chem forecasts over January 2017.



#### 236 2.3.4 Experimental design

237 To seek for the best forecast performance, six experiments were conducted for January 2017 in  
238 this study, including NODA, PM1, PM2, ALL, ALL\_3h, and ALL\_1h (detailed in Table 2). NODA is  
239 the control experiment without any data assimilation. The design of PM1, PM2, and ALL is to  
240 investigate the assimilation impacts of PM<sub>2.5</sub>, PM<sub>coarse</sub>, and gas-phase pollutants (SO<sub>2</sub>, NO<sub>2</sub>, O<sub>3</sub>, CO)  
241 step-by-step.

242 The NODA experiment initialized a new WRF-Chem forecast every 6-h between 00:00 UTC, 20  
243 December 2016 and 18:00 UTC 31 January 2017, in which the aerosol/chemical fields were simply  
244 carried over from cycle to cycle, and the meteorological initial condition/boundary conditions were  
245 updated from GFS data every 6-h. The first 10 days were treated as the spin up period, and only  
246 simulations in January were used in the following analyses. The PM1, PM2, and ALL experiments  
247 updated the chemical IC using the WRFDA-Chem system every 6-h starting from 00:00 UTC, 1  
248 January. The background of the first cycle was obtained from the NODA experiment, and all  
249 subsequent cycles were derived from the 6-h forecast of the previous cycle. The only difference  
250 between PM1, PM2, and ALL experiments is that PM1 only assimilated PM<sub>2.5</sub> observations; PM2  
251 assimilated PM<sub>2.5</sub> and PM<sub>coarse</sub> (PM<sub>10-2.5</sub>) simultaneously; ALL assimilated PM<sub>2.5</sub>, PM<sub>10-2.5</sub>, SO<sub>2</sub>, NO<sub>2</sub>,  
252 O<sub>3</sub>, and CO together.

253 In view of the cycling frequency is an important aspect in the DA strategy, especially for 3DVAR,  
254 two more experiments assimilating all the six major pollutants with different cycling frequencies are  
255 further conducted, in which the ALL\_3h and ALL\_1h experiments assimilate the data with 3-h and 1-



256 h cycling frequency, respectively. To investigate the forecast improvements, a 24-h forecast is  
257 initialized for all the experiments at 00:00 UTC of each day.

### 258 **3. Performance of the WRFDA-Chem system**

#### 259 **3.1 Impact on analyses**

260 To evaluate the performance of the WRFDA-Chem system, the impact on analyses is firstly  
261 investigated. Figure 2 presents the domain-averaged bias and root-mean-square-error (RMSE) of the  
262 analysis at 00 UTC over January 1-31, 2017. For PM<sub>2.5</sub> (Fig. 2a), the NODA experiment displays a  
263 general overestimation of 36.60  $\mu\text{g}/\text{m}^3$ , along with a large RMSE of 70.41  $\mu\text{g}/\text{m}^3$ . After DA, in the  
264 PM1, PM2, and ALL experiments, the bias of PM<sub>2.5</sub> drops to 5.62  $\mu\text{g}/\text{m}^3$   
265 , 5.19  $\mu\text{g}/\text{m}^3$ , and 5.98  $\mu\text{g}/\text{m}^3$ , respectively; the RMSE drops to 22.10  $\mu\text{g}/\text{m}^3$ , 22.84  $\mu\text{g}/\text{m}^3$ , and 23.15  
266  $\mu\text{g}/\text{m}^3$ , respectively.

267 In the analyses of PM<sub>10</sub>, it is noted that the PM1 experiment has a larger bias than the NODA run  
268 (Fig. 2b). To explain this phenomenon, Figure 3 presents the monthly mean difference between PM<sub>10</sub>  
269 and PM<sub>2.5</sub> (PM<sub>10</sub> minus PM<sub>2.5</sub>, PM<sub>coarse</sub>) in the analysis. In the observation, the PM<sub>coarse</sub> generally  
270 increases from south to north, reaching above 50  $\mu\text{g}/\text{m}^3$  over northern China (Fig. 3a). However, the  
271 PM<sub>coarse</sub> in the NODA experiment (with an average of 5.47  $\mu\text{g}/\text{m}^3$ ) is much smaller than that in the  
272 observation (with an average of 39.13  $\mu\text{g}/\text{m}^3$ ). This result suggests that the WRF-Chem model failed  
273 to reasonably represent the PM<sub>coarse</sub>, which is actually the 4<sup>th</sup> bin of the aerosol species in the  
274 MOSAIC scheme. Under this circumstance, when the assimilation of PM<sub>2.5</sub> trying to reduce its evident  
275 overestimation (Fig. 2a), components in the first three bins (within 2.5  $\mu\text{m}$ ) of PM<sub>10</sub> decrease  
276 dramatically. Meanwhile, since the simulated PM<sub>coarse</sub> is too small, the PM<sub>10</sub> variates are eventually



277 dominated by the adjustment of PM<sub>2.5</sub>. In result, the assimilation of PM<sub>2.5</sub> causes a large negative bias  
278 in the PM<sub>10</sub> analysis (Fig. 2b). Correspondingly, compared to the NODA run, the PM<sub>coarse</sub> in the PM1  
279 experiment exhibit no significant changes (only slightly decrease) in the analysis (Figs. 3b and 3c) and  
280 also in the forecast (Fig 3f).

281 To overcome this issue, several adjustments have been adapted in the PM<sub>10</sub> assimilation: instead  
282 of using the PM<sub>10</sub> observations directly, the PM<sub>coarse</sub> is used to analyze the species in the 4<sup>th</sup> bin (Eq.  
283 4); to reflect the large uncertainty of the simulated PM<sub>coarse</sub> and to appropriately weighting the model  
284 and observation errors, the background error covariance of the PM<sub>coarse</sub> (species in the 4<sup>th</sup> bin) is  
285 arbitrarily inflated (inflation factor 1 is normally used and 90 is selected after tuning). By this means,  
286 after assimilating the PM<sub>10</sub> observations, the PM2 and ALL experiments exhibit similar distributions  
287 in the PM<sub>coarse</sub> (Figs. 3d-e, with an average of 34.58  $\mu\text{g}/\text{m}^3$  and 34.68  $\mu\text{g}/\text{m}^3$ ) as in the observation  
288 (with an average of 39.13  $\mu\text{g}/\text{m}^3$ ). Correspondingly, compared to the NODA experiment, evident  
289 improvements for PM<sub>10</sub> analysis appear in the PM2 and ALL experiments, in which the bias and RMSE  
290 drops evidently (Fig. 2b). Overall, the DA experiments exhibit strong contributions to the analyses of  
291 PM<sub>2.5</sub> and PM<sub>10</sub>, suggesting that the WRFDA-Chem system works effectively in updating the initial  
292 conditions.

293 As for the analyses of gaseous pollutants (Figs. 2c-2f), large improvements can be seen in the ALL  
294 experiment by further assimilating SO<sub>2</sub>, NO<sub>2</sub>, O<sub>3</sub>, and CO. Compared to the PM2 experiment, although  
295 the bias and RMSE for PM<sub>2.5</sub> and PM<sub>10</sub> in the ALL experiment is slightly larger, the bias for the four  
296 gaseous pollutants decrease from 4.74  $\mu\text{g}/\text{m}^3$ , -4.59  $\mu\text{g}/\text{m}^3$ , 4.92  $\mu\text{g}/\text{m}^3$ , and -8.31  $\text{mg}/\text{m}^3$  (PM2  
297 experiment) to -1.68  $\mu\text{g}/\text{m}^3$ , -1.25  $\mu\text{g}/\text{m}^3$ , -0.31  $\mu\text{g}/\text{m}^3$ , and -0.18  $\text{mg}/\text{m}^3$  (ALL experiment),  
298 respectively, and the corresponding RMSE drops from 37.87  $\mu\text{g}/\text{m}^3$ , 15.39  $\mu\text{g}/\text{m}^3$ , 21.04  $\mu\text{g}/\text{m}^3$ , and



299 1.11 mg/m<sup>3</sup> (PM<sub>2</sub> experiment) to 23.85 µg/m<sup>3</sup>, 9.70 µg/m<sup>3</sup>, 8.62 µg/m<sup>3</sup>, and 0.43 mg/m<sup>3</sup> (ALL  
300 experiment). In general, by assimilating all the six major pollutants, the ALL experiment displays the  
301 largest improvement in the analyses of gaseous pollutants among all the experiments, along with a  
302 comparable improvement in the analyses of the aerosols.

303 Due to lack of vertical information within the observations, the common mathematical solution to  
304 use the surface total mass observations to analyze multiple 3-D fields variables is to utilize prior  
305 information in the background. As show in Fig. 4, based on vertical correlations specified in the  
306 background error covariance, the observation impact spreads to a certain height, even though the  
307 analysis variables used in the observation operator (Eq. 2-5) are only at the lowest model level. It is  
308 also noted that observations contribute differently among the analysis variables. Corresponding to the  
309 strong overestimation of PM<sub>2.5</sub> (Fig. 2a), all the three DA experiments (PM<sub>1</sub>, PM<sub>2</sub> and ALL) tend to  
310 reduce the PM<sub>2.5</sub> below 6 km; corresponding to the distinct underestimation for CO (Fig. 2f), the  
311 experiment assimilating CO (ALL experiment) increases the value below 9 km. Relative small analysis  
312 increments are shown in the other three gas pollutants (SO<sub>2</sub>, NO<sub>2</sub>, and O<sub>3</sub>).

### 313 **3.2 Forecast improvements**

314 After illustrating the effect of WRFDA-Chem on the analyses, this section further investigates the  
315 forecast performances based on the new analyses. A 24-h forecast is performed at each 00 UTC from  
316 1 to 31 January 2017. The forecast error statistics, including bias, RMSE and correlation, are computed  
317 by verifying against the surface observations at 531 stations over China.

318 As shown in Fig. 5, model performs relatively poor in the forecast of aerosols without DA. For  
319 PM<sub>2.5</sub>, the average bias, RMSE, and correlation over 0-24 h are 31.17 µg/m<sup>3</sup>, 88.99 µg/m<sup>3</sup>, and 0.41,





320 respectively (Tab. 3). As expected, all the DA experiments improve the forecasts evidently. Along  
321 with the forecast range, distinct improvements on bias, RMSE and correlation last from 0 to 24 h.  
322 Averaging over 0-24 h, the improvement percentage for bias, RMSE and correlation reach up to 72.4%,  
323 39.0%, and 43.9%, respectively. It is also noted that PM<sub>2.5</sub> observation is the dominant data source in  
324 improving PM<sub>2.5</sub> forecast. As for PM<sub>10</sub>, distinct improvements on RMSE and correlation can be seen  
325 from 0 to 24 h. Especially after assimilating the PMcoarse (PM<sub>10-2.5</sub> in PM2 and All experiments), the  
326 averaged improvement percentage for RMSE and correlation reach up to about 26.2 % and 55.5%. For  
327 bias, since the statistics are averaged over the 531 stations, the offset of large positive and negative  
328 bias at different stations lead to the small averaged bias in the NODA run (see the spatial distribution  
329 of bias at individual site in Section 1 of the supplementary material). Considering the DA experiments  
330 exhibit distinct improvements on RMSE and correlation, WRFDA-Chem still provides a general  
331 positive contribution to the PM<sub>10</sub> forecast.

332 Figure 6 presents the averaged forecast error statistics for SO<sub>2</sub>, NO<sub>2</sub>, O<sub>3</sub>, and CO with respect to  
333 forecast range. In PM1 and PM2 experiments that do not assimilate the gas-phase observations, no  
334 significant changes appear in the forecasts of the gaseous pollutants compared to the NODA run; after  
335 assimilating the gas-phase observations, the ALL experiment shows evident improvements in all the  
336 four gaseous pollutants, in which the improvements for SO<sub>2</sub>, NO<sub>2</sub>, and O<sub>3</sub> are more significant in 0-10  
337 h, and the improvements for CO last up to 24 h. According to the numbers shown in Table 3, for SO<sub>2</sub>,  
338 NO<sub>2</sub>, O<sub>3</sub>, and CO, the average bias (RMSE) in the ALL experiment decreases by 13.4%, 42.3%, 74.0%,  
339 and 74.5% (13.4%, 5.3%, 11.3%, and 33.7%), compared to the NODA run, and the average correlation  
340 increases by 34.8%, 9.6%, 40.0%, and 103.5%, respectively. It is worth noting that the WRFDA-Chem  
341 system has a positive impact on the forecast of NO<sub>2</sub> and O<sub>3</sub> by merely analyzing the IC. Since NO<sub>2</sub>



342 and O<sub>3</sub> are related to complex photochemical reaction processes, the assimilation of NO<sub>2</sub> and O<sub>3</sub>  
343 usually does not work well as other gas-phase pollutants on the forecast aspect, even with both  
344 emission and IC analyzed (Peng et al. 2018). In result, the aerosol/chemical assimilation based on  
345 WRFDA-Chem could not only contribute to the conventional aerosol forecasts in operational  
346 applications, but also provide valuable help in the emerging study demands for gaseous pollutants,  
347 especially O<sub>3</sub>.

348 Air Quality Index (AQI), which is used for reporting daily air quality and issuing alarms, is one  
349 of the service products of RMAPS-Chem operational air quality model over Northern China. Generally,  
350 AQI is classified into six levels rating from good to hazardous: 0-50 (level 1), 51-100 (level 2), 101-  
351 150 (level 3), 151-200 (level 4), 201-300 (level 5), and 300+ (Level 6). Similar to previous studies  
352 (Kumar and Goyal 2011; Tao et al. 2015; Zheng et al. 2014), AQI is calculated for the six major  
353 pollutants. The pollutant with the highest AQI level is deemed as the “main pollutant” and its AQI  
354 determines the overall AQI level. Accordingly, the accurate forecast of AQI requires the overall good  
355 performances of the six pollutants. To reflect the integrated DA effect of aerosols and gas-phase  
356 pollutants, the threat score (TS, calculation methodology in Section 2 of the supplemental material)  
357 for AQI at each AQI level is further analyzed. As shown in Fig. 7, in the beginning of the forecast, DA  
358 experiments (PM1, PM2 and ALL) increase the TS remarkably at all AQI levels, and then gradually  
359 decrease (quickly drop) with the forecast range at AQI levels 2-6 (AQI level 1). Nevertheless, for the  
360 polluted situations with AQI levels 3-6, evident improvements can be seen from 0 to 24h in all the DA  
361 experiments, in which the average TS increase from 0.19, 0.09, 0.16, and 0.19 (NODA experiment) to  
362 about 0.27, 0.16, 0.27, and 0.26 (DA experiments), respectively. For heavy polluted situations with  
363 AQI levels 5-6 (Figs. 7e-f), compared to the PM1 case, TS experiences a further increase in the PM2



364 and ALL experiments after assimilating the PMcoarse ( $PM_{10-2.5}$ ). This result indicates that for heavy  
365 polluted events during this period (January 2017),  $PM_{2.5}$  and  $PM_{10}$  could be the “main pollutant” that  
366 contributes the most to the AQI.

367 In general, the new WRFDA-Chem evidently improves the aerosol/chemical forecasting. Based  
368 on the assimilation of the six major pollutants, the chemical ICs are improved distinctly and a better  
369 forecast performance is acquired up to 24 hours. Among different experiments, the ALL experiment  
370 displays the best forecast error statistics for most of the major pollutants along with the highest TS for  
371 AQI. In the following operational applications, it is recommended to assimilate the six major pollutants  
372 simultaneously, which will help to get better analyses and forecast skills on the whole.

### 373 **3.3 Response to DA cycling frequency**

374 Cycling frequency is an important aspect in the DA strategy. However, the responses toward IC  
375 updating could be different among the pollutants. To figure out this issue and to provide helpful  
376 references for future applications, DA experiments with different cycling frequencies were analyzed  
377 in this section.

378 Figure 8 shows the domain-averaged bias and RMSE of the analysis as in Fig. 2, but for  
379 experiments with different DA frequencies (ALL\_6h, ALL\_3h and ALL\_1h). Except for  $O_3$ , most of  
380 the variables display a gradual improvement with the increase of cycling frequency. For example, from  
381 NODA run to the 6-h cycling experiment, and then to the 3-h and 1-h cycling experiment, the bias  
382 (RMSE) for  $PM_{2.5}$  gradually decrease from  $36.60 \mu\text{g}/\text{m}^3$  ( $70.41 \mu\text{g}/\text{m}^3$ ) to  $5.98 \mu\text{g}/\text{m}^3$  ( $23.15 \mu\text{g}/\text{m}^3$ ),  
383 and then to  $5.41 \mu\text{g}/\text{m}^3$  ( $21.32 \mu\text{g}/\text{m}^3$ ) and  $4.30 \mu\text{g}/\text{m}^3$  ( $18.54 \mu\text{g}/\text{m}^3$ ). Similar results also exist in the  
384 bias for  $SO_2$ ,  $NO_2$ , and CO, as well as the RMSE for  $PM_{10}$ ,  $SO_2$ , and CO. In accordance with the



385 gradual improvements in the analyses, the forecast skills increase with the cycling frequency in most  
386 of the variables except O<sub>3</sub> (Figs. 9-10). Especially for the forecasts of aerosols, evident gradual  
387 improvements can be seen from 0 to 24 h. From the 6-h cycling experiment to the 3-h and the 1-h  
388 cycling experiment, the averaged decrease percentage of RMSE for PM<sub>2.5</sub> (PM<sub>10</sub>) enlarges from 38.76%  
389 to 41.27% and 44.21% (27.31% to 30.17% and 32.97%); the averaged increase percentage of  
390 correlation for PM<sub>2.5</sub> (PM<sub>10</sub>) enlarges from 42.82% to 49.51% and 55.58% (57.71% to 66.39% and  
391 74.89%). To further investigate the integrated DA effect of aerosols and gas phase pollutants under  
392 different cycling frequency, the TS for AQI is shown in Fig. 11. The forecast of air quality is improved  
393 step by step with the increase of cycling frequency. On AQI levels 2-6, the TS for the ALL\_1h  
394 experiment situates above the ALL\_3h experiment at most of the time, and followed by the ALL\_6h  
395 experiment. These results indicate that the frequent IC updating is helpful to further improve the  
396 forecast for most of the pollutants.

397 However, the analysis and forecast of O<sub>3</sub> becomes worse under higher cycling frequencies (Fig.  
398 8e and 10c). As a short-lived chemical reactive species, O<sub>3</sub> takes part in highly complex and rapid  
399 photochemical reactions in association with NO<sub>2</sub> and VOC (Peng et al. 2018, Lu et al., 2019). From  
400 this perspective, the performances of O<sub>3</sub> could mostly rely on the rapid photochemistry, in addition to  
401 the IC. In the DA experiments, the assimilation of NO<sub>2</sub> changes the NO<sub>2</sub> concentration and leave the  
402 VOC unadjusted due to the absence of VOC measurements. In result, the NO<sub>2</sub>/VOC ratio which  
403 determine the photochemical reactions and even regime might be changed (O<sub>3</sub> production/loss  
404 direction might change). Since the relevant NO<sub>x</sub>-VOC-O<sub>3</sub> reactions take place so quickly, changing  
405 the O<sub>3</sub> concentration in minutes, the advantage of IC DA is competing with the disadvantage of the  
406 disordered photochemistry (inaccurate NO<sub>2</sub>/VOC ratios) from the unadjusted VOC and the updated O<sub>3</sub>



407 and NO<sub>2</sub>, and thus the improvement of IC DA could be consumed quickly. Under this circumstance,  
408 the more frequent the O<sub>3</sub> and NO<sub>2</sub> were assimilated, the more incompatibilities could be brought into  
409 the related photochemical reactions, resulting the model performs worse in the forecast of O<sub>3</sub> under  
410 higher cycling frequencies.

411 According to the results above, it is better to assimilate PM<sub>2.5</sub>, PM<sub>10</sub>, SO<sub>2</sub> and CO every 1 h and  
412 assimilate O<sub>3</sub> and NO<sub>2</sub> every 6 h in the future applications, given the fact that the 6-h cycling  
413 experiment performs the best in the O<sub>3</sub> forecasting (Fig. 10c) and displays no significant differences  
414 in the NO<sub>2</sub> forecasting with experiments under higher cycling frequencies (Fig. 10b). It could also be  
415 helpful to assimilate the VOC along with O<sub>3</sub> and NO<sub>2</sub> after there are corresponding observations.

#### 416 **4. Indications on further model development**

417 A higher forecast skill relies on not only better working of DA, but also better performance of the  
418 forecast model. To further improve the forecast skill, a crucial task is to understand the deficiencies in  
419 the model, while the challenge in chemistry model diagnostic is that uncertainties are from various  
420 aspects and are mixed-up in the model simulations, and the situation becomes even more complex  
421 when the reaction path is not yet revealed by laboratory. However, with the help of DA, as one aspect  
422 (IC) in the model is corrected by using observation as constraints, the deficiencies from other aspects  
423 (e.g. chemical reactions) could be more evident, and thus there could be a better chance to diagnose  
424 the deficiencies in the model. Specifically, Sulfate-nitrate-ammonium (SNA) are the predominant  
425 inorganic aerosol species that contribute up to 50% of total PM<sub>2.5</sub> in heavy polluted events in northern  
426 China (Wang et al. 2014). In addition to the normal pathways in the MOSAIC scheme, we added SO<sub>2</sub>-  
427 NO<sub>2</sub>-NO<sub>3</sub> related heterogeneous reactions for high relative humidity case in WRF-Chem (Chen et al.



2016), which greatly improved the underestimated SNA simulations. Since the newly added reactions are calculated on both the concentration of precursors ( $\text{SO}_2$ ,  $\text{NO}_2$ - $\text{NO}_3$ ) and the uptake coefficients in the model, after DA corrected the concentrations of the precursors (one aspect), the impacts of the uptake coefficients could be more evident (the other aspect than the one corrected). Ideally, if the newly added reactions depict the heterogeneous reaction processes properly, a forecast improvement on the aerosols could be expected by assimilating their gaseous precursors. Based on this notion, this section verifies the forecast of two specific aerosol species, sulfate ( $\text{SO}_4^{2-}$ ) and nitrate ( $\text{NO}_3^-$ ), against a size-resolved particle observation over Beijing IUM station (in view of the assimilated  $\text{SO}_2$  and  $\text{NO}_2$  are the corresponding gaseous precursors of these aerosol species), aiming to explore the deficiencies in the uptake coefficients in the newly added heterogeneous reactions, and to provide beneficial indications for future model development.

Figure 12 presents the time series of sulfate and nitrate over Beijing IUM station. In the ALL experiment, after assimilating both the PM concentrations and the gaseous precursors ( $\text{SO}_2$ ,  $\text{NO}_2$ ), the forecasts of sulfate and nitrate become even worse than the PM2 experiment which only assimilates the PM concentrations. In the ALL experiment, sulfate experiences a decrease, accompanied by the average RMSE grows from 4.32 to 4.88  $\mu\text{g}/\text{m}^3$ ; nitrate exhibits an increase, accompanied by the average RMSE grows from 8.74 to 10.12  $\mu\text{g}/\text{m}^3$ . However, compared to the PM2 experiment, the precursors ( $\text{SO}_2$  and  $\text{NO}_2$ ) are indeed improved. Figure 13 displays the analysis statistics of  $\text{SO}_2$  and  $\text{NO}_2$  in the ALL experiment around Beijing area (red dots in Fig. 1) on January 16, the period with the largest changes of sulfate and nitrate (Fig. 12). To correct the overestimated  $\text{SO}_2$  (underestimated  $\text{NO}_2$ ) in the background, the DA in reduces (enhances) the model value in the ALL experiment, making it closer to the observations.



450 It should be mentioned that the heterogeneous reactions are added by using the sulfate-nitrate-  
451 ammonium observations as constraints to tune the “observation-best-matched” uptake coefficients  
452 under the scenario without DA, in which the precursor concentrations are from pure model thus not  
453 very accurate. To best match the observation, when gaseous precursors are overestimated  
454 (underestimated) in the model, the uptake coefficient is tuned to low-biased (high-biased) value. In  
455 result, such a coefficient may no longer be suited for the cases with DA. For instance, after DA  
456 reducing the overestimated SO<sub>2</sub>, the uptake coefficient is still relatively low and thus the reaction from  
457 SO<sub>2</sub> to sulfate will stay at a low rate (with both low value of SO<sub>2</sub> and low reaction coefficient). A  
458 similar result also exists for the reaction from NO<sub>2</sub> to nitrate. From this perspective, the negative effects  
459 on sulfate and nitrate in the ALL experiment may not be hard to understand (Fig. 12). Therefore, in  
460 the future chemistry development, it is necessary to develop more appropriate coefficients for different  
461 gaseous precursor scenarios, in which more constraints, such as precursor and species concentrations,  
462 should be provided with the help of DA technique. Accordingly, further improvements on aerosol  
463 forecast could be expected by assimilating their gaseous precursors.

464 According to the results above, the DA technique provides an opportunity to identify and diagnose  
465 the deficiencies in the model. By correcting the precursor concentrations through DA (one aspect), the  
466 deficiency of the uptake coefficients for the SNA heterogeneous reactions (the other aspect than the  
467 one corrected) is revealed. In the future, besides being used to improve the forecast skill through  
468 updating the IC, DA could be used as another approach to reveal the necessary developments in the  
469 model.



470 **5. Conclusions and discussions**

471 To improve the operational air quality forecasting over China, a flexible aerosol and gas phase  
472 pollutants assimilation capability that can switch between different aerosol schemes is developed based  
473 on the WRFDA system with 3DVAR algorithm. This flexibility is designed to address the complexity  
474 of current aerosol schemes and to facilitate future chemistry developments. In this first application, the  
475 assimilation capability of surface observations of six major pollutants, including PM<sub>2.5</sub>, PM<sub>10</sub>, SO<sub>2</sub>,  
476 NO<sub>2</sub>, O<sub>3</sub>, and CO, is built with MOSAIC aerosol scheme.

477 Before application in the operational air quality model, capability of the WRFDA-Chem system is  
478 verified in terms of analysis and forecast performances. Using the updated system, five DA  
479 experiments (assimilate different combinations of pollutants in various frequencies) were conducted  
480 for January 2017, along with a control experiment without DA. Results exhibit that the WRFDA-Chem  
481 system evidently improves the forecast of aerosols and gas phase pollutants. On the aspect of analysis,  
482 the assimilation of different atmospheric-composition observation reduces the bias and RMSE in the  
483 IC remarkably (e.g. by about 38%, 26%, and 10-30% in the RMSE for PM<sub>2.5</sub>, PM<sub>10</sub>, and gas phase  
484 pollutants); on the aspect of forecast skill, better performances are acquired up to 24 hours with about  
485 10-40% (30-50%) improvements in the RMSE (correlation) for different pollutants. Among different  
486 experiments, the one assimilating all the six pollutants displays the best forecast error statistics for  
487 most of the pollutants along with the highest TS for AQI. In future applications, to get a better analysis  
488 and forecast skill in general, it is recommended to assimilate the six major pollutants simultaneously.

489 As the cycling frequency is an important aspect in the DA strategy, DA experiments with various  
490 cycling frequencies are also analyzed. Results exhibit that the responses toward IC updating are





491 different among the pollutants. For  $PM_{2.5}$ ,  $PM_{10}$ ,  $SO_2$ , and  $CO$ , the forecast skills increase with the DA  
492 frequency; for  $O_3$ , although improvements are acquired at the 6-h cycling frequency, the advantage of  
493 more frequent IC DA could be consumed by the disordered photochemistry (inaccurate  $NO_2/VOC$   
494 ratios) due to the unadjusted VOC and the updated  $O_3$  and  $NO_2$  from DA. In future applications, it is  
495 better to assimilate  $PM_{2.5}$ ,  $PM_{10}$ ,  $SO_2$ , and  $CO$  every 1 h and assimilate  $O_3$  and  $NO_2$  every 6 h. It might  
496 also be helpful to assimilate VOC simultaneously with  $O_3$  and  $NO_2$  after there are corresponding  
497 measurements.

498 By investigating the effect of assimilating gaseous precursors on the forecast of related aerosols,  
499 the deficiencies in the WRF-Chem model are further revealed. The uptake coefficients for Sulfate-  
500 Nitrate-Ammonium heterogeneous reactions in the model are found out to be not appropriate in the  
501 applications with gaseous precursors ( $SO_2$  and  $NO_2$ ) assimilations, since they were originally tuned  
502 under the gaseous precursor scenarios without DA and the biases from the two aspects (SNA reactions  
503 and IC DA) were just compensated. In the future chemistry development, it is necessary to develop  
504 appropriate coefficients for different gaseous precursor scenarios, in which more constraints, such as  
505 precursor and species concentrations, should be provided with the help of DA technique.

506 Contributed by the flexible aerosol assimilation capability of the WRFDA-Chem system,  
507 development for other aerosol schemes targeting different regions in Asia is undergoing. In the next  
508 step, study will focus on assimilating chemical observations from different observing platforms, such  
509 as satellite AOD observations, which contains more information over the areas with sparse surface  
510 observations. In addition, more advanced DA techniques, such as 4DVAR and Hybrid DA, could be  
511 taken into consideration in further developing the aerosol/chemical DA system.



512 **Code and data availability**

513 The WRF-Chem code used in this study is the public release version available  
514 at [https://www2.mmm.ucar.edu/wrf/users/download/get\\_sources.html#WRF-Chem](https://www2.mmm.ucar.edu/wrf/users/download/get_sources.html#WRF-Chem). The WRFDA  
515 code in this study is developed based on the public release version available  
516 at [https://www2.mmm.ucar.edu/wrf/users/download/get\\_sources.html#WRFDA](https://www2.mmm.ucar.edu/wrf/users/download/get_sources.html#WRFDA), and the developed  
517 WRFDA-Chem code could be incorporated into the public release version at appropriate time. The  
518 example run directory and dataset for this paper are available upon request from the corresponding  
519 authors (liuz@ucar.edu and dchen@ium.cn) and Wei Sun (weisun0416@gmail.com).

520 **Author contributions**

521 WS and ZL conducted development of DA system. ZL, DC, WS, and MC designed research, WS  
522 performed experiments and analyzed results, PZ provided PM species observations, and WS and DC  
523 wrote the paper with contributions from all co-authors.

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529 **Competing interests**

530 The authors declare that they have no conflict of interest.

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## 648 **Tables and Figures**

649 **Table 1.** WRF-Chem model configurations.

650 **Table 2.** The detail setting of six experiments and the purposes.

651 **Table 3.** Averaged bias (units:  $\mu\text{g}/\text{m}^3$ ), RMSE (units:  $\mu\text{g}/\text{m}^3$ ), and correlation over forecast hour 0-24  
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678 (units: mg/m<sup>3</sup>).

679 **Figure 7.** Averaged threat score (TS) for Air Quality Index (AQI) from AQI level 1 to level 6 (a-f) in  
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684 **Figure 8.** Same as Fig. 2, but for the experiments of NODA, ALL\_6h, ALL\_3h, ALL\_1h, respectively.  
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690 **Figure 10.** Same as Fig. 9, but for the forecast of (a) SO<sub>2</sub>, (b) NO<sub>2</sub>, (c) O<sub>3</sub> (units: µg/m<sup>3</sup>), and (d) CO  
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695 of experiment PM2 and ALL, respectively. The numbers on the right of each panel denote the averaged  
696 RMSE over January 14-20 for different experiments.



697 **Figure 13.** Averaged scatter plot of (a, c) observation versus background and (b, d) observation versus  
698 analysis for (a, b) SO<sub>2</sub> and (c, d) NO<sub>2</sub> around Beijing area (red dots in Fig. 1) on January 16.  
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**Table 1.** WRF-Chem model configurations.

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Aerosol scheme	MOSAIC (four bins, Zaveri et al. (2008))
Photolysis scheme	Fast-J (Wild et al. 2000)
Gas-phase chemistry	CBM-Z (Zaveri and Peters 1999)
Cumulus parameterization	Grell 3-D scheme Goddard Space Flight Center short-wave radiation scheme
Short-wave radiation	(Chou and Suarez 1994)
Long-wave radiation	RRTM (Mlawer et al. 1997)
Microphysics	Single-moment 6-class scheme (Grell and Dévényi 2002)
Land-surface model (LSM)	NOAH LSM (Chen and Dudhia 2001)
Boundary-layer scheme	YSU (Hong et al. 2006)
Meteorology initial and boundary conditions	GFS analysis and forecast every 6 h
Initial condition for chemical species	11-day spin-up
Boundary conditions for chemical species	Averages of mid-latitude aircraft profiles
Dust and sea salt emissions	GOCART

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**Table 2.** The detail setting of six experiments and the purposes

Experiments	PM <sub>2.5</sub> assimilation	PM <sub>10-2.5</sub> assimilation	Gas phase (SO <sub>2</sub> , NO <sub>2</sub> , O <sub>3</sub> , CO) assimilation	Assimilated time (UTC)	Purposes for forecast performances
NODA	No	No	No	--	Control simulation
PM1	Yes	No	No	00, 06, 12, 18	Basic PM <sub>2.5</sub> assimilation
PM2	Yes	Yes	No	00, 06, 12, 18	PM <sub>2.5</sub> and PM <sub>10-2.5</sub> assimilation
ALL	Yes	Yes	Yes	00, 06, 12, 18	Aerosol and precursor simultaneously assimilation
ALL_3h	Yes	Yes	Yes	00, 03, 06, 09, 12, 15, 18, 21	Different assimilation frequencies on forecast performances
ALL_1h	Yes	Yes	Yes	0-23, every hour	

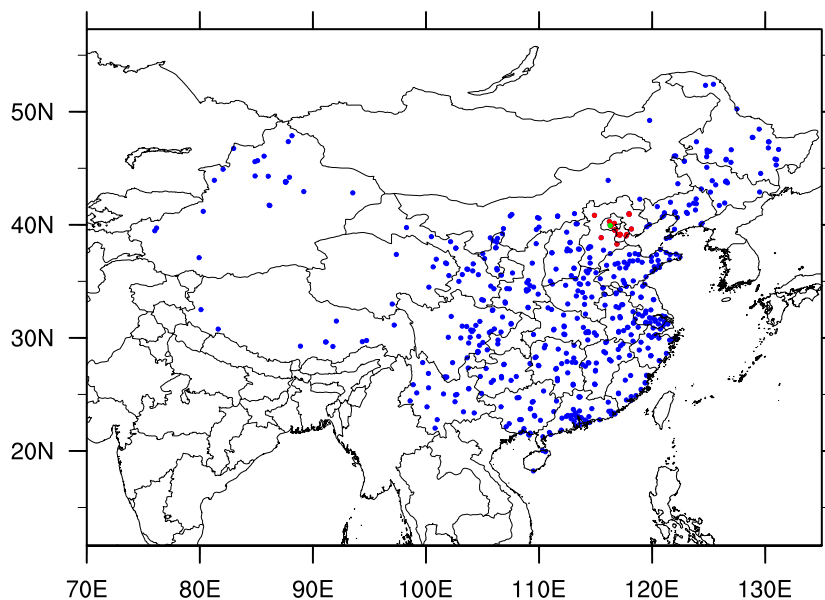
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704 **Table 3.** Averaged bias (units:  $\mu\text{g}/\text{m}^3$ ), RMSE (units:  $\mu\text{g}/\text{m}^3$ ), and correlation over forecast hour 0-24  
 705 h for different variables and different experiments. The statistics for gas phase pollutants in PM1 and  
 706 PM2 experiments are highly close to the results in NODA experiment, and thus leave with blank in  
 707 the table.

		NODA	PM1	PM2	ALL
PM <sub>2.5</sub>	Bias	31.17	8.78	8.39	9.36
	RMSE	88.99	53.93	54.35	54.49
	Correlation	0.41	0.59	0.58	0.59
PM <sub>10</sub>	Bias	-1.13	-22.73	-15.43	-14.41
	RMSE	98.5	74.41	71.9	71.6
	Correlation	0.36	0.54	0.56	0.56
SO <sub>2</sub>	Bias	6.67	-	-	3.78
	RMSE	44.11	-	-	38.18
	Correlation	0.29	-	-	0.4
NO <sub>2</sub>	Bias	-2.87	-	-	-1.66
	RMSE	25.61	-	-	24.26
	Correlation	0.48	-	-	0.52
O <sub>3</sub>	Bias	-3.22	-	-	-0.84
	RMSE	31.96	-	-	28.36
	Correlation	0.29	-	-	0.41
CO	Bias	-0.73	-	-	-0.19
	RMSE	1.13	-	-	0.75
	Correlation	0.28	-	-	0.57

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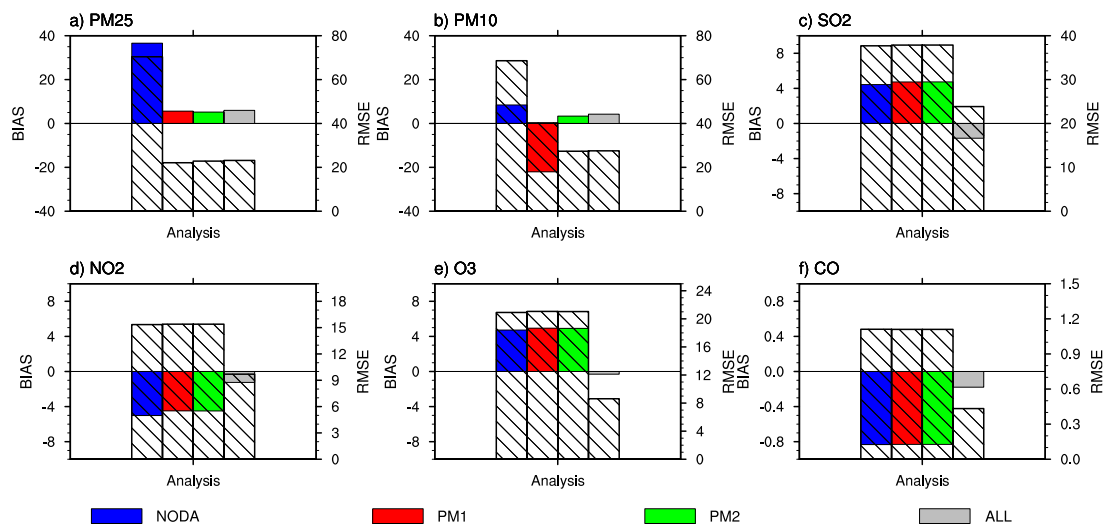


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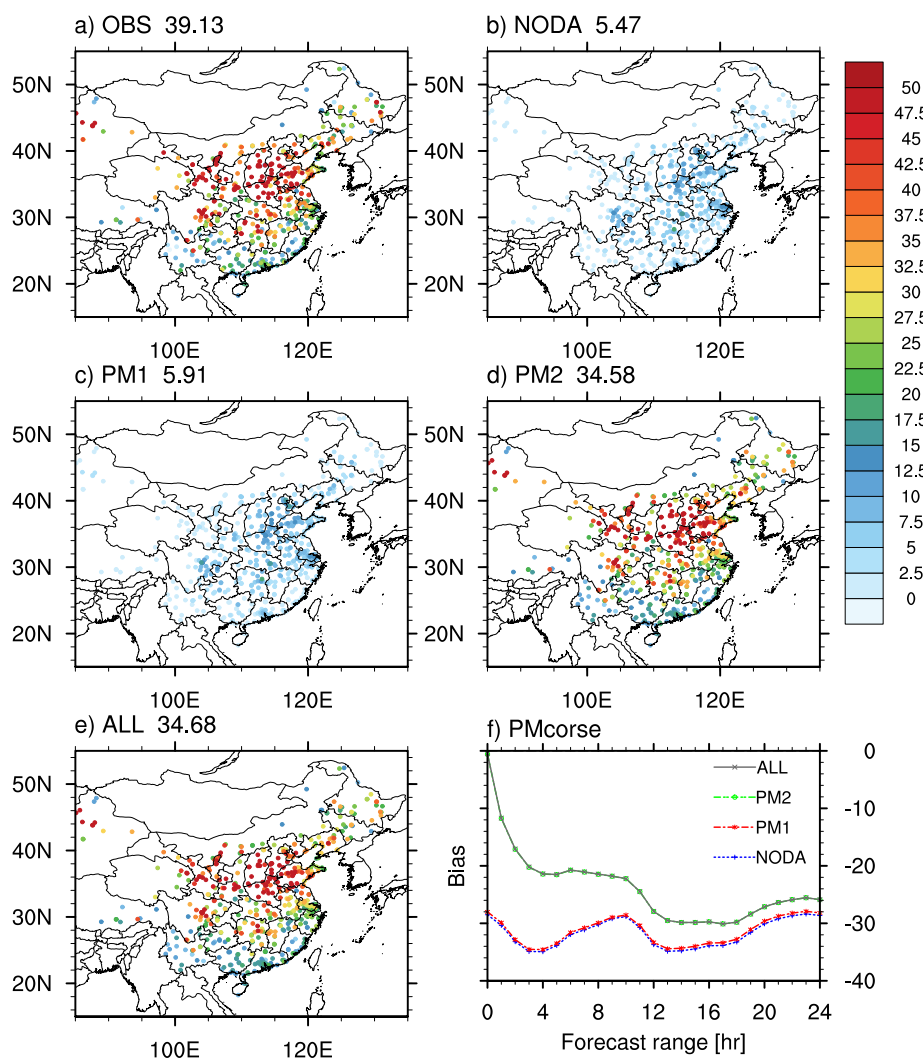


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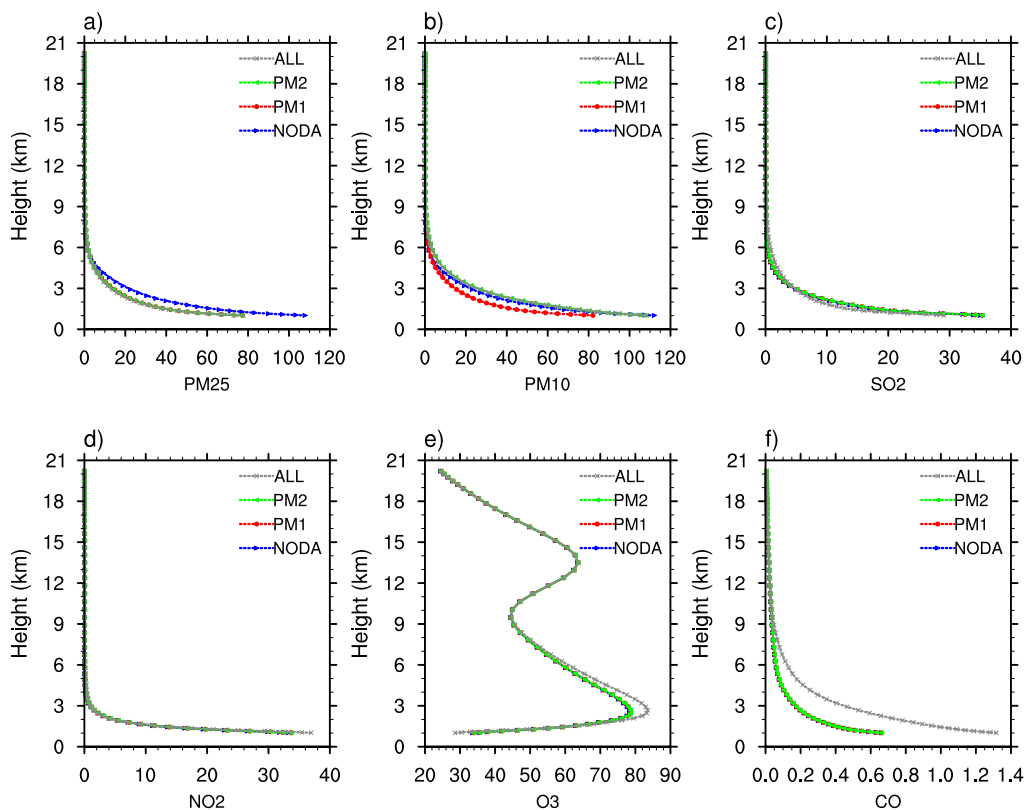
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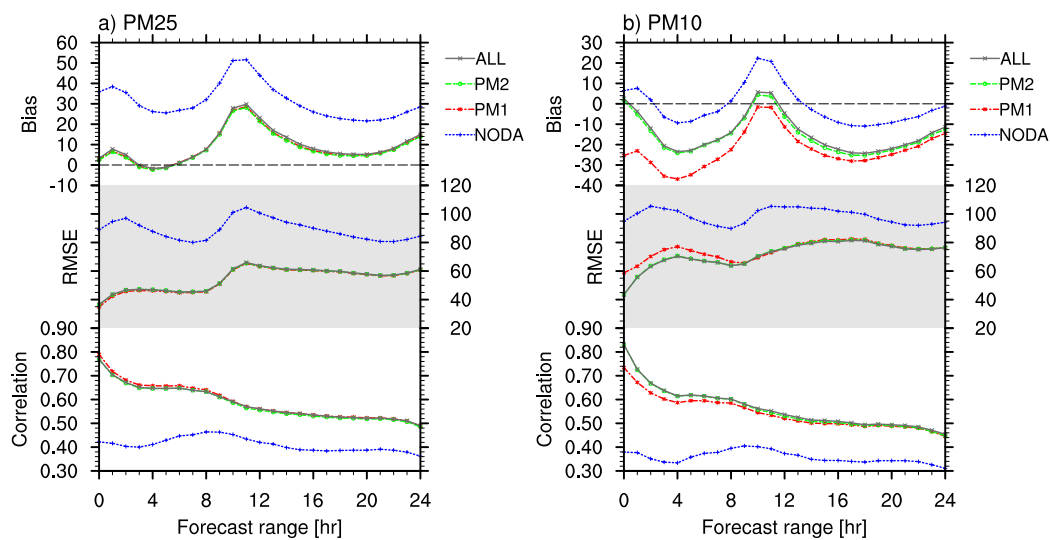
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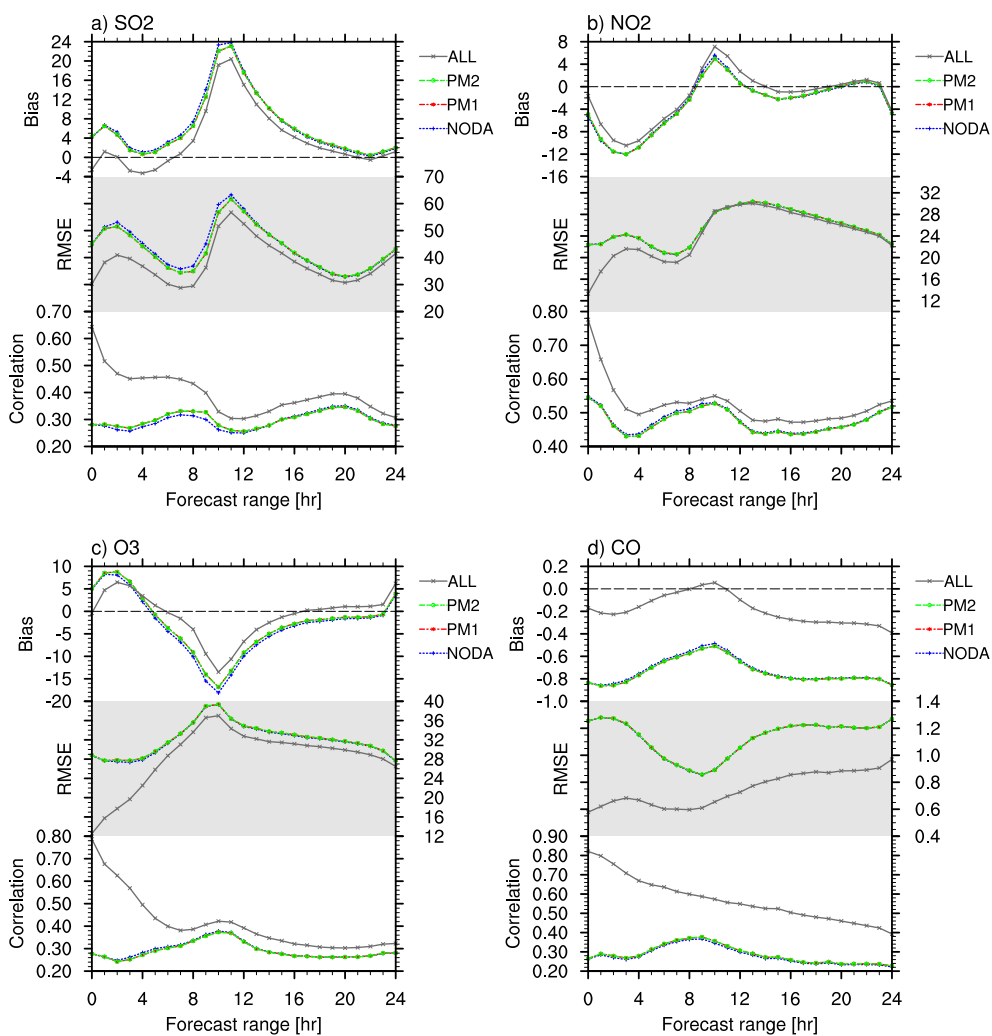
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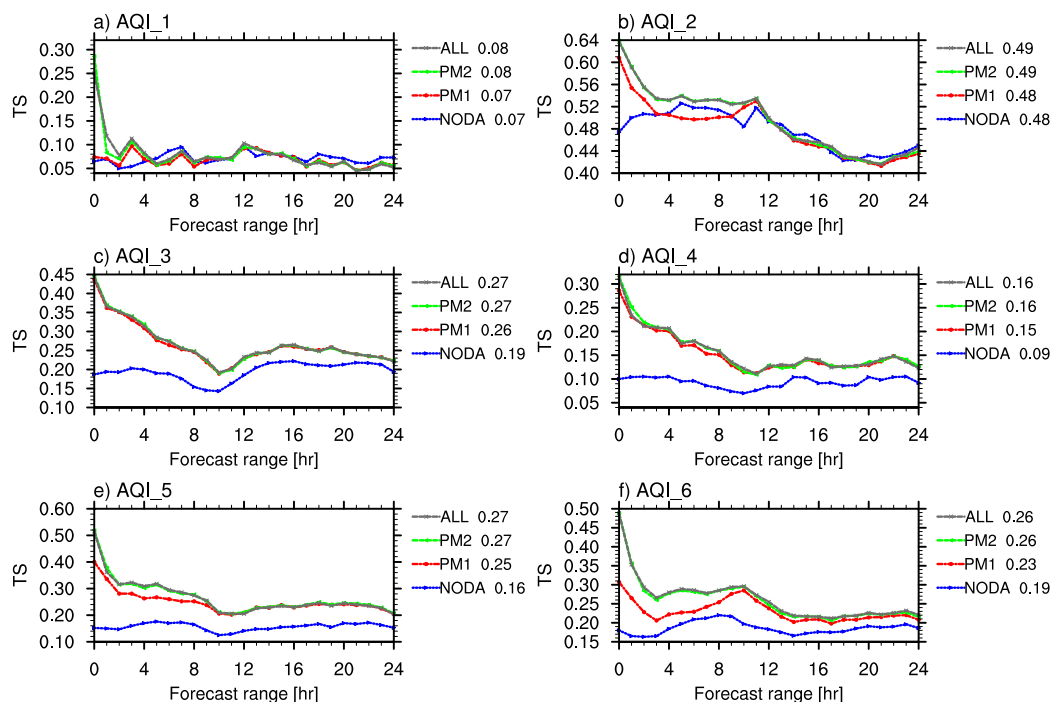
737 PM<sub>1</sub>, PM<sub>2</sub>, ALL, respectively.



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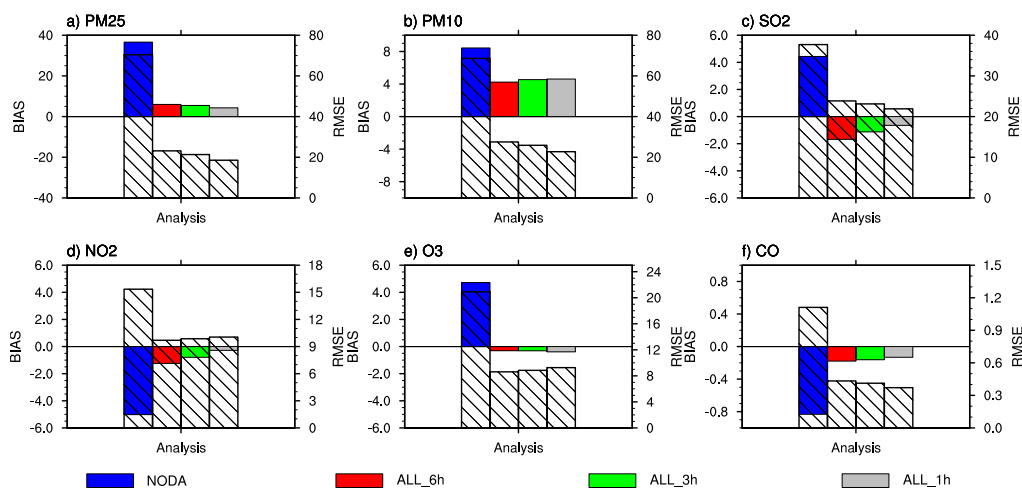
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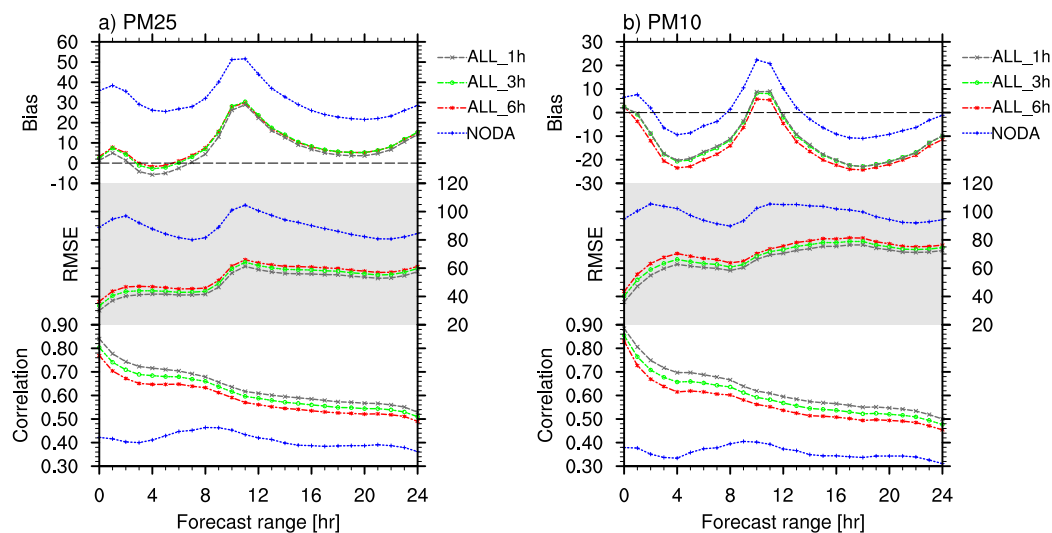


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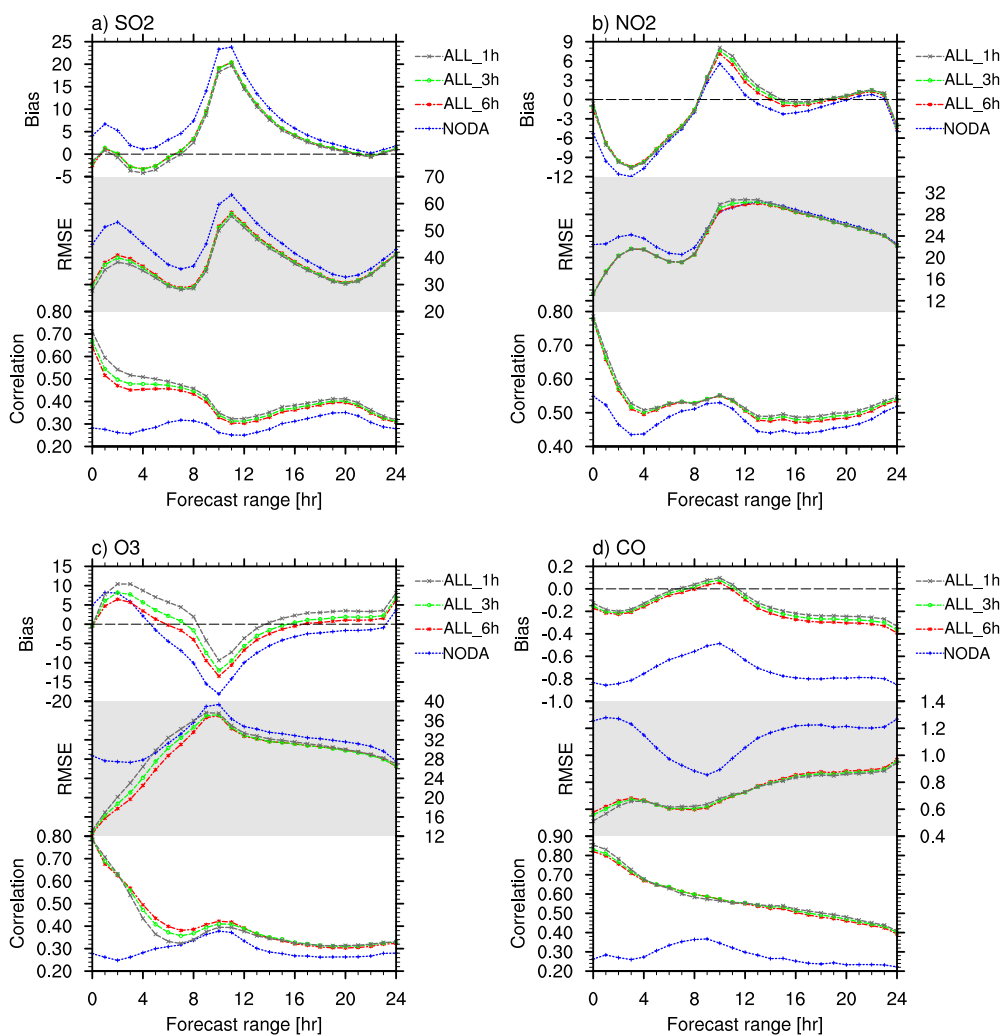
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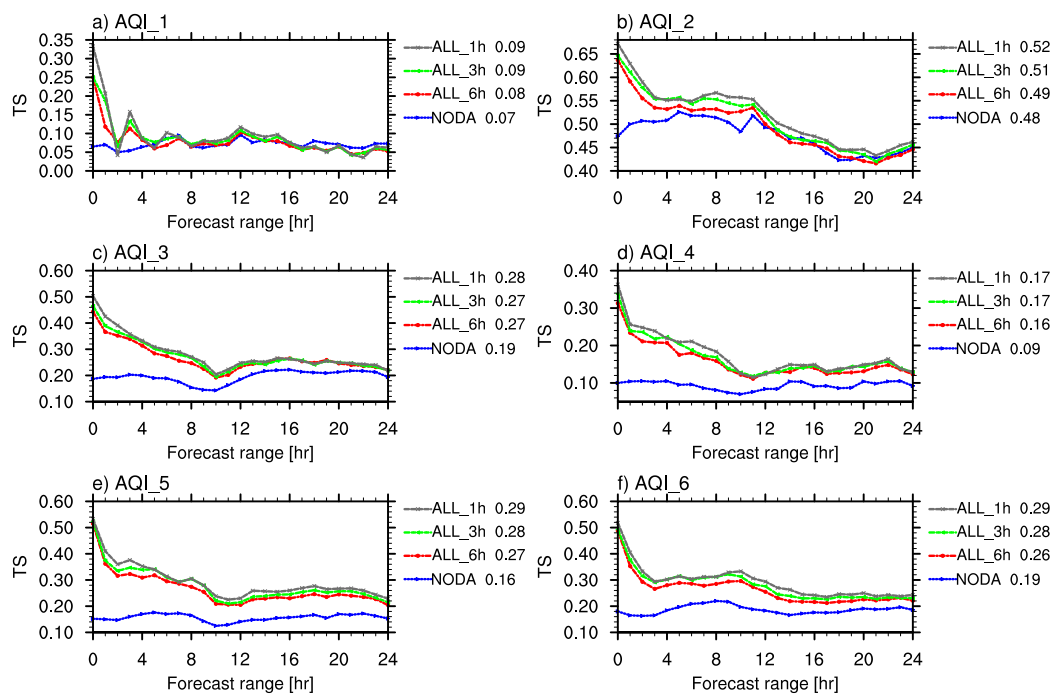


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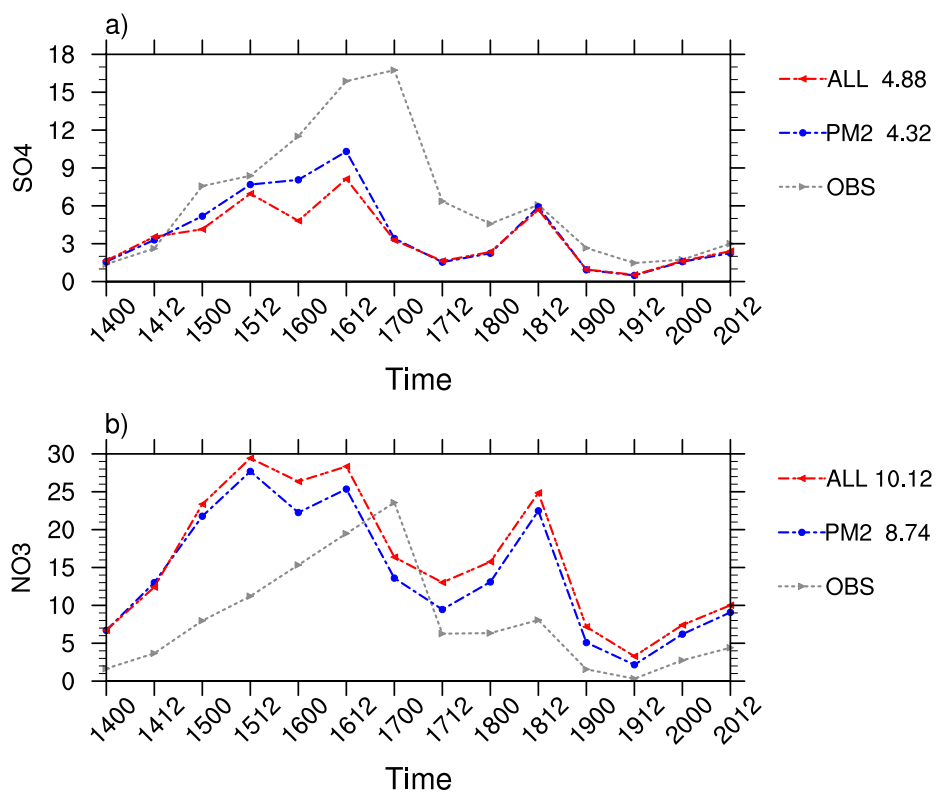
758 (units: mg/m<sup>3</sup>).





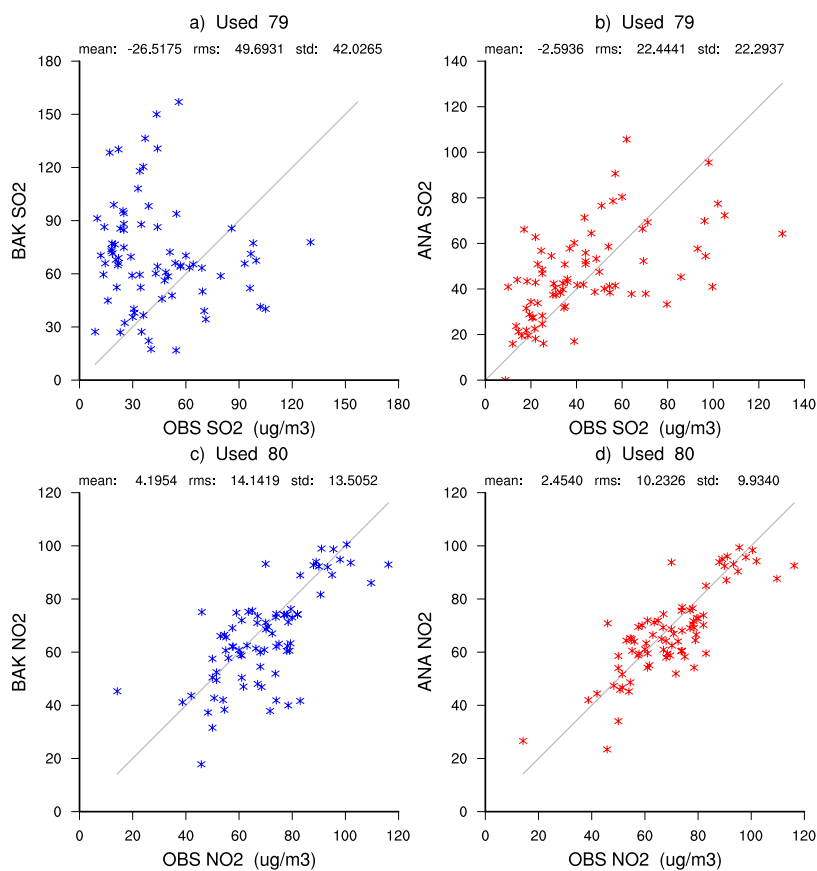
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