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Aerosol optical depth and fine-mode fraction retrieval over East Asia using multi-angular total and polarized remote sensing

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Abstract

A new aerosol retrieval algorithm using multi-angular total and polarized measurements is presented. The algorithm retrieves aerosol optical depth (AOD), fine-mode fraction (FMF) for studying the impact of aerosol on climate change. The retrieval algorithm is based on a lookup table (LUT) method, which assumes that one fine and one coarse lognormal aerosol modes can be combined with proper weightings to represent the ambient aerosol properties. To reduce the ambiguity in retrieval algorithm, the key characteristics of aerosol model over East Asia are constrained using the cluster anal-

- ysis technique based on the AERONET sun-photometer observation over East Asia.
 A mixing model of bare soil and green vegetation spectra and the Nadal and Breon model for the bidirectional polarized reflectance factor (BPDF) were used to simulate total and polarized surface reflectance of East Asia. By applying the present algorithm to POLDER measurements, three different aerosol cases of clear, polluted and dust are analyzed to test the algorithm. The comparison of retrieved aerosol optical depth
- (AOD) and fine-mode fraction (FMF) with those of AERONET sun-photometer observations show reliable results. Preliminary validation is encouraging. Using the new aerosol retrieval algorithm for multi-angular total and polarized measurements, the spatial and temporal variability of anthropogenic aerosol optical properties over East Asia, which were observed during a heavy polluted event, were analyzed. Exceptionally high
- values of aerosol optical depth contributed by fine mode of up to 0.5 (at 0.865 µm), and high values of fine-mode fraction of up to 0.9, were observed in this case study.

1 Introduction

The impact of aerosol on climate change is considered as one of the main uncertainties in climate modeling, which has led to large efforts for improving their global monitoring (Anderson et al., 2002). Anderson et al., 2007)

²⁵ (Anderson et al., 2003; Andreae et al., 2005; Charlson et al., 1969; IPCC, 2007). Climate change research requires knowledge of anthropogenic component of aerosol,



 which can be considered as an external cause of climate change (Charlson et al., 1992; Hansen et al., 1997). To obtain an estimate of aerosol direct radiative forcing (DRF), a measure of the anthropogenic aerosol loading and knowledge of their size distributions and refractive indices are needed (Hansen et al., 1998; Haywood and Boucher, 2005;
 ⁵ Bellouin et al., 2005).

Even though the significance of aerosol in climate change is well recognized and several efforts have been made to model their characteristics, there exist large uncertainties (Kaufman et al., 2002; Costa et al., 2004; Bellouin et al., 2008). One of the greatest challenges in studying aerosol impacts on climate is the immense diversity, not only aerosol size, composition, and origin, but also in spatial and temporal distribution (Bates et al., 2001; Dubovik et al., 2002, 2008). One consequence of this heterogeneity is that the impact of aerosol on climate change must be understood and quantified on a regional rather than just a global-average basis (Delene and Ogren, 2002; Mishchenko and Geogdzhayev, 2007).

 Yet most assessments of aerosol DRF are based only on climate models since satellite instruments do not directly measure the anthropogenic aerosol properties. Although models are compared and validated against observations, their estimates of aerosol DRF remain uncertain (Chin et al., 2002). Kaufman et al. (2005) estimated aerosol anthropogenic component over ocean from MODIS measurements, which use
 the aerosol optical depth and the fine-mode fraction of aerosol over ocean to derive the anthropogenic optical depth.

The fine-mode fraction of aerosol retrieved by satellite is unfortunately not considered reliable over land surfaces (Anderson et al., 2005, 2006), where the main aerosol sources are located, because of the difficulty in discriminating the aerosol contribution

from the ground in top of the atmosphere measurements (Diner et al., 2005; Hauser et al., 2005; Kokhanovsky et al., 2007, 2010; Mishchenko and Geogdzhayev, 2007). The multi-angle polarized measurements provide an alternative and robust approach for the study of aerosols over land (Deuzé et al., 2001; Chowdhary et al., 2005; Hasekamp and Landgraf, 2005, 2007; Cheng et al., 2011). Indeed the polarized surface contribution



is smaller than, or equal to, the atmospheric contribution (Waquet et al., 2009b; Litvinov et al., 2010). Moreover, polarization measurements are highly sensitive to aerosol properties as shown in different experimental and theoretical studies (Mishchenko and Travis, 1997; Cheng et al., 2010). Retrievals of aerosol properties from multi-angular,

- ⁵ multi-spectral, and polarized measurements can take advantage of the different angular and polarized reflectance signatures of the surface and aerosol properties (Deuzé et al., 2001; Waquet et al., 2007, 2009a; Litvinov et al., 2011). Deuzé et al. (2001) developed POLDER retrieval algorithm only using polarized reflectance at two visible spectral channels oriented on rapid operational processing. Dubovik et al. (2011)
- developed a retrieval algorithm as an attempt to enhance aerosol retrieval by emphasizing statistical optimization in inversion of data from satellite sensors with spectral multi-angle polarimetric observations using statistically optimized inversion algorithm. Hasekamp et al. (2011) simultaneously retrieved aerosol properties and ocean parameters based on the PARASOL measurements over the ocean. Even though several
 efforts have been made to study aerosol properties using polarized remote sensing,

there exist large uncertainties.

The research presented in this paper aims to prospects the possibility of simultaneously retrieving the spectral AOD, and fine-mode fraction (FMF) over the East Asia using multi-angular, multi-spectral, total and polarized remote sensing. In Sect. 2 the retrieval algorithm for spectral AOD and fine-mode fraction (FMF) using multi-angular,

- 20 retrieval algorithm for spectral AOD and fine-mode fraction (FMF) using multi-angular, multi-spectral, total and polarized remote sensing measurements is introduced. The description of the aerosol optical properties and surface reflectance over East Asia are also presented in Sect. 2. In Sect. 3, three different aerosol cases of clear, polluted and dust are analyzed to test the algorithm. Analysis and validation of the results are
- presented in Sect. 4. In Sect. 5, the spatial and temporal variability of a heavy polluted event over East Asia were analyzed using the algorithm. The conclusions of the paper are summarized in Sect. 6.



2 Aerosol retrieval algorithm

2.1 Aerosol optical depth and fine-mode fraction retrieval scheme

The important advantage of the multi-angular, multi-spectral, total and polarized radiation measurements enables us to retrieve aerosol optical depth with size information simultaneously. The two main aerosol parameters (AOD and FMF) were simultane-

simultaneously. The two main aerosol parameters (AOD and FMF) were simultaneously retrieved using POLDER measurements (Deschamps et al., 1994) in this paper.

The atmosphere-surface system is assumed as plane parallel, so the optical properties of atmosphere and surface depend only on the vertical coordinate (Hansen and Travis, 1974). A vector radiative transfer model is used with the corresponding geometry ($\theta_s, \theta_v, \varphi$) for the given aerosol optical depth, aerosol optical properties (single scattering albedo, asymmetry parameter). In this study, the RT3 vector radiative transfer mode (Evans and Stephens, 1991) is used, which simulates radiation fields in the atmosphere-land system assuming plane parallel atmosphere.

A lookup tables (LUT) approach is adopted to retrieve AOD and FMF. The LUT are constructed based on extensive analysis of aerosol optical properties obtained from AERONET sun-photometer observations (Holben et al., 1998,).

The algorithm of this paper assumes that one fine and one coarse lognormal aerosol modes can be combined with proper weightings to represent the ambient aerosol properties (Remer et al., 2005). There are six fine modes and six coarse modes in the algorithm. In order to improve the accuracy of aerosol retrieval using remote sensing, the fine and coarse aerosol mode size distribution are determined based on extensive analysis of aerosol optical properties obtained from AERONET sun-photometer observations (Dubovik and King, 2000) over East Asia.

The inversion is based on determining which of the 36 combinations of fine and coarse aerosol models and their relative optical contributions best mimics the TOA spectral polarized measurements. The total and polarized reflectance from each mode



is combined as follows:

$$R^{\text{LUT}}(\tau, \theta_s, \theta_v, \varphi_r) = \text{FMF} \cdot R^{\text{fine}}(\tau, \theta_s, \theta_v, \varphi_r) + (1 - \text{FMF}) \cdot R^{\text{coarse}}(\tau, \theta_s, \theta_v, \varphi_r)$$
(1)

where $R^{LUT}(\tau, \theta_s, \theta_v, \varphi_r)$ is the weighted average total and polarized reflectance of an atmosphere with a pure fine mode and optical depth and the total and polarized re-⁵ flectance of an atmosphere with a pure coarse mode with the same optical depth.

The dimensions of calculated LUT are summarized in Table 1.

Figure 1 represents the flowchart of POLDER algorithm to simultaneously retrieve aerosol optical properties. In the algorithm, cloud pixels are detected and masked out first since the accuracy of aerosol properties retrievals is subject to cloud masking due

to its strong signal. To determine clear sky pixels and heavy aerosol plumes, cloud pixels were filtered out using the POLDER clear sky discrimination method (Bréon, and Colzy, 1999), which used relaxed threshold value and the 3 × 3 pixel technique or inhomogeneous cloud detection.

From the LUT of total reflectance, TOA reflectance at 0.490 μm, and surface reflectance contribution, the initial total AOD is retrieved using the least mean squares fitting method. After that, the initial total AOD, LUT of polarized reflectance, TOA polarized reflectance at 0.675 μm, 0.870 μm, and surface polarized reflectance contribution are used to retrieve the FMF for combination of fine- and coarse-mode, and the adjusted Total AOD.

²⁰ The retrieval algorithm employs the least mean squares fitting method in the form of a series of numerical iteration procedures to search for the computed total and polarization reflectance that best match the measured total and polarized reflectance. The residual term is defined as:

$$\chi = \sum_{w=1}^{3} \sum_{n=1}^{16} [R_{comp}(\lambda_{I}, AOD, FMF, \mu_{s}, \mu_{v}, \Delta\phi) - R_{meas}(\lambda_{I}, AOD, FMF, \mu_{s}, \mu_{v}, \Delta\phi)]^{2}$$
(2)

where *w* is the number of spectral bands, *n* is the scattering angle observations for each pixel. R_{comp} and R_{meas} are computed and measured total and polarized 5694



reflectance, respectably. μ_s is the cosine of solar zenith angle, μ_v is the cosine of view zenith angle, and $\Delta \phi$ is the relative azimuth angle, respectively.

2.2 Aerosol models over East Asia

Aerosols with different properties originate from various sources: sea-salt particles, desert dust, biomass burning and industrial combustions. Aerosols are characterized by their shape, their size, their chemical composition and total amount, which in turn determine their radiative properties. In a good approximation, the optical properties of a particle are determined by the refractive index and size distribution. The refractive index depends on the chemical composition of the particles.

Lee and Kim have studied (2010) the aerosol models using the cluster analysis technique (Omar et al., 2005) based on the AERONET sun-photometer observation over the East Asia. They defined six aerosol optical modes with the bimodal lognormal size distribution. Each aerosol model has somewhat different values of refractive index at particular wavelengths, median particles radius, and standard deviation of size distribution. The six cluster aerosol models of East Asia can represent realistic possibilities of the aerosol properties.

The aerosol size distribution used in this study for fine and coarse model is the mono-modal lognormal size distribution describes as follows by equation (3),

$$\frac{dV}{d\ln r} = \frac{C}{\sqrt{2\pi} * S} \exp\left[-\frac{(\ln r - \ln Rm)}{2(S)^2}\right]$$

²⁰ where *C* is the volume concentration, *Rm* is the particle median radius, *S* is the standard deviation. The detailed parameters of fine model and coarse model size distribution of the study are retrieved from the six cluster aerosol modes of East Asia, which are described in Table 2.

The complex refractive index and size distributions as given by aerosol models were used to study the scattering properties of aerosol particles (single scattering albedo, asymmetry parameter and the phase matrix). The fine aerosol models are assumed



(3)

to be spherical particles which can be used Mie model (Wiscombe, 1981) to calculate the scattering properties of the model. The coarse aerosol models are assumed to be spheroids particles which can be used T-matrix code described in Mishchenko et al. (1996, 1998), to calculate the scattering properties of the model.

5 2.3 Surface reflectance

A precise estimate of the radiation (including polarization of radiation) reflected by the surface is crucial for remote sensing of aerosol properties over land. In this study, over land the surface reflectance is estimated by a mixing model of bare soil and green vegetation spectra, tuned by the normalized differential vegetation index (NDVI) of the satellite scene (von Hoyningen et al., 2003). Thus the method enables the investigation of AOT over land, yielding the regional turbidity situation as well as the identification of aerosol sources like large cities, large fire plumes, haze, small scale dynamical events and also thin cirrus clouds.

Many experimental studies have shown that surface-polarized reflectance is mainly
generated by single reflection of incident radiation off surface facets. Based on these observations, the bidirectional polarized reflectance distribution functions (BPDF) of different surface have been developed for vegetation cover and bare soil. The choice of BPDF model is of crucial importance because land surface exhibit a wide variety of architecture and radiative properties. In this study, the experimental model of Nadal
and Breon (Nadal and Breon, 1999) – (based on NDVI classification) was used to estimate the polarized reflectance in study region.

3 Retrieval results

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To evaluate the performance of the developed algorithm, three different aerosol cases are selected, and retrieval of aerosol optical depth and fine-mode fraction is performed by using TOA multi-angular, multi-spectral, total and polarized measurements.



Figures 2–4 show the false-color images captured by the POLDER on PARASOL satellite, AOD, and FMF from the developed algorithm on 20 March, 6 October, and 25 October in 2010, respectively.

Figure 2 shows dust case on 20 March, 2010 with thick yellowish aerosol layer in the
false-color image. The AOD at 0.870 µm increases over 1.0, and the FMF ranges from
0.2 to 0.3 inferring mixed cases dominate with coarse-mode. Figure 3 shows the thick aerosol layer with AOD over 1.0 is observed over North China Plain with grayish and brownish color in false-color image. The FMF ranges from 0.6 to 0.9 representing the dominance of fine mode aerosol. Figure 4 shows the thin aerosol layer with AOD about
0.2 and FMF about 0.6 inferring mixed cases. From Figs. 2–4, we can see the spatial

variability distribution of the three different cases in Northeast China.

4 Analysis and validation

It is essential to have highly accurate ground-based measurements to evaluate the aerosol optical properties derived using satellite remote sensing. To validate the al-15 gorithm of aerosol retrievals, the results (Total AOD and FMF) were compared to AERONET sun-photometer measurements (Kleidman et al., 2005). A useful ground measurement needs the following conditions to be met: approximate simultaneity between satellites overpass and sun-photometer measurements (30 min before and after the overpass of the sensor), cloudless conditions and good quality sun photometer 20 data.

To estimate the accuracy of retrieved AOD, and FMF from the POLDER measurements, comparison with AERONET sun-photometer observations in Beijing and Xianghe are shown in Figs. 5–6, respectively.

The retrieval AOD and FMF are in good agreement with that from the ground based sun photometer measurements. This preliminary validation is encouraging. However, the limited number of cases makes that further more comprehensive validations are needed.



5 Application

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To evaluate the performance of the developed algorithm, a polluted aerosol event over East Asia, which is observed on 15–22 November 2010, is selected. East Asia is affected by aerosols with different optical properties from fine- to coarse mode. The retrieval of AOD and FMF is performed using TOA multi-angle total and polarized reflectance from POLDER onboard PARASOL satellite.

Fig.7 shows the false-color images captured by the POLDER on PARASOL satellite over the East Asia during 15–22 November 2010. The thickest of the gray-brown aerosols conforms to the North China Plain and the mountain landscape to its south, obscuring the coastlines of Bo Hai and the Yellow Sea. The featureless gray-brown aerosols are so thick that the ground is not visible in parts of the North China Plain.

The fine-mode fraction (FMF), and aerosol optical depth contributed by fine mode (Fine AOD) retrieved using Total AOD and FMF, are shown in Figs. 8–9, respectively, except for the 19 November, and 21 November due to the cloud contaminated.

From Fig.8, we can see that the FMF increased from 0.4 on 15 November to 1.0 on 18 November, and then decreased from 0.9 on 20 November to 0.4 on 22 November. From Fig. 9, we can see that the Fine AOD increased from 0.1 on 15 November to 0.5 on 18 November, and then decreased from 0.3 on 20 November to 0.1 on 22 November. Figures 8 and 9 show the development of a polluted aerosol event during the 15– 22 November 2010.

6 Conclusions

The regional climate change of East Asia is affected by aerosols not only their large amount but also with different optical properties from fine mode to coarse mode causing different impacts. To obtain the regional climate effect of aerosol over East Asia, a measure of the anthropogenic aerosol optical properties are needed.



The main scientific objective of this paper aims to prospects the possibility of simultaneously retrieving the aerosol optical depth, and fine-mode fraction (FMF) over the East Asia using multi-angular, multi-spectral, total and polarized remote sensing measurements, in order to study the anthropogenic aerosol optical properties over East 5 Asia.

A new aerosol retrieval algorithm using multi-angular total and polarized measurements is presented. The algorithm retrieves aerosol optical depth (AOD), fine-mode fraction (FMF) for studying the impact of aerosol on climate change. The retrieval algorithm is based on a lookup table (LUT) which is a function of aerosol optical depth, aerosol optical model (complex with fine mode and coarse mode), surface reflectance

- aerosol optical model (complex with fine mode and coarse mode), surface reflectance model, and viewing and illumination geometries. The information of aerosol models determined using the cluster analysis technique based on the AERONET sun-photometer observation over East Asia. The fine aerosol models are assumed to be spherical particles which can be used Mie model to calculate the scattering properties, while
- the coarse aerosol models are assumed to be spheroids particles which can be used T-matrix code to calculate the scattering properties. A mixing model of bare soil and green vegetation spectra and the Nadal and Breon model for the bidirectional polarized reflectance factor (BPDF) were used to simulate total and polarized surface reflectance of East Asia.

By applying the present algorithm to POLDER measurements, three different aerosol cases of clear, polluted and dust are analyzed to test the algorithm. The comparison of retrieved aerosol optical depth (AOD) and fine-mode fraction (FMF) with those of AERONET sun-photometer observations show reliable results. Preliminary validation is encouraging. Using the new aerosol retrieval algorithm for multi-angular total and polarized measurements, the spatial and temporal variability of anthropogenic aerosol

²⁵ polarized measurements, the spatial and temporal variability of anthropogenic aerosol optical properties over East Asia, which were observed during a heavy polluted event, were analyzed.

The proposed algorithm for retrieving the anthropogenic aerosols optical properties using multi-angular total and polarized measurements has demonstrated its potential



for studying the climate effect of aerosol. However, the limited cases examined so far make comparison difficult, and further validations are needed.

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Table 1. Dimensions of LUTs for aerosol retrieval	١.
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Variable name	No. of entries	Entries
Wavelength	3	0.490 μm,0.675 μm, 0.870 μm
Solar zenith angle (degree)	21	0,4,8,,80
View zenith angle (degree)	21	0,4,8,,80
Relative azimuth angle (degree)	37	0,5,10, , 180
AOD	11	0,0.1,0.2,0.3,0.5,0.8,
		1.0,1.2,1.5,2.0,3.6
FMF	11	0,0.1,0.2, , 1



Aerosol models $Rm(\mu m)$ S m (0.675 μm) m (0.870 μm)Fine 10.2190.5311.480-0.0086i1.485-0.00Fine 20.2570.5351.483-0.0074i1.483-0.00Fine 30.2080.6191.549-0.0024i1.537-0.00Fine 40.1920.5041.458-0.0100i1.468-0.01	
Fine 10.2190.5311.480-0.0086i1.485-0.00Fine 20.2570.5351.483-0.0074i1.483-0.00Fine 30.2080.6191.549-0.0024i1.537-0.00Fine 40.1920.5041.458-0.0100i1.468-0.01	μm)
Fine 2 0.257 0.535 1.483–0.0074i 1.483–0.00 Fine 3 0.208 0.619 1.549–0.0024i 1.537–0.00 Fine 4 0.192 0.504 1.458–0.0100i 1.468–0.01)88i
Fine 3 0.208 0.619 1.549–0.0024i 1.537–0.00 Fine 4 0.192 0.504 1.458–0.0100i 1.468–0.01)78i
Fine 4 0 192 0 504 1 458–0 0100i 1 468–0 01)23i
	02i
Fine 5 0.177 0.474 1.472–0.0088i 1.482–0.00)90i
Fine 6 0.162 0.538 1.535–0.0037i 1.536–0.00)36i
Coarse 1 2.724 0.583 1.480-0.0086i 1.485-0.00)88i
Coarse 2 2.580 0.568 1.483-0.0074i 1.483-0.00)78i
Coarse 3 2.915 0.618 1.458-0.0100i 1.468-0.01	02i
Coarse 4 2.265 0.656 1.472-0.0088i 1.482-0.00)90i
Coarse 5 2.286 0.594 1.535-0.0037i 1.536-0.00)36i
Coarse 6 2.241 0.531 1.549-0.0024i 1.537-0.00)23i

Table 2. Detailed parameters of fine model and coarse model.

The size distribution parameters, median radius (Rm), and standard deviation (S), are based on a lognormal distribution. "m" is the refractive index at the 0.675, 0.870 µm wavelengths.













Interactive Discussion















Fig. 5. Comparison of AOD retrieved present algorithm with those of AERONET observations at Beijing and Xianghe from September to December in 2010.













Fig. 7. False-color images over East Asia captured by POLDER during 15–22 December 2010.







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Fig. 9. Aerosol optical depth contributed by fine mode (Fine AOD) over East Asia during 15–22 December 2010, except for 19 November, and 21 November due to cloud contaminated.

