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2 Ground-based Temperature and Humidity Profiling: Combining Active and  
3 Passive Remote Sensors  
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30 **Abstract**

31

32 Thermodynamic profiles in the planetary boundary layer (PBL) are important observations for a  
33 range of atmospheric research and operational needs. These profiles can be retrieved from  
34 passively sensed spectral infrared (IR) or microwave (MW) radiance observations, or can be  
35 more directly measured by active remote sensors such as water vapor differential absorption  
36 lidars (DIALs). This paper explores the synergy of combining ground-based IR, MW, and DIAL  
37 observations using an optimal estimation retrieval framework, quantifying the reduction in the  
38 uncertainty in the retrieved profiles and the increase in information content as additional  
39 observations are added to IR-only and MW-only retrievals.

40

41 This study uses ground-based observations collected during the Perdigao field campaign in  
42 central Portugal in 2017 and during the DIAL demonstration campaign at the Atmospheric  
43 Radiation Measurement Southern Great Plains site in 2017. The results show that the  
44 information content in both temperature and water vapor is higher for the IR instrument  
45 relative to the MW instrument (thereby resulting in smaller uncertainties), and that the  
46 combined IR+MW retrieval is very similar to the IR-only retrieval below 1.5 km. However,  
47 including the partial profile of water vapor observed by the DIAL increases the information  
48 content in the combined IR+DIAL and MW+DIAL water vapor retrievals substantially, with the  
49 exact impact vertically depending on the characteristics of the DIAL instrument itself.  
50 Furthermore, there is slight increase in the information content in the retrieved temperature  
51 profile using the IR+DIAL relative to the IR-only; this was not observed in the MW+DIAL  
52 retrieval.

53

## 54 1. Introduction

55 High temporal resolution thermodynamic profiles in the planetary boundary layer (PBL)  
56 are needed for a wide range of research and operational weather forecasting needs  
57 (Wulfmeyer et al. 2015). For example, the vertical distribution of water vapor and temperature  
58 changes markedly over the diurnal cycle, the passage of synoptic features such as frontal  
59 boundaries and dry lines can cause very rapid changes in the thermodynamic structure of the  
60 PBL, and the evolution of convective weather with evaporation-driven cold pools impacts both  
61 the temperature and humidity profiles and feeds back on the storm's evolution. Indeed, a large  
62 number of groups have called for improvements in thermodynamic profiling in the PBL, and the  
63 establishment of ground-based networks to provide these datasets to the atmospheric science  
64 community (e.g., Dabberdt et al. 2005; NRC 2009).

65 Progress is being made, albeit perhaps slowly. There are a large number of case studies  
66 using PBL thermodynamic profiling systems to gain insight into how the convective properties  
67 of the atmosphere changes (e.g., Feltz et al. 2003; Cimini et al. 2015; Bluestein et al. 2017;  
68 Toms et al. 2017; Mueller et al. 2017), analyses of long-time series to show the capability of  
69 these systems (Löhnert and Maier 2012; Wagner et al. 2008), and utility for improving short-  
70 term nowcasts and forecasts (e.g., Cimini 2011; Caumont et al. 2016; Hu et al. 2019; Coniglio  
71 2019).

72 In Europe, there are a large number of microwave radiometers that are being  
73 characterized and assimilated (experimentally) into numerical weather prediction models  
74 (Cimini et al. 2018; De Angelis et al. 2017). Activities in the US have focused primarily on field  
75 campaigns, and the Plains Elevated Convection at Night (PECAN; Geerts et al. 2017) in  
76 particular, which deployed a small network of 6 infrared spectrometers in the central US. The  
77 PECAN observations are being used to study a range of atmospheric phenomena both  
78 observationally (e.g., Gasmick et al. 2018; Loveless et al. 2019) and via use in numerical weather  
79 prediction models (Johnson et al. 2018; Degelia et al. 2019).

80 However, these different ground-based remote sensors have generally not been  
81 collocated which makes evaluating the relative differences in the information content of the  
82 observations difficult. This paper takes advantage of two field campaigns where multiple  
83 ground-based remote sensing systems were collocated to evaluate the relative strengths and  
84 weaknesses of these different observations for thermodynamic profiling in the PBL. The two  
85 campaigns are Perdigao, which occurred in central Portugal in May-June of 2017 (Fernando et  
86 al. 2019), and a campaign at the ARM Southern Great Plains site (Sisterson et al. 2016) in May-  
87 June 2017 to compare a newly developed broadband differential absorption lidar for water  
88 vapor profiling with other instruments (Newsom et al. 2020).

## 89 2. Instruments

90 While there are many different instruments that could be included in this analysis, we  
91 will focus on four instruments that have been demonstrated to run operationally in unattended  
92 modes for weeks or longer, and either already are, or will likely soon, become commercially  
93 available. Two of these instruments are passive remote sensors (i.e., they do not transmit  
94 electromagnetic energy to the atmosphere) while two are active remote sensors.

95            *2.1. Microwave radiometer*

96            One type of passive thermodynamic profiler is a microwave radiometer (MWR). MWRs  
97 used for thermodynamic profiling typically have multiple channels along the high frequency  
98 side of the 22.2 GHz water vapor absorption line (i.e., from 22.2 to 31 GHz) and on the low  
99 frequency side of the 60 GHz oxygen absorption complex (i.e., from 51 to 60 GHz). Height-  
100 dependent pressure broadening of the water vapor line allows the retrieval of a coarsely  
101 resolved water vapor profile, whereas temperature profile information is obtained from the  
102 frequency dependent optical depth. Generally speaking, the more transparent frequencies  
103 provide information through a deeper portion of the atmosphere and the optically thick  
104 channels provide information closer to the MWR. Oxygen is well mixed in the atmosphere and  
105 its concentration is known, thus the downwelling radiance observed in the channels that are  
106 primarily sensitive to oxygen can be used to infer the temperature profile. Water vapor  
107 concentration profiles can be determined from the channels that have sensitivity to water  
108 vapor after the temperature profile is known. However, there is some level of absorption due  
109 to oxygen in the 22-31 GHz range and water vapor in the 51-60 GHz range, so retrieval methods  
110 need to account for this ‘cross-talk’, and provide some estimate of the correlated errors in the  
111 retrieved profiles.

112            For this study, we used a 14-channel Humidity and Temperature Profiling (HATPRO)  
113 microwave radiometer (Rose et al. 2005). This is a fourth-generation system, which is part of  
114 the Collaborative Lower Atmospheric Mobile Profiling System (CLAMPS; Wagner et al. 2019).  
115 The instrument specifications are given in Table 1. The radiometric uncertainty in these  
116 observations were determined via a time-series analysis of the observed brightness  
117 temperatures when the atmosphere could be assumed to be quasi-stationary. These values are  
118 provided in Table 1. These radiometric uncertainties are assumed to be uncorrelated between  
119 the different channels.

120            *2.2. AERI*

121            The second passive remote sensor studied here is the Atmospheric Emitted Radiance  
122 Interferometer (AERI). The AERI is a Fourier transform spectrometer designed to measure  
123 infrared radiation emitted by the atmosphere between 3.3 and 19  $\mu\text{m}$  in wavelength (3000 to  
124  $520\text{ cm}^{-1}$ ) with a spectral resolution of  $0.5\text{ cm}^{-1}$ . The AERI was designed specifically for the  
125 Department of Energy’s Atmospheric Radiation Measurement (ARM) program (Knuteson et al.  
126 2004 a,b; Turner et al. 2016a). Its specifications can also be found in Table 1.

127            The radiometric uncertainty in the AERI observations is derived from the imaginary  
128 component of the AERI’s calibration equation (Revercomb et al. 1988), and thus the noise  
129 spectrum can be derived for each sky observation period. Turner and Blumberg (2019) have  
130 demonstrated that the radiometric noise in the AERI observations is spectrally uncorrelated.  
131

132            *2.3. NCAR water vapor DIAL*

133            Water vapor differential absorption lidar (DIAL) work by transmitting pulsed laser energy at  
134 two wavelengths, one of which is selected to have markedly higher water vapor absorption  
135 than the other. These two frequencies are typically referred to as the on-line and off-line

136 frequencies. If the two wavelengths are spectrally close to each other (e.g., within a nm in  
137 wavelength), then many of the terms that describe the ratio of the strength of the  
138 backscattered signals cancel out. The ratio of the on- to off-line return signals is directly related  
139 to the water vapor concentration profile.

140 The National Center for Atmospheric Research (NCAR) has developed a micropulse water  
141 vapor DIAL. The approach used by this lidar is the so-called “narrowband DIAL” approach  
142 wherein the laser emits monochromatic pulses of energy. Thus, because the characteristics of  
143 the absorption line are well known, the method is self-calibrating and no external calibration  
144 source is needed. Narrowband DIAL systems require extremely high spectral purity in the  
145 outgoing laser, as subtle changes in the wavelength (especially for the on-line channel) even for  
146 a small number of laser pulses in the averaging window can introduce biases in the derived  
147 water vapor profile because the incorrect absorption cross-section is used in the derivation.

148 The laser in the NCAR DIAL, henceforth called the nDIAL, emits low pulse energies at high  
149 pulse repetition rate (Spuler et al 2015). The outgoing laser beam is expanded by a portion of  
150 the primary telescope, which makes the lidar system eye-safe. The nDIAL system has its origins  
151 at Montana State University (MSU), wherein commercially available laser diodes developed for  
152 telecommunications were used as the laser source (Nehrir et al. 2012), and MSU continues to  
153 collaborate with NCAR to advance the nDIAL technology. A single photon counting detector is  
154 used to detect the backscattered signals in both the on-line and off-line channels. High  
155 transmission, narrowband interference filters are used to reject energy (e.g., solar background)  
156 outside the desired frequency range of the desired signals. The technical details of this system  
157 are provided in Table 1.

158 The signal-to-noise ratio (SNR) in DIAL systems is strongly dependent upon the strength of  
159 the backscattering signal as a function of range. Aerosol particles provide an efficient scattering  
160 source, and because aerosol concentration decreases markedly above the top of the PBL, the  
161 SNR also drops sharply above this level. However, the actual range wherein the lidar makes  
162 good water vapor measurements is a function of the pulse energy, the efficiency of the  
163 detector system (e.g., size of the telescope, transmission of the detection optics, sensitivity of  
164 the detector), and the vertical profiles of both the aerosol and water vapor concentrations. For  
165 this study, the backscattered photon data were coadded (i.e., photons were accumulated) for  
166 1-minute before deriving the water vapor profile.

167 Virtually all lidar systems have difficulties accurately measuring atmospheric properties  
168 close to the lidar itself. Ultimately, this is due to a mismatch between the outgoing laser beam  
169 and the detector and leads to a systematic error that varies with height. This systematic error  
170 reduces to zero at some range, and the region where the error is nonzero is referred to as the  
171 “overlap” region. For many lidar systems, an empirically determined correction can be applied  
172 to reduce the maximum range of the non-zero overlap error. For the current version of the  
173 nDIAL, approximately the lowest 500 m suffers from a varying overlap correction (S. Spuler,  
174 personal communication), and thus is not used in this analysis.

175 The uncertainty in the nDIAL observations is directly calculated by assuming that the  
176 detected backscatter signal follows a Poisson distribution, and propagating the uncertainty in  
177 the backscatter profile through the DIAL equation. A similar approach was used for the SGP  
178 Raman lidar, and the noise estimate derived from Poisson statistics agrees with that derived  
179 using an autocovariance analysis (Turner et al. 2014).

180 The nDIAL has been deployed in a number of different field campaigns. In particular, the  
181 water vapor profile observed by the nDIAL has been compared to water vapor profiles  
182 measured by radiosondes and independently retrieved from collocated AERI and MWR systems  
183 (Weckwerth et al. 2016). These comparisons demonstrate that the nDIAL agrees well with these  
184 other sensors (e.g., the bias error relative to radiosondes is less than  $0.3 \text{ g/m}^3$ ) and has no  
185 significant day vs. night differences in sensitivity (e.g. due to solar background). In 2018, NCAR  
186 constructed 4 additional units (bringing the total number of nDIAL systems to five), which were  
187 deployed in a network configuration at the Department of Energy's Atmospheric Radiation  
188 Measurement (ARM) Southern Great Plains site (SGP, Sisterson et al. 2016) from April through  
189 July 2019.

190

#### 191 *2.4. Vaisala water vapor DIAL*

192 Vaisala is also developing a micropulse water vapor DIAL (henceforth called the vDIAL). This  
193 lidar system is based upon the CL51 ceilometer design; a ceilometer used operationally around  
194 the world. Unlike the nDIAL, the vDIAL transmits a spectrally broad pulse of laser energy that  
195 encompasses several water vapor absorption lines ("on-line channel") and in a nearby spectral  
196 window with no absorption lines ("off-line"). This approach is less technically demanding on  
197 the laser specifications (e.g., the requirement for high spectral purity is much smaller), but the  
198 tradeoff is that the measurement is no longer self-calibrating (Newsom et al. 2020). For this  
199 particular broadband DIAL implementation, the reference measurement is a well-calibrated  
200 surface level in-situ sensor integrated into the DIAL, and measurements from this sensor are  
201 used in an iterative retrieval approach to derive the water vapor profile (Newsom et al. 2020).

202 The vDIAL actually consists of two independent broadband DIAL systems integrated  
203 together. The first system has a wide field-of-view, thereby resulting in a very small overlap  
204 region and allowing the lidar to profile water vapor down to 50 m above ground level (AGL).  
205 However, this wide field-of-view results in additional solar background photons and the SNR  
206 decreases very rapidly with range. The second system has a much narrower field of view, which  
207 results in a deeper overlap region but also enables the lidar to profile water vapor much higher.  
208 Cross-talk between the two independent systems is eliminated by operating one system for 5-s,  
209 and then operating the other for the next 5-s. The water vapor profiles are derived  
210 independently for the wide and narrow field-of-view systems, and then they are merged  
211 linearly between 300 and 400 m. Additional details on this system are provided in Newsom et  
212 al. (2020).

213 The vDIAL system uses analog detection, and thus the uncertainties in the backscatter do  
214 not follow a Poisson distribution like in the nDIAL. Instead, the uncertainties in the vDIAL water  
215 vapor profile are estimated by deriving water vapor profiles every 2-minutes, and computing  
216 the standard deviation from these data at each height across a 20-minute window to provide  
217 the uncertainty in the standard 20-min average water vapor profile.

218 The vDIAL system was deployed to the ARM SGP in May-June 2017, where it was compared  
219 against water vapor profiles observed by the ARM Raman lidar (Turner et al. 2016b; Turner and  
220 Goldsmith 1999), radiosondes, and retrieved from the AERI.

### 221 3. Retrieval algorithm

222 Passive spectral radiometers, such as MWRs and AERIs, measure radiance, and  
 223 thermodynamic profiles must be retrieved from these observations. However, this is an ill-  
 224 posed problem, as there could exist multiple solutions (e.g., different thermodynamic profiles)  
 225 that would yield the observed radiance. Thus, the retrieval algorithm must incorporate  
 226 additional information to constrain the solution to a potentially valid solution. Here, we have  
 227 elected to use the optimal estimation approach (Rodgers 2000; Maahn et al. 2020), which is a  
 228 1-dimensional variational method. We have modified the AERIOE optimal estimation retrieval  
 229 algorithm (Turner and Löhnert 2014) to use AERI and/or MWR data, together with an *a priori*  
 230 dataset that specifies how temperature and humidity covary with height, as input. This  
 231 algorithm has already been modified to include additional observations, such as water vapor  
 232 lidars (Turner and Blumberg 2019), and thus in these cases the retrieval is finding the  
 233 temperature and humidity profiles that satisfy both the observed radiance and the (partial)  
 234 profile of water vapor observed by the DIAL simultaneously.

235 We desire to retrieve the thermodynamic profile  $X$  (i.e., both the temperature and  
 236 humidity profile, so  $X = \left[ [T_1, T_2, \dots, T_p]^T, [q_1, q_2, \dots, q_p]^T \right]$  where  $T_i$  and  $q_i$  are the temperature  
 237 and water vapor mixing ratio in the  $i^{\text{th}}$  vertical bin. We will refer to  $X_n$  as the state vector on  
 238 the  $n^{\text{th}}$  iteration. The observations from the AERI, MWR, and DIALs will form the observation  
 239 vector  $Y$ . A forward model  $F$  is used to compute a pseudo observation  $F(X)$ , which is then  
 240 compared with  $Y$ . If they disagree, then the state vector is modified to provide a new estimate  
 241 ( $X_{n+1}$ ) following

$$242 \quad X_{n+1} = X_a + (\gamma S_a^{-1} + K_n^T S_\epsilon^{-1} K_n)^{-1} K_n^T S_\epsilon^{-1} (Y - F(X_n) + K_n (X_n - X_a)) \quad (\text{Eq 1})$$

243 where  $K$  is the Jacobian of  $F$ ,  $X_a$  is the mean *a priori*, and  $S_a$  is the covariance matrix of the *a*  
 244 *priori* dataset (see Section 3.2).  $S_\epsilon$  denotes the combined forward model and observation error  
 245 covariance matrix. The observation error for the single instruments is considered as described  
 246 in the subsection of Section 2 and the forward model uncertainty is discussed in Section 3.1.  
 247 The superscripts  $^T$  and  $^{-1}$  denote matrix transpose and matrix inverse, respectively. Because  $F$  is  
 248 moderately non-linear in  $X$ , optimal estimation is formulated as an iterative method, where the  
 249 subscript  $n$  indicates the iteration number; for our studies, we typically start with  $X_0 = X_a$ . The  
 250 scalar  $\gamma$  is used to stabilize the retrieval when  $n$  is small to improve the convergence rate and  
 251 decreases to unity as  $n$  increases; the description of how  $\gamma$  is used is explained in Turner and  
 252 Löhnert (2014). Note that due to the non-linearity of the forward models applied for the  
 253 microwave and infrared radiative transfer, the Jacobians are required to be recomputed for  
 254 each iteration. We continue to iterate Eq 1 until

$$255 \quad (F(X_{n+1}) - F(X_n))^T (K_n S_a K_n^T + S_\epsilon)^{-1} (F(X_{n+1}) - F(X_n)) \ll m \quad (\text{Eq 2})$$

256 where  $m$  is the dimension of  $Y$ .

257 **3.1. Forward models**

258 As shown by Eq 1, a forward model is needed to transform the current state vector  $X_n$  into  
259 the observational domain so it can then be compared to the observation vector  $Y$ . In this  
260 study, four different forward models are used (one for each instrument).

261 For the passive radiometers, the forward models are line-by-line radiative transfer models.  
262 The monochromatic MonoRTM radiative transfer model (Clough et al. 2005; Payne et al. 2011)  
263 is used to simulate MWR observations, and the line-by-line radiative transfer model LBLRTM  
264 (Clough et al. 1995; Mlawer and Turner 2016) is used to simulate the AERI. In the latter, the  
265 monochromatic spectra are convolved with a tophat function in the time domain and then  
266 transformed to the spectral domain via a Fourier transform; this applies the AERI's lineshape  
267 function to the calculation. The vertical grid used in these calculations is specified by the *a*  
268 *priori* data. The pressure profile is computed from the temperature and humidity data from the  
269 current state vector using the hypsometric equation. The spectral regions used in the retrieval  
270 are given in Table 1. In the infrared, many trace gases have absorption bands, and while the  
271 spectral regions used in the retrieval are primarily sensitive to water vapor and carbon dioxide  
272 (where the latter provides the sensitivity to temperature), there are minor contributions to the  
273 downwelling radiance by other gases. We utilize the US Standard Atmosphere to provide  
274 profiles of these other trace gases for this study, but our results are insensitive to this choice.

275 To incorporate the DIAL data into Eq 1, a forward model is needed for each lidar also. The  
276 purest forward model would simulate the profiles of backscatter energy that would be  
277 observed in both the on- and off-line channels for a given water vapor profile. We could have  
278 also used the profile of differential optical depth between range bins as our observation.  
279 However, we have elected to use the derived water vapor concentration from each lidar in the  
280 observation vector. This results in a trivial forward model for each lidar: essentially, the  
281 forward model just converts water vapor mixing ratio to water vapor number concentration for  
282 the nDIAL. The output of the vDIAL is water vapor mixing ratio, so that forward model is just  
283 the unity function.

284 **3.2. The *a priori* dataset**

285 There has been only one campaign that had an AERI, HATPRO, and water vapor DIAL  
286 collocated with each other: the Perdigao campaign that was held in Portugal from 1 May to 15  
287 June 2017 (Fernando et al. 2019). We specified a 48-level vertical grid for the retrievals,  
288 starting at 0 m above ground level (AGL), the next level at 10 m AGL, and each subsequent  
289 height bin is 10% thicker than the previous one. Although ~150 radiosondes were launched  
290 during Perdigao, these are not enough to accurately compute the level-to-level covariance for  
291 the 96-element state vector (i.e.,  $X$  has 48 levels for temperature, and 48 for water vapor).  
292 Therefore, we used 1571 radiosondes launched in the months of April, May, June, and July over  
293 the last decade by the Portuguese weather service at Lisbon to compute  $X_a$  and  $S_a$ . This *a*  
294 *priori* information was used in all of the retrievals shown here.

295 The vDIAL was not part of the Perdigao deployment, so we use AERI and vDIAL data  
296 collected between 15 May to 12 June 2017 at the SGP site instead. Both the Perdigao and SGP  
297 datasets used here were collected in the spring, but the SGP climatology is different than that in  
298 Portugal necessitating the use of a different *a priori* dataset. We have used over 2000



299 radiosondes launched at SGP during the months of April, May, and June over the past decade to  
 300 derive the *a priori* information for this site.

### 301 3.3. Characterizing the information content in the retrieved profile

302 One advantage of the optimal estimation framework is that the uncertainties in the  
 303 retrieval, which includes contributions from both the uncertainties in the observations and *a*  
 304 *priori* as well as the sensitivity of the forward model, is a direct output of the framework. If the  
 305 “optimal” solution is  $X_{op}$ , which is the solution after both  $\gamma = 1$  and Eq 2 indicates that the  
 306 solution has converged after  $nc$  iterations, then the covariance of the optimal solution is given  
 307 by

$$308 S_{op} = (S_a^{-1} + K_{nc}^T S_\epsilon^{-1} K_{nc})^{-1} \quad (\text{Eq 3})$$

309 We will look at the square root of the diagonal elements of  $S_{op}$  to quantify how the  $1\text{-}\sigma$   
 310 uncertainties of the retrieved profiles change as different instrument combinations are used in  
 311 the observation vector.

312 A second advantage of this method is that the averaging kernel  $A$  provides a direct estimate  
 313 of the sensitivity of the retrieved profile at each height to perturbations at that height. This  
 314 matrix is computed as

$$315 A = (S_a^{-1} + K_{nc}^T S_\epsilon^{-1} K_{nc})^{-1} K_{nc}^T S_\epsilon^{-1} K_{nc} = I - S_{op} S_a^{-1} \quad (\text{Eq 4})$$

316 The diagonal components of  $A$  provides the degrees of freedom for signal (DFS; Rodgers 2000)  
 317 for each height in the retrieved profile. If the observations had very high information content  
 318 at each level of the retrieved profile, then the diagonal elements of  $S_{op}$  would be small relative  
 319 to the diagonal elements of the *a priori*, and thus the trace of  $A$  would approach the dimension  
 320 of  $X$ . The total DFS, which is equal to the trace of  $A$ , provides a metric for how many  
 321 independent pieces of information exist in the observation.

322 For this study, we recognize that the matrices  $A$ ,  $S_{op}$ , and  $S_a$  really have four equal sized  
 323 quadrants that correspond to

$$324 \begin{bmatrix} (T, T) & (T, q) \\ (q, T) & (q, q) \end{bmatrix}$$

325 We will look at the portions of  $A$  and  $S_{op}$  that correspond to  $(T, T)$  and  $(q, q)$  independently.  
 326 Furthermore, as we will see, the DFS is typically much smaller than unity, so we will look at the  
 327 profile of the cumulative DFS (cDFS), as this allows us to quickly determine how many  
 328 independent levels are below some specified height, which is advantageous when talking about  
 329 where in the vertical the different instruments provide sensitivity to changes in temperature  
 330 and water vapor.

331 We want to highlight that even though lidars make explicitly range resolved measurements,  
 332 their information content in the derived water vapor profile is not the same as the number of  
 333 range bins. The actual information content at height  $z$  depends strongly on the noise level of  
 334 the observation there. Even direct derivations of water vapor from lidar signals would benefit  
 335 from being cast into a retrieval framework similar to what we’ve specified in Eq 1 because then  
 336 the *a priori* information could be used to constrain the derived water vapor when the  
 337 instrument’s SNR decreases (e.g., Sica and Haefele 2016).

## 338 4. Results

339 Several studies have demonstrated that ground-based thermodynamic retrievals in the PBL  
340 using only AERI observations have 2-4 times larger total DFS in both temperature and water  
341 vapor than retrievals that use only microwave data (Löhnert et al. 2009; Blumberg et al. 2015;  
342 Wulfmeyer et al 2015). However, what is not known is how the information content changes  
343 when partial profiles of water vapor from a differential absorption lidar (since the DIAL  
344 observations extend only from the top of the region where full overlap is achieved to a height  
345 where its SNR becomes small) are included in a retrieval considering the synergy of AERI, MWR,  
346 and nDIAL or vDIAL. For example, does including a partial water vapor profile in the retrieval  
347 result in AERI+DIAL and MWR+DIAL having equivalent cDFS for water vapor? Does including a  
348 partial water vapor profile in a simultaneous retrieval of  $T(z)$  and  $q(z)$  (as we are doing here in  
349 Eq 1) improve the temperature profile in any way?

350 In order to answer these questions, we performed eight sets of retrievals using data from  
351 the Perdigao field campaign in Portugal (Table 2): four were using passive-only measurements  
352 (MWRz, MWRzo, AERI, and AERI+MWRz), and four included the nDIAL together with those  
353 passive measurements. “MWRz” denotes the case when only zenith-pointing MWR brightness  
354 temperature observations were used in the retrieval, whereas “MWRzo” denotes the case where  
355 both zenith and off-zenith (i.e., “oblique” elevation scans) are used. Crewell and Löhnert (2007)  
356 demonstrated that adding elevation scan observations at frequencies where the atmosphere is  
357 optically thick, and assuming horizontal homogeneity of the PBL, resulted in a marked increase  
358 in the information content and hence accuracy of the retrieved temperature profile. However,  
359 only observations made at frequencies above 55 GHz are used in these elevation scans. Even at  
360 low elevation angles, frequencies below 55 GHz are too transparent and thus the assumption of  
361 horizontal homogeneity fails very frequently (Crewell and Löhnert 2007).

362 As the vDIAL will soon be the first commercially available DIAL instrument for water vapor  
363 profiling (H. Winston, personal communication), a major objective is to evaluate how including  
364 this lidar dataset with passive observations changes the information content in the retrieved  
365 profiles. In addition, we show the impact of the vDIAL relative to the nDIAL on our retrievals.  
366 However, vDIAL (ARM SGP) and nDIAL (Perdigao) observations are only available at different  
367 locations with different *a priori* datasets. In order to overcome this issue, the comparisons were  
368 carried out in relation to the AERI instruments, which operated at both sites. The comparison of  
369 the AERI-only from ARM-SGP and Perdigao allows us to characterize the impact of the prior on  
370 the retrievals, since the two AERI instruments deployed in Portugal and at the SGP site have  
371 similar error characteristics (not shown). Ultimately, we have looked at the differences  
372 between the AERI-only and AERI+xDIAL retrievals (where x is either “v” or “n”) at the two sites.

### 373 4.1. Case study example

374 To illustrate the differences between the various passive-only and passive+active retrievals,  
375 we selected a case during Perdigao on 15 May 2017 at 05:07 UTC. This is a clear sky event, and  
376 is representative of the retrieval quality during the entire field campaign. Figure 1 shows the  
377 retrieved temperature (panel A) and water vapor mixing ratio (WVMR, panel B), and the  
378 associated  $1-\sigma$  uncertainties of each (panels C and D, respectively) derived from the square root  
379 of the diagonal of the retrieval error covariance  $S_{op}$ . The black line in panels A and B denote

380 the coincident radiosonde, whereas the other colors denote the different passive-only  
381 retrievals.

382 All three passive-only retrievals (MWRzo, AERI, and AERI+MWRzo) identify the surface-  
383 based inversion, although the retrievals that include the AERI capture it more accurately (Fig  
384 1A). Furthermore, the retrievals that include the AERI are able to better match the radiosonde  
385 temperature observations above 1.5 km, whereas the MWRzo retrieval is showing a bias at  
386 those altitudes. None of the three retrievals are able to capture the small-scale variability in the  
387 vertical observed by the radiosonde due to the relatively coarse vertical resolution of the  
388 retrievals. The uncertainties in the MWRzo temperature retrievals are about 50% larger (or  
389 more) over the lowest 3 km relative to the AERI retrievals (Fig 1C), which agrees qualitatively  
390 with the differences to the radiosonde seen in Fig 1A.

391 The water vapor retrievals (Fig 1B) show two basic vertical patterns: the MWRzo retrieval is  
392 markedly drier than the radiosonde below 1 km, whereas the AERI and AERI+MWRzo retrieval  
393 starts dry, then becomes too wet (between 500 and 1000 m), and then becomes drier than the  
394 radiosonde above 1500 m. Interestingly, the nDIAL water vapor profile is also drier than the  
395 radiosonde below 1500 m, and agrees better with the MWRzo profile. However, the retrievals  
396 that use the AERI data have markedly smaller uncertainties than the MWRzo below 1.5 km;  
397 above that height, the uncertainty in the MWRzo is smaller than the AERI, although the  
398 AERI+MWRzo retrieval has the smallest uncertainties over the entire lowest 3 km as would be  
399 expected for a variational retrieval method.

400 Including the nDIAL data above 500 m into the retrieval, and thus finding a solution that  
401 simultaneously fits both the observed radiance and the partial WVMR profile of the DIAL within  
402 their uncertainties, yields the results shown in Fig 2. The largest impact, not surprisingly, is on  
403 the retrieved water vapor profile (Fig 2B). The inclusion of the nDIAL data forces the retrievals  
404 that also include the AERI to reduce the amount of water vapor between 500 and 1000 m  
405 (where the AERI-based retrievals were too wet in Fig 1B), which has the impact of increasing  
406 the amount of water vapor in the AERI retrievals below 500 m (Fig 2B), resulting in the  
407 AERI+nDIAL and AERI+MWRzo+nDIAL agreeing much better with the radiosonde. Between 800  
408 and 1500 m, the MWR+nDIAL retrieved profile is essentially the same as the nDIAL profile,  
409 suggesting that the MWR is not adding any significant information to the DIAL's observation.  
410 The impact of the nDIAL data on the water vapor uncertainty profiles can clearly be seen in Fig  
411 2D, where all retrievals have a similar uncertainty above about 800 m where the DIAL data are  
412 being used. Including the DIAL data into the retrievals has a minor impact on the retrieved  
413 temperature profiles, as all three seem to agree a bit better qualitatively with the radiosonde  
414 above 1000 m (comparing Fig 2A with Fig 1A), and the  $1-\sigma$  uncertainties in temperature are  
415 slightly smaller (Fig 2C with Fig 1C).

#### 416 *4.2. Comparing mean uncertainty profiles*

417 While the case study above may be representative, the quality of a retrieval (i.e., its  
418 uncertainty and information content) is case specific. To provide a more complete picture of  
419 how the different passive-only and active+passive retrievals compare, we computed the mean  
420  $1-\sigma$  uncertainty profiles from all of the retrievals performed during Perdigao, as a wide range of  
421 environmental conditions (e.g., the surface temperature ranged from approximately 9 to 33 °C  
422 and the precipitable water vapor from 1.1 to 3.1 cm) were observed during the 5-week

423 campaign. Figure 3 shows these mean uncertainty profiles for temperature (left) and water  
424 vapor (right) for the different passive-only (solid lines) and active+passive (broken lines), and  
425 Table 2 provides the mean values at 3 different heights.

426 Considering the passive-only retrievals, combining the AERI and MWR together has little  
427 impact on the resulting temperature retrieval in the lowest 3 km or on the water vapor retrieval  
428 below 1.5 km, compared to the AERI-only retrieval. However, the MWRz and MWRzo  
429 outperform the AERI for water vapor above 2 km. Most strikingly, the benefit of the passive  
430 retrieval synergy can be seen for water vapor above 1.5 km, where the improvement is up to  
431 30% compared to the single sensor retrievals. Adding the elevation scanning data to the MWR  
432 retrieval (i.e., the MWRzo vs MWRz) results in a smaller uncertainty in the temperature profile,  
433 especially below 400 m.

434 Including the nDIAL data into the retrievals greatly reduces the  $1-\sigma$  uncertainty in the water  
435 vapor profiles for all active+passive retrievals (relative to the passive-only results), and results  
436 in a slight decrease in the temperature uncertainty also. The addition of the nDIAL data to  
437 either the MWR- or AERI-based retrievals results in smaller uncertainties in water vapor than  
438 either the lidar by itself (dotted black line) or the passive-only retrievals (Fig 3 right). The AERI-  
439 based retrievals show smaller uncertainties than the MWR-based retrievals, with the exception  
440 in the water vapor retrievals above 2 km where the MWR-based retrieval has a smaller  
441 uncertainty than the AERI retrieval. The uncertainty in the AERI+nDIAL water vapor retrieval  
442 between 500 m and 2 km, where the nDIAL data are used, is slightly smaller than the  
443 uncertainty in the MWRz+nDIAL retrieval, suggesting that the AERI is adding more information  
444 to the DIAL observations than the MWR. However, above 2 km the combination of all sensors  
445 has distinguishably the best performance, indicating that all instruments are contributing to the  
446 sensor synergy. In quantitative numbers, the WVMR can be retrieved via sensor synergy with  
447 accuracies between 0.4 and 0.6 g kg<sup>-1</sup> in the lowest 3 km, which between 1 and 2 km (the region  
448 where DIAL shows its optimal performance), is an uncertainty reduction of up to 50% compared  
449 to the passive retrieval synergy.

450

### 451 *4.3. Comparing bias profiles*

452 Figure 4 shows the bias profiles in temperature and humidity relative to radiosondes  
453 launched during Perdigao. The radiosondes were launched within 100 m of the remote  
454 sensors, and 169 individual comparisons are included in these bias profiles.

455 The temperature bias profiles (Fig 4, left) demonstrate that the retrievals that include AERI  
456 data have markedly smaller biases than the retrievals that did not. The inclusion of the nDIAL  
457 observations with the AERI (i.e., AERI+nDIAL, AERI+MWRz+nDIAL) did not markedly change the  
458 bias relative to the AERI-only and AERI+MWRz. However, for the retrievals that use the MWR  
459 data and not the AERI, the inclusion of the nDIAL data did result in smaller temperature biases  
460 above approximately 1 km.

461 The water vapor mixing ratio bias profiles (Fig 4, right) illustrate that the MWRz-only and  
462 MWRzo-only profiles had markedly larger magnitudes than the retrievals that included AERI  
463 data. Including nDIAL data into these MWR-based retrievals (i.e., the MWRz+nDIAL and  
464 MWRzo+nDIAL) resulted in smaller mixing ratio biases above 500 m (recall the nDIAL data  
465 below 500 m were not used in this analysis due to known systematic issues), but that the water

466 vapor bias below 600 m was largely unchanged. Similarly, including the nDIAL data into the  
467 AERI-based retrievals also reduced the size of the water vapor bias above 1 km, although the  
468 impact of this additional dataset was smaller because the accuracy in the water vapor retrievals  
469 above 1 km is better for AERI-only retrievals relative to MWRz-only and MWRzo-only retrievals.  
470

#### 471 4.4. Comparing mean cDFS profiles

472 The optimal estimation framework used in this study uses the *a priori* to help constrain the  
473 ill-posed retrieval, thereby allowing the algorithm to converge to a realistic solution more  
474 frequently. Looking at the DFS profile, especially when summed with altitude from the surface  
475 (called here the cumulative DFS profile), enables one to understand where the independent  
476 data in the observations are located vertically. Figure 5 shows the mean cumulative DFS  
477 profiles for the different retrievals; mean values at three specific heights are provided in Table  
478 3.

479 There are several important features in this figure. First, adding the elevation scanning data  
480 to the MWR retrieval (i.e., comparing the MWRz-only vs. MWRzo-only) increases the total DFS  
481 for temperature at 3 km by 0.4 (from 2.15 to 2.57), with almost all of this increase in the first  
482 500 m. [Note, however, that we have only included a single additional elevation angle to the  
483 MWRzo (Table 1), and the inclusions of additional elevation angles would result in a slight  
484 increase of the cDFS for temperature.] The AERI-only temperature retrieval has more  
485 information (3.87) in the lowest 500 m than the MWRzo-only retrieval has in the lowest 3 km  
486 (2.57). Most of the information in the temperature retrievals is below 1.5 km, as the cDFS  
487 profiles become relatively constant above that level; this suggests that these passive-only and  
488 active+passive temperature retrievals will have limited ability to retrieve the structure of the  
489 temperature profile above that height.

490 The passive-only retrievals of water vapor show less total DFS (using the value at 3 km  
491 height) during Perdigoao relative to datasets at other field campaigns (e.g., Turner and Löhnert  
492 2014; Blumberg et al. 2015). This is likely due to the spread in the covariance of the prior,  
493 because if the prior had (hypothetically) negligible spread then the derived information content  
494 from the observations would be vanishingly small. Nonetheless, we can still use this prior to  
495 demonstrate how the addition of the DIAL data to the retrievals changes the information  
496 content. The cDFS profiles for the water vapor retrievals clearly show the impact of including  
497 the nDIAL data above 500 m, as the cDFS profiles for the active+passive retrievals are markedly  
498 larger above that height than the passive-only retrievals (i.e., with values between 6 to 7  
499 compared to 2 to 3 at 3 km). The additional information on water vapor in the AERI below 500  
500 m relative to the MWR is clearly seen. However, the lidar does not always provide data to the  
501 same altitude and its noise levels can depend on atmospheric conditions (e.g., if there is a cloud  
502 above the lidar or not), and thus the spread in the cumulative DFS profiles was quite large (e.g.,  
503 from 2.0 to 9.4 for the MWRz+nDIAL at 3 km height; Table 3).

#### 504 4.5. Impact of clouds

505 One of the often-stated advantages of MWR-based retrievals, relative to infrared-based  
506 retrievals, is the ability to profile through clouds because the optical thickness of the cloud is  
507 markedly smaller in the microwave relative to the infrared for a given liquid water path (LWP).

508 Figure 6 shows cDFS profiles from the MWRz-only and AERI-only temperature and water vapor  
509 retrievals during a 2h period when the sky transitioned from virtually clear sky to overcast.  
510 Three profiles with different LWP amounts (2, 10, and 60 g m<sup>-2</sup>, where the infrared is essentially  
511 opaque for the last – Turner 2007) are shown. The cloud base was at 1100 m and was assumed  
512 to be 100 m thick (there was no way to determine cloud top from other observations at the  
513 site). First, notice that as the cloud becomes optically thicker, the retrievals have more  
514 information about the temperature at cloud base. Second, the cloud becomes opaque in the  
515 infrared quickly, hence the cumulative DFS profile becomes essentially constant (especially for  
516 water vapor) above the cloud as the LWP values approach 60 g m<sup>-2</sup>. Meanwhile, the cloud is  
517 semi-transparent in the microwave for all LWP values, which is seen by the increasing cDFS  
518 profile (especially for water vapor) above the cloud. However, there is still only a small amount  
519 of information in the observations at heights above 1 km in the MWR (see left-hand panel of Fig  
520 5), and thus the increase in the information content in the MWR retrieval above the cloud is  
521 relatively limited.

522 The accurate understanding of where the information exists vertically is useful in order to  
523 properly assimilate these profiles into a numerical weather prediction model. There is often  
524 significant level-to-level correlation in the uncertainties of profiles retrieved from passive  
525 remote sensors (e.g., see Figure 10 of Turner and Blumberg 2019), and most data assimilation  
526 systems are not yet configured to handle correlated error in the observations. Coniglio et al.  
527 (2019) used the cDFS profile to identify the heights that should be assimilated to minimize the  
528 amount of correlated error from the retrieved profiles. Starting at a specified height (e.g., 50  
529 m), they identified heights where the cDFS had increased by 1 above that height, and this  
530 process continued until they either were unable to identify any other points or had reached the  
531 maximum height that they wanted to assimilate. This is illustrated by the dots on the profiles in  
532 Fig 6, with the first height taken at 50 m. For the AERI-retrieved profiles, three levels would be  
533 assimilated below the cloud with an additional level at cloud base or just above; the height of  
534 all of the temperature levels is pretty consistent for these three profiles. For the MWR, only  
535 two levels would be assimilated due to the lower information content in the microwave  
536 observations, with the height of the second point changing dramatically due to how the cloud  
537 influences the vertical distribution of the DFS profile. Again, we remind the reader that the  
538 total DFS seen in this example is lower than that seen using this same retrieval framework in  
539 other field campaigns; we attribute this to the lack of spread in the *a priori* dataset used at  
540 Perdigao.

#### 541 4.6. Sensitivity to the nDIAL vs. vDIAL

542 The impact of adding any new observation depends partially on its error covariance matrix,  
543 as observations with larger uncertainties will add less information to the retrieved profile than  
544 observations with smaller uncertainties. For many lidars, coadding photon counting data in  
545 either time or altitude reduces the random errors, and thus would increase the information  
546 content and impact of using these lidar data in retrievals such as these. However, other  
547 features of the observations are also important. For example, during Perdigao, the lowest  
548 range gate that was considered useful from the nDIAL was at 500 m; data below that level  
549 suffered from systematic errors associated with the overlap function of the lidar (S. Spuler,  
550 personal communication). However, the vDIAL was designed to make good measurements at

551 50 m above the surface, although generally speaking its maximum range is much less (order 1  
552 km; Newsom et al. 2020) than the nDIAL system (which frequently makes good water vapor  
553 measurements to altitudes well above 2 km). A natural question is how would the results  
554 already shown change if the vDIAL system was used instead of the nDIAL?

555 Unfortunately, this isn't straight-forward to answer as the vDIAL was not collocated with the  
556 other Perdigao instruments. Instead, we use the 6-week deployment of the vDIAL at the ARM  
557 SGP site (Newsom et al. 2020), which has an AERI with similar noise characteristics as the AERI  
558 deployed at Perdigao, as a surrogate. However, different *a priori* datasets were used for the  
559 retrievals at the two sites, which impacts the retrievals and hence the analysis. To help adjust  
560 for the contribution of the two priors, we performed AERI-only retrievals and AERI+vDIAL  
561 retrievals at the SGP so that we could look at the difference between the two, and compare  
562 that to the difference between the AERI-only and AERI+nDIAL retrievals at Perdigao (Figure 7).

563 The impact of the vDIAL data on the water vapor retrieval is most significant between 300  
564 and 1500 m and reaches relative values of up to 50% uncertainty reduction compared to the  
565 AERI-only retrieval. Above 1500 m, the AERI+vDIAL WVMR uncertainties increase quickly with  
566 height and approach the AERI-only uncertainties at 3 km. The AERI+nDIAL uncertainties are  
567 very similar to the AERI-only below 500 m (because the nDIAL data is not available at those  
568 levels), but are approximately 2x smaller than the AERI-only for all height between 500 m and 3  
569 km. Further, the change in the cDFS between 500 m and 3 km is larger for the nDIAL system  
570 relative to the vDIAL (Table 3). Thus, the ability of the nDIAL to see deeper into the troposphere  
571 than the vDIAL is clearly shown. Interestingly, the water vapor uncertainty in the AERI+vDIAL is  
572 smaller than the AERI+nDIAL in the 500 to 900 m range; however, this could easily be changed  
573 by adjusting how the DIAL data were coadded in the nDIAL (which had 1-min temporal  
574 resolution relative to the 20-min temporal resolution of the vDIAL – see Table 1).

575 Perhaps most noteworthy is the relative impact of the two DIALs on the retrieved  
576 temperature profile. The addition of the vDIAL data has almost no impact on the uncertainty or  
577 the cDFS profile relative to the AERI-only (Fig 7, Tables 2 and 3), whereas the nDIAL has a  
578 marked impact on the retrieved temperature profile in the range from 500 m to 2.5 km with an  
579 reduction of the uncertainty of up to 0.25 K compared to the AERI-only retrieval. Here, the  
580 instrument synergy is obtained through a more exact determination of the water vapor profile  
581 by the nDIAL, which enables the AERI to reach a higher DFS value for temperature.

## 582 5. Conclusions

583 Many applications require profiles of temperature and humidity in the PBL. However, the  
584 accuracy and information content from different ground-based remote sensing instruments is  
585 not the same. Previous work (e.g., Löhnert et al. 2009; Blumberg et al. 2015) demonstrated  
586 that there is more information content in both temperature and water vapor from spectral  
587 infrared measurements (such as made by the AERI) than in spectral microwave radiometer  
588 measurements. These results depend strongly on the characteristics of the instrument systems  
589 being used; for example, if future generation MWRs are improved to have smaller random  
590 errors, then the information content in the observations would increase. The on-line python  
591 modules provided by Maahn et al. (2020) can be used to explore how the information content  
592 would change for different assumed random error levels in the MWR.

593 This study investigated the impact of ground-based sensor synergy for PBL thermodynamic  
594 profiling, and in particular, how the information content and random errors would change if an  
595 active remote sensor such as a water vapor DIAL was included into the retrieval. An open  
596 question going into this research was whether the inclusion of the water vapor DIAL  
597 observations with MWR radiance observations would have the same information content as  
598 retrievals that used the DIAL with the AERI observations. An important aspect of this study is  
599 that the same *a priori* data and retrieval framework were used for all of the different retrievals  
600 shown in this paper, which is crucial to truly quantify the differences as different retrieval  
601 frameworks can result in markedly different retrievals (Maahn et al. 2020). Furthermore, the  
602 2017 NASA Decadal Survey recommended an increased focus on thermodynamic profiling of  
603 the atmospheric boundary layer from space (National Academies 2018), and coupling passive  
604 microwave and infrared with active DIAL remote sensing is one possible solution. We have  
605 shown that including the DIAL data increases the water vapor information content and reduces  
606 water vapor errors in both the AERI+DIAL and MWR+DIAL retrievals, relative to the passive-only  
607 retrievals. However, the AERI+DIAL continues to have more information on water vapor than  
608 the MWR+DIAL. The best retrieval performance is observed when all three instruments are  
609 combined in one retrieval. Improvements are shown that decrease the uncertainty by 50%  
610 compared to passive-only retrievals between 1 and 2 km. At Perdigao, the AERI is shown to  
611 dominate retrieval accuracy in the lowest 500 m, from 500 m to 2 km it is the DIAL that  
612 primarily determines the accuracy, and above 2 km the three instruments complement each  
613 other optimally to obtain the best solution. Furthermore, the addition of the water vapor DIAL  
614 observations (slightly) improves the information content in temperature retrievals from the  
615 AERI+DIAL, but has no impact on the temperature profiles for the MWR+DIAL.

616 Passive ground-based remote sensors are relatively common, as these technologies are  
617 more mature, have been commercially available for several decades, and have been operated  
618 in networks (e.g., Caumont et al. 2016; Geerts et al. 2017; Yang and Min 2018). The recent  
619 advances in water vapor DIAL (e.g., Spuler et al. 2015; Newsom et al. 2020) are leading to the  
620 possibility that the two DIALs used in this study could be commercially available in the next  
621 several years, which is why they formed the focus of this study. There are other  
622 thermodynamic profiling active remote sensors that could be combined with MWRs and AERIs:  
623 for example, Raman lidar and Radio Acoustic Sounding Systems (RASS). Studies have been  
624 conducted combining Raman lidar with both MWR data (e.g., Barrera-Verdejo et al 2016; Foth  
625 and Pospichal 2017) and AERI data (e.g., Turner and Blumberg 2019); however, these studies  
626 were in different environments using different *a priori* datasets, which makes quantitatively  
627 comparing their accuracy and information content problematic. There are currently efforts  
628 underway to evaluate the impact of RASS virtual temperature profile observations on both AERI  
629 and MWR observations. Developing improved synergistic retrievals and sensor synergy are the  
630 goals of many groups, including the PROfiling of the atmospheric Boundary layer at European  
631 scale (PROBE; Cimini et al. 2020).

632 Sensor synergy does not have to just involve ground-based sensors. Ground-based MWR  
633 and AERI observations can also be combined with satellite observations to improve information  
634 content and accuracy, especially in the middle- and upper troposphere. Feltz et al. (2003)  
635 showed the impact on AERI retrievals and how these improved profiles could be used for  
636 evaluating thermodynamic structure near storms, while Ebell et al. (2013) performed a more



637 classical information content study. Additional efforts (e.g., such as Toprov and Löhnert 2020)  
638 are needed, which show the impact of the high-temporal and high-spectral resolution  
639 geostationary infrared sounders with ground-based remote sensing systems and the impact on  
640 stability indices and other parameters.

641 It is possible that readers will consider this study as a suggestion about the optimal ground-  
642 based solution for thermodynamic profiling, especially for future operational networks. This  
643 paper provides insights into only one aspect of the cost-benefit solution (i.e., the relative  
644 differences of information content); considerations as to ease of use, durability and hardness,  
645 calibration stability, and other scientific traits (e.g., does the instrument provide information on  
646 macro- or microphysical cloud properties, aerosol properties, trace gases, etc.) also need to be  
647 considered.  
648

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**Table 1:**

Important specifications of the instruments used in this paper

Instrument	Specifications
MWR (HATPRO G4)	<ul style="list-style-type: none"> <li>• 7 frequencies between 22.2 and 31.4 GHz</li> <li>• 7 frequencies between 51.2 and 58.0 GHz</li> <li>• Off-zenith data collected at elevations of 18° and 162°</li> <li>• 1-s sky average, with elevation scans performed every 5 min; retrieval used single spectrum (both zenith and off-zenith) at desired time (e.g., close to sonde launch time)</li> <li>• Reference: Rose et al. 2005</li> </ul>
AERI	<ul style="list-style-type: none"> <li>• 324 wavenumbers in these intervals: 612-618, 624-660, 674-713, 713-722, 538-588, 860.1-864.0, 872.2-877.5, 898.2-905.4 cm<sup>-1</sup></li> <li>• 15-s sky average every 30-s; retrieval used single spectrum at desired time (e.g., close to sonde launch time)</li> <li>• Principal component noise filter used to reduce random error (Turner et al. 2006)</li> <li>• Reference: Knuteson et al. 2004 a,b</li> </ul>
nDIAL	<ul style="list-style-type: none"> <li>• Narrowband DIAL, transmitting at 830 nm</li> <li>• Temporal resolution: 1-min</li> <li>• Vertical resolution: 75-m</li> <li>• Minimum height: 500 m; Maximum height was approx. 3 km (typical)</li> <li>• Telescope receiver area (far field): 935 cm<sup>2</sup></li> <li>• Average transmitted pulse power: 5 μJ pulses at 9 kHz (45 mW)</li> <li>• Reference: Spuler et al. 2015; Weckwerth et al. 2016</li> </ul>
vDIAL	<ul style="list-style-type: none"> <li>• Broadband DIAL, transmitting at 911 nm</li> <li>• Temporal resolution: 20-min</li> <li>• Vertical resolution: variable from 100 m at 100 m AGL to 200 m at 1 km</li> <li>• Minimum height: 50 m; Maximum height was approx. 1 km (typical)</li> <li>• Telescope receiver area (far field): 615 cm<sup>2</sup></li> <li>• Average transmitted pulse power: 5.5 μJ pulses at 8 kHz (44 mW)</li> <li>• Reference: Newsom et al. 2020</li> </ul>

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**Table 2:** Average uncertainty values (derived from  $S_{op}$ ) at three levels for temperature and humidity for the different instrument combinations used in this study. The passive-only retrievals are highlighted in gray, whereas the active+passive are in white. The values in parentheses at 3 km show the 10<sup>th</sup> and 90<sup>th</sup> percentile at that height, thereby providing a measure of the amount of variability in these statistics for each retrieval.

	Temperature Uncertainty [°C]			Water Vapor Uncertainty [g kg <sup>-1</sup> ]		
	500 m	1000 m	3000 m	500 m	1000 m	3000 m
MWRz-only	1.1	1.6	1.4 (1.3,1.4)	1.1	1.4	0.9 (0.8,0.9)
MWRzo-only	1.1	1.5	1.4 (1.3,1.4)	1.1	1.3	0.9 (0.8,0.9)
AERI-only	0.6	0.9	1.0 (0.9,1.2)	0.7	1.0	1.0 (0.8,1.1)
AERI+MWRz	0.6	0.9	0.9 (0.8,1.3)	0.7	1.0	0.7 (0.6,0.8)
MWRz+nDIAL	1.0	1.4	1.3 (1.3,1.4)	0.7	0.7	0.7 (0.5,0.9)
MWRzo+nDIAL	1.0	1.3	1.3 (1.3,1.4)	0.7	0.7	0.7 (0.5,0.8)
AERI+nDIAL	0.5	0.8	0.9 (0.8,1.2)	0.6	0.6	0.7 (0.5,1.1)
AERI+MWRz+nDIAL	0.5	0.8	0.9 (0.8,1.2)	0.6	0.6	0.6 (0.4,0.8)
AERI-only (SGP)	0.4	0.6	1.0 (0.8,1.4)	0.7	1.0	1.8 (0.9,1.5)
AERI+vDIAL (SGP)	0.4	0.6	1.0 (0.8,1.4)	0.4	0.7	1.1 (0.8,1.4)

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**Table 3:** Average cDFS values at three levels for temperature and humidity for the different instrument combinations used in this study. The passive-only retrievals are highlighted in gray, whereas the active+passive are in white. The values in parentheses at 3 km show the 10<sup>th</sup> and 90<sup>th</sup> percentile at that height, thereby providing a measure of the amount of variability in these statistics for each retrieval.

	Temperature cDFS value [unitless]			Water vapor cDFS value [unitless]		
	500 m	1000 m	3000 m	500 m	1000 m	3000 m
MWRz-only	1.5	1.8	2.2 (2.1,2.2)	0.9	1.1	1.9 (1.7,2.0)
MWRzo-only	1.9	2.2	2.6 (2.6,2.6)	0.9	1.1	1.9 (1.7,2.0)
AERI-only	3.9	4.6	5.5 (5.0,5.7)	1.5	1.8	2.7 (1.9,3.4)
AERI+MWRz	3.9	4.6	5.6 (5.2,5.7)	1.5	2.0	3.2 (2.7,3.8)
MWRz+nDIAL	1.5	1.8	2.2 (2.1,2.2)	1.1	2.6	6.2 (2.0,9.4)
MWRzo+nDIAL	1.8	2.2	2.6 (2.5,2.6)	1.1	2.6	6.2 (2.0,9.4)
AERI+nDIAL	3.9	4.5	5.5 (5.3,5.6)	1.7	3.3	7.0 (2.8,10.1)
AERI+MWRz+nDIAL	3.9	4.5	5.5 (5.3,5.6)	1.7	3.3	7.2 (3.2,10.2)
AERI-only (SGP)	4.8	5.5	6.6 (5.4,7.2)	1.7	2.1	3.0 (1.9,3.8)
AERI+vDIAL (SGP)	4.8	5.5	6.6 (5.5,7.1)	2.5	4.2	5.5 (2.4,8.4)

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876 **Figures:**  
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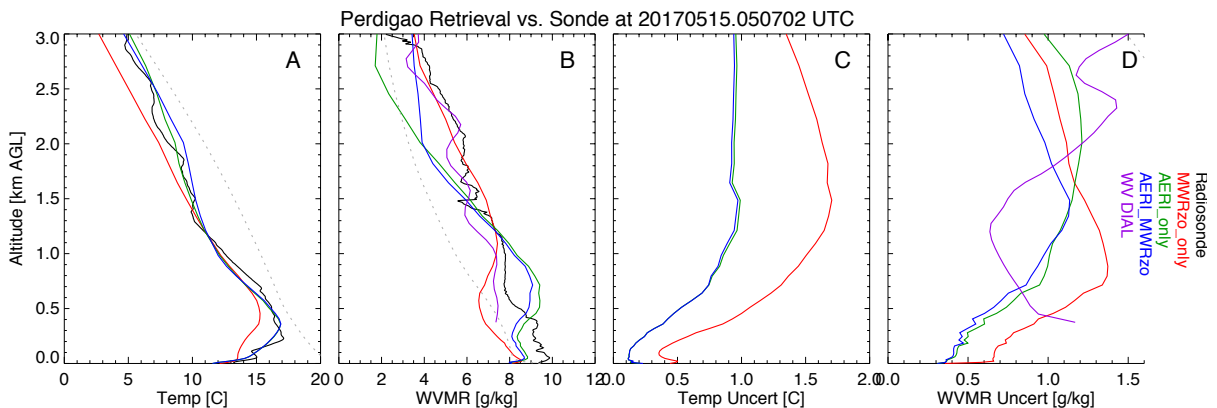


Fig 1: The retrieved profiles of temperature (A) and water vapor (B), with the uncertainties in these profiles (panels C and D, respectively), for the passive-only retrievals with the MWRz0 only (red), AERI only (green), and AERI+MWRz0 (blue) on 05:07 UTC on 15 May 2017 during Perdigao. The collocated radiosonde temperature and water vapor profiles are shown in black in (A) and (B), respectively. The water vapor observed by the DIAL and its uncertainty are included in the figure, although it is not used in any of these retrievals. The dotted black lines in A and B are the mean prior profiles.

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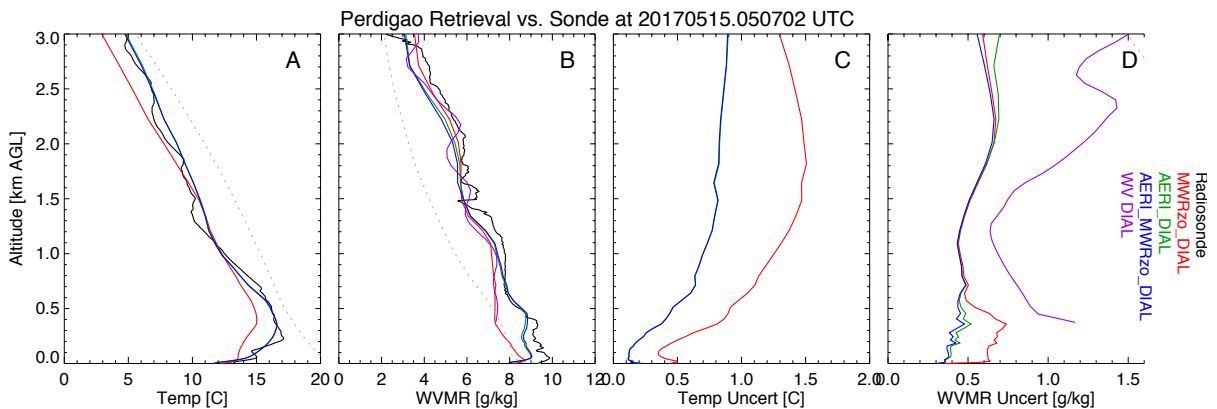


Fig 2: Same as Fig 1, except that the retrievals combine active and passive data with the MWRz0+DIAL (red), AERI+DIAL (green), and AERI+MWRz0+DIAL (blue). The water vapor observed by the DIAL and its uncertainty are included in the retrievals. See text for more details.

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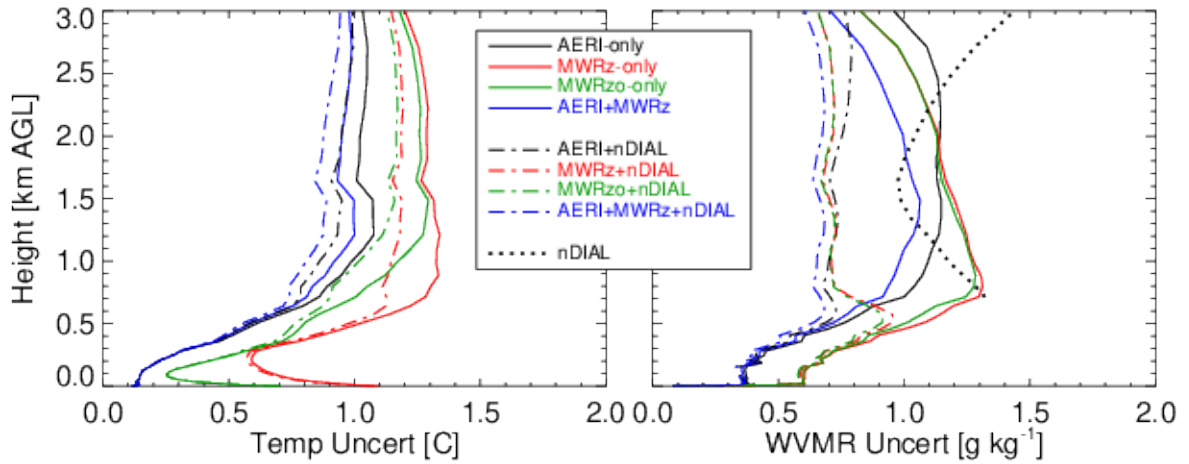


Fig 3: The mean uncertainty in temperature (left) and water vapor mixing ratio (right) for passive-only (solid lines) and active+passive (broken lines) retrievals during Perdigao. The black dotted line is the mean uncertainty from the nDIAL.

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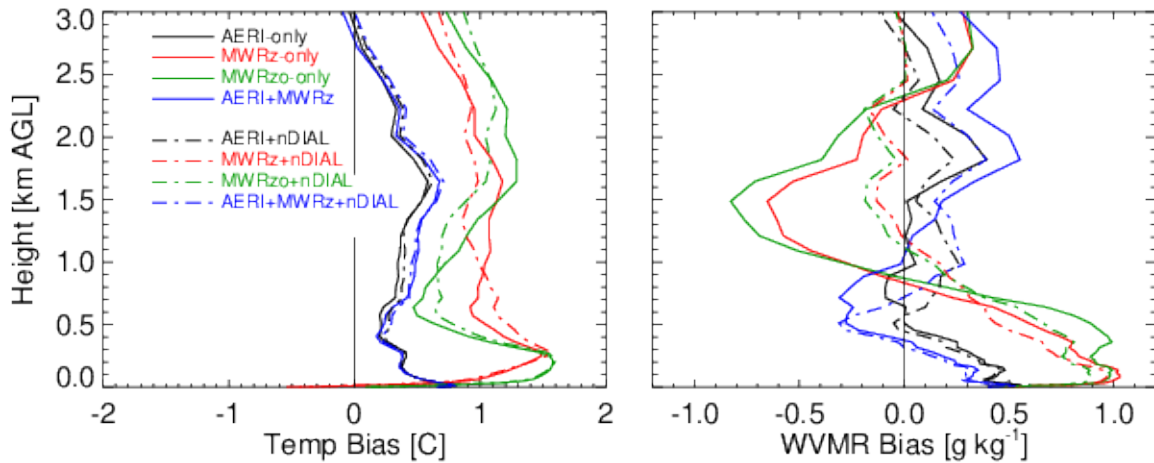


Fig 4: The bias in temperature (left) and water vapor mixing ratio (right) for passive-only (solid lines) and active+passive (broken lines) retrievals relative to radiosondes during Perdigao.

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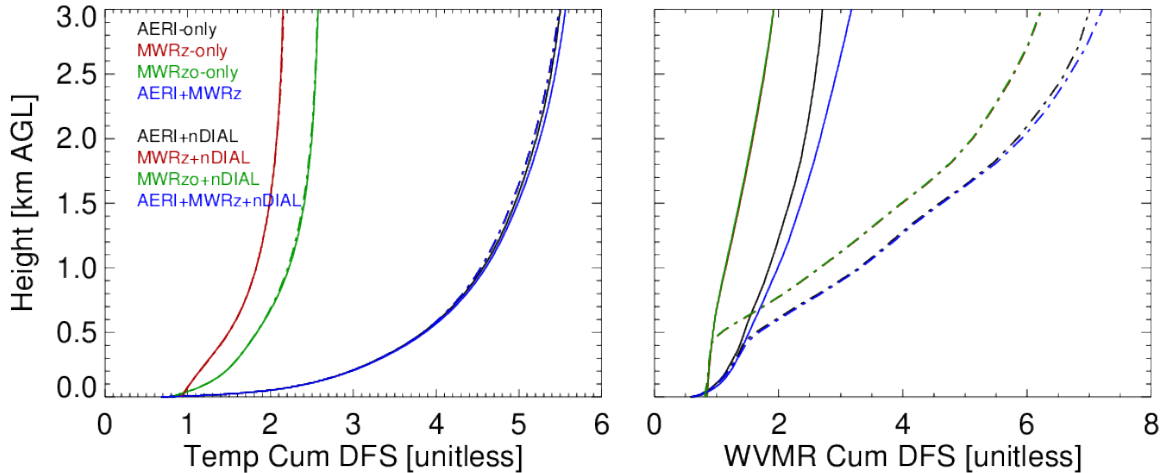


Fig 5: The mean cumulative degrees of DFS for temperature (left) and water vapor mixing ratio (right) for passive-only (solid lines) and active+passive (broken lines) retrievals during Perdigao. Note that the water vapor cumulative DFS profiles for MWRz and MWRz0 retrievals are virtually identical (see Table 3) and hence overlap.

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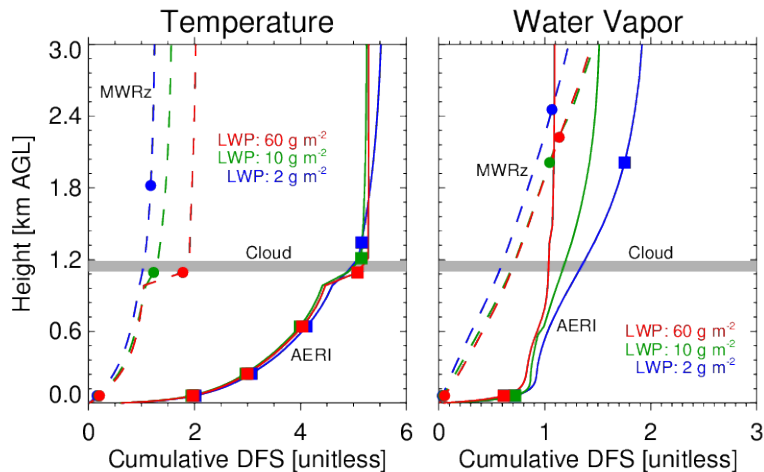


Fig 6: Profiles of cumulative degrees of freedom of signal from MWRz-only (dashed curves with dots) and AERI-only (solid curves with squares) temperature (left) and water vapor (right) retrievals for three samples between 03:00 and 05:00 UTC on 27 May 2017 during Perdigao. The different colors correspond to different LWP path values in the overhead cloud, whose height is indicated with the horizontal gray bar. The solid symbols indicate

heights that would be assimilated, if the first level started at 50 m AGL and each level was separated by a unit of DFS. See the text for more details.

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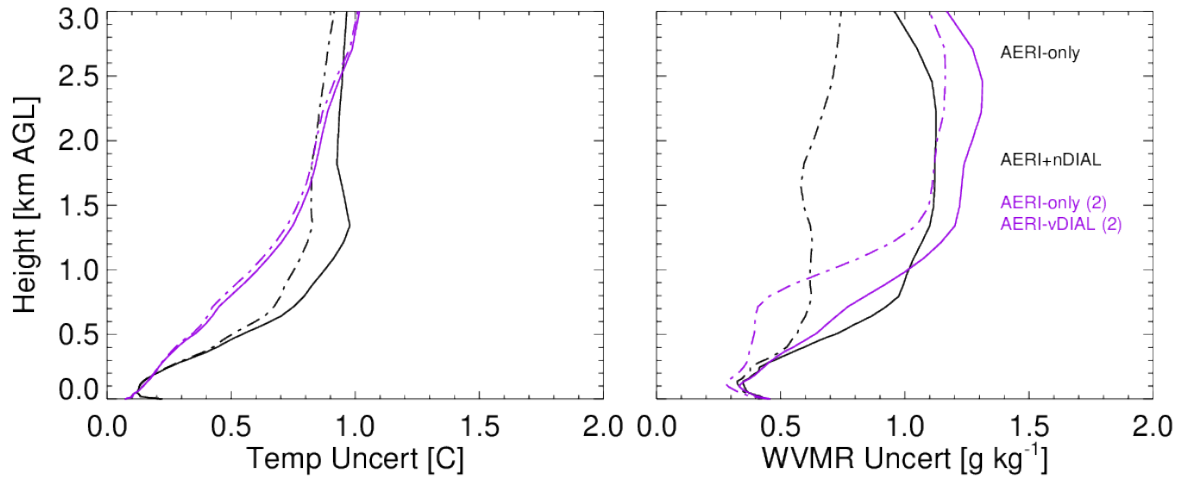


Fig 7: The mean uncertainty in temperature (left) and water vapor mixing ratio (right) for AERI-only (solid lines) and AERI+xDIAL (broken lines) retrievals during Perdigao (black) and SGP (purple), where the former used nDIAL data and the latter used vDIAL data. Note that different priors were used for the two locations; this impact is seen in the AERI-only retrievals as the noise levels of the two AERIs were similar.

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