

1 **A Case Study of Aerosol Data Assimilation with the Community Multi-Scale**  
2 **Air Quality Model over the Contiguous United States using 3D-Var and**  
3 **Optimal Interpolation Methods**

4 Youhua Tang<sup>1,2</sup> ([youhua.tang@noaa.gov](mailto:youhua.tang@noaa.gov)), Mariusz Pagowski<sup>4,5</sup>, Tianfeng Chai<sup>1,2</sup>, Li Pan<sup>1,2</sup>, Pius  
5 Lee<sup>1</sup>, Barry Baker<sup>1,2</sup>, Rajesh Kumar<sup>6</sup>, Luca Delle Monache<sup>6</sup>, Daniel Tong<sup>1,2,3</sup>, and Hyun-Cheol  
6 Kim<sup>1,2</sup>

7 1. NOAA Air Resources Laboratory, College Park, MD.

8 2. Cooperative Institute for Climate and Satellites, University of Maryland at College Park, MD.

9 3. Center for Spatial Information Science and Systems, George Mason University, Fairfax, VA.

10 4. NOAA Earth System Research Laboratory, Boulder, CO.

11 5. Cooperative Institute for Research in Environmental Sciences, University of Colorado, Boulder, CO.

12 6. National Center for Atmospheric Research, Boulder, CO.

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14 **Abstract**

15 This study applies the Gridpoint Statistical Interpolation (GSI) 3D-Var assimilation tool  
16 originally developed by the National Centers for Environmental Prediction (NCEP), to improve  
17 surface PM<sub>2.5</sub> predictions over the contiguous United States (CONUS) by assimilating aerosol  
18 optical depth (AOD) and surface PM<sub>2.5</sub> in version 5.1 of the Community Multi-scale Air Quality  
19 (CMAQ) modeling system. An optimal interpolation (OI) method implemented earlier (Tang et  
20 al., 2015) for the CMAQ modeling system is also tested for the same period (July, 2011) over the  
21 same contiguous United States (CONUS). Both GSI and OI methods assimilate surface PM<sub>2.5</sub>  
22 observations at 00, 06, 12, and 18UTC, and MODIS AOD at 18 UTC. The assimilations of  
23 observations using both GSI and OI generally help reduce the prediction biases, and improve  
24 correlation between model predictions and observations. In the GSI experiments, assimilation of  
25 surface PM<sub>2.5</sub> leads to stronger increments in surface PM<sub>2.5</sub> compared to its MODIS AOD  
26 assimilation at the 550nm wavelength. In contrast, we find a stronger OI impact of the MODIS  
27 AOD on surface aerosols at 18 UTC compared to the surface PM<sub>2.5</sub> OI method. GSI produces  
28 smoother result and yields overall better correlation coefficient and root mean squared error  
29 (RMSE). It should be noted that the 3D-var and OI methods used here have several big  
30 difference besides the data assimilation schemes. For instance, the OI uses the relatively big  
31 model uncertainties, which helps yield smaller mean biases, but sometimes causes the RMSE  
32 increase. We also examine and discuss the sensitivity of the assimilation experiments results to  
33 the AOD forward operators.