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Cloud information content analysis of multi-angular measurements in the oxygen A-band: application to 3MI and MSPI

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Abstract

The vertical distribution of cloud cover has a significant impact on a large number of meteorological and climatic processes. Cloud top altitude and cloud geometrical thickness are then essential. Previous studies established the possibility of retrieving those pa-

- ⁵ rameters from multi-angular oxygen A-band measurements. Here we perform a study and comparison of the performances of future instruments. The 3MI (Multi-angle, Multichannel and Multi-polarization Imager) instrument developed by EUMETSAT, which is an extension of the POLDER/PARASOL instrument, and MSPI (Multi-angles Spectro-Polarimetric Imager) develoloped by NASA's Jet Propulsion Laboratory will measure
- total and polarized light reflected by the Earth's atmosphere-surface system in several spectral bands (from UV to SWIR) and several viewing geometries. Those instruments should provide opportunities to observe the links between the cloud structures and the anisotropy of the reflected solar radiation into space. Specific algorithms will need be developed in order to take advantage of the new capabilities of this instrument.
- ¹⁵ However, prior to this effort, we need to understand, through a theoretical Shannon information content analysis, the limits and advantages of these new instruments for retrieving liquid and ice cloud properties, and especially, in this study, the amount of information coming from the A-Band channel on the cloud top altitude (CTOP) and geometrical thickness (CGT). We compare the information content of 3MI A-Band in
- two configurations and that of MSPI. Quantitative information content estimates show that the retrieval of CTOP with a high accuracy is possible in almost all cases investigated. The retrieval of CGT seems less easy but possible for optically thick clouds above a black surface, at least when CGT > 1–2 km.



1 Introduction

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Clouds play an important role in the Earth radiation budget by modulating both the incoming and outgoing solar and thermal radiation that in turn directly act on the heating and cooling rates within the atmosphere. In particular, the cloud cover vertical dis-

⁵ tribution has a significant impact on a large number of meteorological and climatic processes. By influencing the distribution of heating within the atmosphere, it drives the cloud dynamics and evolution of clouds' macro- and micro-structure. All climate feedbacks linked to clouds are still poorly known (Stocker et al., 2013) and a better understanding of climate evolution has to go through a better description of the macrophysical cloud properties, such as cloud top and bottom altitudes.

Satellites are the most convenient tool to obtain a complete picture of cloud macrophysics over a broad range of spatial and temporal scales and active sensors such as spaceborne radar (Mace et al., 2009) or lidar (Winker and Trepte, 1998; Winker et al., 2007) are particularly well suited to characterize their vertical structure. However, they

¹⁵ can only provide information under a narrow swath, and that hampers their ability to provide global coverage on a daily basis.

In contrast, passive sensors allow for a larger coverage but, so far, the accuracy of retrieved cloud top altitude is limited and the possibility to obtain cloud geometrical thickness has yet to be consolidated (Ferlay et al., 2010; Desmons et al., 2013). Numerous techniques have been developed to retrieve cloud height from passive sensors. The CO_2 -slicing method uses CO_2 differential absorption in the thermal infrared spectral range (Rossow and Schiffer, 1991; King et al., 1992; Platnick et al., 2003). Ultraviolet radiances can also be used as rotational Raman scattering causes depletion or filling of solar Fraunhofer lines in the UV spectrum, depending of the Rayleigh

scattering above the cloud (Joiner and Bhartia, 1995; de Beek et al., 2001). Similarly, the polarization of reflected light, at visible shorter wavelength, due to Rayleigh scattering carries information on cloud top height (Goloub et al., 1994; Knibbe et al., 2000). Finally, cloud top height can also be retrieved accurately thanks to geometrical meth-



ods applied on stereo observations (Moroney et al., 2002; Seiz et al., 2007; Wu et al., 2009).

Information on cloud top location from passive instruments can also be obtained through the exploitation of dioxygen differential absorption of solar radiation in the Aband, as first suggested by Yamamoto and Wark (1961). Indeed, molecular oxygen is a well-mixed atmospheric gas and, consequently, the amount of absorption is linked with the photon geometrical pathlength in the atmosphere, which is limited, at a first order, by the cloud top altitude. However, clouds are not solid (surface-like) reflectors. The additional absorption of radiation occurring along the path inside the cloud leads
to significant biases and uncertainties in the retrieved cloud-top pressure, as shown by

- Preusker and Lindstrot (2009). Some studies have shown, however, that this multiple scattering effect can be used to obtain information on photon path lengths within the clouds, which in turn could inform on cloud geometrical thickness (e.g., Davis et al., 2009, and references therein). Depending on the instruments characteristics in terms
- of spectral resolution and coverage, multi-angular capabilities, different methods have been proposed or applied. Rozanov and Kokhanovsky (2004) developed a retrieval technique exploiting hyperspectral A-band measurements from SCIAMACHY, thanks to a semi-analytical algorithm using asymptotic theory. The hyperspectral approach to A-band measurement was further evaluated through a recent information content anal-
- ysis (Schuessler et al., 2014). Turning to narrowband bispectral multi-angular measurements in the A-band, Ferlay et al. (2010) suggested to use the correlation between the angular standard deviation of the cloud oxygen pressure and the cloud geometrical thickness. The feasibility of this technique was, later on, confirmed by Desmons et al. (2013), who compared POLDER3/PARASOL retrievals of cloud geometrical thickness
- to information derived from collocated active sensors (CALIOP/CLOUDSAT). At the same time, a similar approach was proposed to use the differential absorption occurring between single-view measurements in the O₂ A- and B-bands (Yang et al., 2013).

Most of those studies have been limited to monolayer optically thick clouds over ocean. In addition, except for the study by Schuessler et al. (2014), most previous



studies have not formally considered the impact of measurements and forward model errors on hte retrievals. Our work aims to develop a comprehensive analysis of the information provided by multi-angle and bispectral measurements in the O_2 A-band to derive the vertical location and extent of clouds (cloud top altitude and cloud geomet-

⁵ rical thickness). Building on previous analyses by Ferlay et al. (2010) and Desmons et al. (2013), our present analysis aims at understanding the feasibility of retrieving those parameters for all types of clouds (liquid/ice, thin/thick) and for a range of surface albedo values. This investigation is motivated by the need to develop physics-based algorithms that will be applied globally to measurements from a new generation of multi-angle sensors. 10

Several studies have demonstrated the great interest of combining multi-spectral, multi-angular and polarized measurements in the visible, near and shortwave infrared to better constrain retrievals of cloud microphysical (Bréon and Doutriaux-Boucher, 2005; Zhang et al., 2009; Riedi et al., 2010) and macrophysical (Ferlay et al., 2010;

Desmons et al., 2013) properties. In this context, several missions that will fly a new 15 generation of polarimetric multi-angular sensors that are currently being formulated. Here, we focus on the Multi-viewing, Multi-channel, Multi-polarization Imaging mission (3MI) on the EUMETSAT Polar System-Second generation (EPS-SG) and the Multi-angle Spectro-Polarimetric Imager (MSPI) proposed, among others, for NASA's Aerosol-Cloud-Ecosystem (ACE) mission.

This paper is organized as follows. In Sect. 2, we describe the main characteristics of the 3MI and MSPI instruments that are relevant to our study and describe the simulation scenario performed for each. In Sect. 3, we gualitatively illustrate and discuss the sensitivity of multi-angle A-band measurements to cloud top altitude and geomet-

rical thickness. In Sect. 4, we go further by developing a formal information content 25 analysis of multi-angle O₂ A-band measurements and discuss the impact of various model assumptions and errors on available information. In particular, the cases of dark and bright surfaces are discussed to evaluate the feasibility of a retrieval algorithm that could be applied globally. In Sect. 5, we discuss our results and potential pathways



to counteract the limitations of multi-angular measurements in the A-band in order to obtain information on both cloud top altitude and geometrical thickness. Main results are summarized in the concluding section.

2 Observation assumptions and simulations

⁵ The 3MI and MSPI sensors combine both multi-viewing, multi-wavelength measurements with polarization. Particularities of those two instruments characteristics are presented hereafter focusing primarily on their differences with respect to A-band measurements.

2.1 3MI characteristics

- ¹⁰ The Multi-viewing, Multi-Channel, Multi-Polarization Imaging mission (3MI) is planned as part of the future generation of EUMETSAT polar satellites, EPS-SG. 3MI has been designed to observe Earth reflectance in a wide spectral range (410–2130 nm) under up to 14 different viewing directions with polarimetric capabilities in 9 out of a total of 12 spectral channels. The 3MI concept largely leverages three previous Polarization and
- Directionality of the Earth's Reflectances (POLDER) missions and some scientific limitations have been overcome by enhancing the instrument capabilities along all three dimensions. Specifically, the total spectral range has been extended to cover shorter (visible 410 nm) and longer (shortwave infrared) wavelengths (Table 1), the spatial resolution has been increased to 4 km × 4 km at nadir and the swath of the instrument will
- ²⁰ provide complete daily coverage of the Earth from an EPS orbit. Regarding the A-band sampling, in addition to the absorbing channel centered on the A-band at 763 nm (in-band), 3MI is anticipated to provide measurements in a broader 40 nm wide channel at 765 nm (broad-band) extending on both side of the A-band similarly to what has been used for POLDER. As will be illustrated later on and following previous studies by Demon at al. (2002), a person extend abanal at 75 nm (out band) extending on both side of the A-band similarly to what has been used for POLDER. As will be illustrated later on and following previous studies by Demon at al. (2002).
- ²⁵ by Ramon et al. (2003), a narrow spectral channel at 754 nm (out-band) outside of the



A-Band could provide higher information content when paired with the 763 nm channel. However, the broader 765 nm channel appears more appropriate for 3MI in terms of instrument design and stability over the mission, particularly due to the need for vicarious calibration of the 3MI. It remains that a 754 nm channel will also be available

from the METImage instrument also on EPS-SG providing an opportunity for synergistic use with 3MI. Therefore, in addition to the anticipated 3MI baseline configuration (763 nm/765 nm) we also studied the information provided by a potentially available 763 nm/754 nm pair of measurements.

2.2 MSPI characteristics

- ¹⁰ The Multiangle SpectroPolarimetric Imager, or MSPI, is a candidate for the multidirectional, multi-wavelength, high-accuracy polarization imager identified by the National Research Council's Earth Sciences Decadal Survey as one component of the national Aerosol–Cloud–Ecosystem, or ACE, mission. NASA would fly the ACE spacecraft late in the next decade to characterize the role of aerosols in climate forcing,
- especially their impact on precipitation and cloud formation. MSPI is conceptually similar to JPL's Multiangle Imaging SpectroRadiometer, or MISR, carried on NASA's EOS Terra spacecraft, but with some important additions. The new camera design extends the spectral range to the ultraviolet and shortwave infrared (from 446–866 nm to 355–2130 nm), increases the image swath (from 360 to 680 km) to achieve more rapid global
- ²⁰ coverage (from 9 days to 4 days), and adds high-accuracy polarimetry in selected spectral bands. Like MISR, a suite of MSPI cameras would view Earth at a variety of angles, with an intrinsic pixel size of a few hundred meters, which, for certain channels, would be averaged up to about 1 km.

At present, MSPI has a ground-based (Diner et al., 2010) and airborne (Diner et al., 2013) versions with only VNIR spectral coverage. The latter, AirMSPI development is curretnly entering a new phase. In particular, AirMSPI-2 will have extended spectral coverage into the SWIR, with polarization, and additional A-band channels, without



polarization. MSPI will provide measurements in a absorbing channel centered in the oxygen A-band (in-band) and a narrow spectral channel at 754 nm (out-band).

2.3 Simulation assumptions

The use of observations in an absorption band, in essence, relies on the interpretation of average photon optical path length cumulated within the atmosphere, and especially above the cloud, when trying to retrieve cloud top pressure or altitude (denoted in the following as CTOP). This pathlength is estimated through differential absorption occurring between two channels in and around the O₂ A-band, providing an estimate of the atmospheric transmission above cloud.

- ¹⁰ Historically, the ratio of measurements in two close-by channels was used to estimate this atmospheric O_2 A-band transmission and two approaches have been used from past sensors to establish this ratio. The first one uses a ratio between a radiance in the A-band and a radiance completely outside so that it is not affected at all by absorption but is close enough to consider other atmospheric and surface properties as
- ¹⁵ constant. This configuration has been used successfully for instance with Medium Resolution Imaging Spectrometer (MERIS), although an accurate spectral calibration was identified as critical (Ramon et al., 2003). The other one uses a broader band covering entirely the A-band (thin-band/broad-band), which again provides similar atmospheric and surface properties in both channels. It presents the advantage of being less sen-
- sitive to calibration issues at the expenses of a lower signal to noise (because the broadband signal is partly affected by absorption and therefore provide less contrast with respect to the absorption channel). This configuration has been used for the three previous POLDER mission and proved as a robust solution when instrument calibration relies solely on vicarious techniques.
- ²⁵ Although the use of the 654 nm channel was initially envisioned for 3MI, the option consisting of the former POLDER 765 nm broad channel remains under consideration depending on industrial feasibility and spectral stability that can be achieved for the proposed 754 nm channel. Therefore, in the present study we consider and compare both



configurations. Similarly, the exact 3MI Instrument Spectral Response Function (ISRF) are not known yet, so we model those filters as perfect rectangular gates assuming thin and broad bands widths as currently specified for 3MI in the mission requirement document. The in-band for MSPI is currently foreseen to be thinner than for 3MI with

 $_5$ a spectral width of 6 nm and a central wavelength of 762 nm). For both 3MI and MSPI the exact location of the out-band channel is not fully determined yet, so we simply used a spectral location that is completely free of O₂ absorption.

Based on candidate channels illustrated in Fig. 1, three possible configurations (inband/out-band for MSPI, and in-band/out-band or in-band/broad-band for 3MI) will be

considered, in the following analysis, to evaluate which one provides the most information with respect to cloud top altitude (CTOP) and cloud geometrical thickness (CGT) parameters.

In this study, Top-Of-Atmosphere (TOA) radiances are simulated using a radiative transfer code that accounts for gaseous absorption using a *k* distribution technique (Kratz, 1995). Multiple scattering effects are treated from the adding-doubling method (de Haan et al., 1987). In this approach, the radiative transfer equation is treated assuming a vertically inhomogeneous atmosphere (McClatchey model), stratified into plane and homogeneous layers and we only considered homogeneous single-layer clouds without aerosols.

20 2.4 Angular configurations

To limit the number of angular configurations, we chose to use three different realistic angular sampling (AS) described in Fig. 2 and precomputed for 3MI based on EP-SG anticipated orbit. We made this choice to obtain representative observational configurations. Indeed, with a solar zenith angle of 30°, for example, AS 3 corresponds to measurements in the backscattering directions, AS 1 in the forward scattering direction and AS 2 between them representative of along track sampling. This later is also most representative of MSPI observation conditions due to its narrower swath compared to 3MI.



3 Sensitivity study of the A-band

We first present, in this part, a qualitative sensitivity study of TOA simulated radiances to cloud geometrical thickness (CGT) and cloud top altitude (CTOP). As 3MI and MSPI configurations are not fundamentally different, we only use here the 3MI's thin-in/thin-

out configuration to illustrate the main mechanisms, by which information on CTOP and CGT can be retrieved.

In addition to CGT and CTOP, the cloud optical thickness (COT) is also a key parameter. Indeed, previous studies shown that the A-band transmission is sensitive to it and provide limited information on CTOP for optically thin clouds (Desmons et al., 2013; ¹⁰ Ferlay et al., 2010; Yang et al., 2013; Schuessler et al., 2014). Therefore, we will illustrate our discussion using three different cases of thin, moderately thin and thick clouds with optical thicknesses of respectively 1, 4 and 16. The purpose of this first qualitative approach is to point out the main physical mechanisms that govern the O₂ A-band TOA signals. Following this, a quantitative study will be developed and presented in the next ¹⁵ section.

3.1 Cloud top altitude and geometrical thickness sensitivity

The A-band observation sensitivity to CTOP and CGT derives from the absorption by dioxygen occurring, respectively above and inside the cloud. Knowing the vertical distribution of dioxygen in the atmosphere, the evaluation of absorption gives an indication

²⁰ on the photon geometrical path above and inside the cloud and consequently on CTOP and CGT.

Figure 3 shows, in a simplified way, the basic pathways that can follow a reflected photon in the atmosphere–surface system before reaching the sensors. A photon captured by the sensors can come from any of those paths.

Path 1 represents photon reaching back from a scattering by the top layer of the cloud; path 2 from scattering inside the cloud and path 3, photons reflected by the surface and gone back through the cloud. When clouds are optically thick, as little



radiation crosses the entire cloud, paths 3 can be neglected. This explains why previous studies have usually been limited to those thick clouds (Rozanov and Kokhanovsky, 2004; Davis et al., 2009; Ferlay et al., 2010; Yang et al., 2013).

In a first step, we considered the surface as black, which is a good approximation of measurements performed over the ocean. In this case, contribution from path 3 is null. To illustrate in a simple way the sensitivity of measurements to relevant parameters, we represent in Fig. 4 the bands ratio for several top altitudes (CTOP) for three values of COT (1, 4, 16) varying against the air mass factor defined as:

$$m_{\rm air} = \frac{1}{\cos\theta_{\rm v}} + \frac{1}{\cos\theta_{\rm s}}$$

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Figure 4 shows O₂ A-band ratio in the solar plane with a solar zenith angle of 30°. The cloud geometrical thickness is fixed at 0.5 km; the cloud droplet size distribution is chosen to be log-normal with an effective radius of 12 μm and an effective variance of 0.02. The different colored curves represents different values of CTOP (from 1 to 6 km). For each air mass we obtain two values of the ratio: the upper part correspond to the backscattering direction and the lower to the forward scattering direction.

The two branches of the curves correspond to the forward and backward scattering halves of the principal plane. The latter shows a distinctive angular feature in the near-backscattering direction that is traceable to the phase function and that diminishes as COT increases. Evidently, the A-band ratio decreases generally as the air mass factor hence the absorption increases. A variation of CTOP leads to a variation of path 1 directly (Fig. 3). By increasing CTOP, the photon pathlength above the cloud

- is decreased. The absorption of the in-band is thus reduced whereas the one of the out-band is not affected by absorption. Consequently, the ratio increases with CTOP, as can be seen in Fig. 4. We note that ratio change due to CTOP variation is almost the same for any angle as no angular signature of CTOP abange. Indeed, for antically
- the same for any angle so no angular signature of CTOP change. Indeed, for optically thick clouds, the band ratio decreases linearly with the air mass, which is the expected behavior when the cloud is assumed to be a solid reflector.



(1)

Figure 5 is the same as Fig. 4 but with a fixed cloud top altitude (6 km) and for varying geometrical thickness CGT (from 1 to 5 km). It corresponds to a variation of path 2 as the CTOP is constant and the surface black. The ratio decreases as CGT increases. Indeed, for a fixed CTOP and constant COT, an increase of CGT leads to a decrease of the extinction within the cloud. It yields a deeper penetration and an enhanced mean free path of the photon and therefore an increase of absorption in the affected channel

and a decrease of the ratio.

For COT = 1, we notice differences between forward and backward scattering, which are linked to cloud particle microphysics through their phase function asymmetry factor.

- ¹⁰ The photon pathlength is, in case of low COT, longer in the forward view direction and so larger is the absorption. This effect is more pronounced when CGT increases because, for a fixed COT the extinction within the cloud decreases leading to a deeper the penetration inside the cloud. Variations of the ratio due to CGT changes are thus significantly angularly dependent for this case of an optically thin cloud. Thus, as can be
- seen on Figs. 4 and 5, the ratio of reflectances, which provides oxygen transmittance, depend on CTOP and CGT variation. This double sensitivity raises the question of the retrieval of CTOP without knowledge about CGT, and that of the simultaneous retrieval of both CTOP and CGT. One way to address these issues could be in the information gained by the angular dependance of the reflectance ratio on CGT and CTOP, as already noted by Ferlay et al. (2010) for optically thick clouds.

For optically thick clouds (COT = 16, Fig. 5c), the difference between forward and backward scattering is lowered and is practically null for small geometrical depth as this corresponds to the solid reflector situation already described in Fig. 4c.

For the other case with COT = 4 (Fig. 5b), we notice optically thin clouds characteristics for large CGT (differences between back and forward scattering) and thick clouds characteristics for low CGT. As it will be discussed later, this actually reflects the transition from single to multiple scattering regimes as the extinction within the cloud increases.



To illustrate the angular A-band ratio dependance on CTOP and CGT, Fig. 6 presents isolines of CTOP and CGT values in a two dimensional space with average band ratio value R, here along the ordinate axis, and the angular standard deviation (σ_R) along the abcissa axis. Values are obtained for the AS 1 (cf. Fig. 2) using same cloud parameters as for Figs. 4 and 5. In practice, we represent here a solution space from which one could attempt to be retrieve CTOP and CGT knowing R and σ_R . Figure 6a–c shows the solution space for, respectively, COT of 1, 4 and 16.

In Fig. 6a (COT = 1), we notice that the curves of constant CTOP (red curves) and CGT (black curves) are well separated. The curves of constant CGT are almost ver-

- ¹⁰ tical, which means that CTOP is primarily sensitive to *R* and less dependent on σ_R . Conversely, constant CTOP curves are almost horizontal traducing the fact that CGT is mostly sensitive to σ_R only. Even though the solution space is not orthogonal, this figure shows how *R* and σ_R could be used to infer both CTOP and CGT. For optically thick clouds (Fig. 6c), the ratio is again sensitive to both parameters but it is important
- ¹⁵ to note that, contrary to small COT, increasing CGT leads here to smaller σ_R . We can relate this observation to the Fig. 5c in which the slope of A-band ratio decreases with CGT, thereby reducing its angular standard deviation. On the contrary, for optically thin clouds and in Fig. 5a, the slope increases when CGT increases (at least for low air mass). This inverse sensitivity of σ_R implies that, between the cases of optically thin
- ²⁰ and thick clouds, CGT becomes no longer sensitive to the standard deviation. That is confirmed by Fig. 6b (COT = 4) where both parameters are sensitive primarily to *R* and the solution space collapses along the σ_R axis. This correlation between the sensitivities make it impossible to infer both parameters from the reduced set of *R* and σ_R metrics. This second qualitative analysis again illustrates how multi-angle A-band ratio
- ²⁵ measurements above a black surface can potentially convey information on both CTOP and CGT for optically thick, as was already noticed by Ferlay et al. (2010), but also for thin clouds. Between those two cases however, the reduced set of metrics based on A-band differential absorption measurement does not seem to allow simultaneous retrieval of CTOP and CGT.



3.2 Addition of a Lambertian surface

A black surface is a good approximation of the ocean out of the sun glint area. However, for retrievals over land surfaces, we need to extend our model and analysis including more realistic surface reflectance. To focus on the physical understanding of mechanisms contributing to the band ratio signal, we choose to simulate the surface by using a simple Lambertian model with two very different albedo values: 0.2 (corresponding approximatively to sand) and 0.8 (fresh snow or ice), thus activating path 3 in Fig. 3.

Figure 7 is the same as Fig. 4 with a surface albedo of 0.2. For COT = 16, the cloud opacity is such that the impact of the surface is negligible. For COT = 1 and 4, differ-¹⁰ ences are notable. The ratios are weaker. Because of surface brightness, the probability of longer pathlength increases, further attenuating radiation in absorbing channels. Indeed, the non-absorbing spectral bands present higher reflectance thanks to the reflection, which can be multiple, between the surface and the cloud. Such reflection for the absorbing band also occurs but the increased absorption limits their contribution

- to observed TOA reflectance. By adding a bright surface, the out-band radiance increases more than the in-band one, thereby the A-band ratio is reduced. This effect is more important for high cloud top altitudes and low air mass. Indeed, the higher cloud is, the more the photons pathway between the surface and the cloud increases. The difference between in- and out-band is therefore increasing and the band ratio de-
- 20 creases. For COT = 1 and low air mass, it logically appears that the sensitivity to CTOP is extremely low as the cloud does not modify significantly the photon pathway.

Figure 8 is the same as Fig. 5 with a surface albedo of 0.2. Again, a cloud with COT = 16 (Fig. 8c) is very opaque and surface has almost no effect in the oxygen A-band ratio. For COT = 4 and COT = 1, the ratio is also lower. The decrease is higher

²⁵ here for geometrically thick clouds due to the same effect seen through. The multiple reflections between the cloud and the surface increases the photon path, hence the absorption in the in-band. The important parameter to consider is thus the cloud base



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altitude. The higher the cloud base, the more the surface affects the A-band radiance because of the difference between in- and out-band radiances.

Figure 9 is the same than Figs. 4 and 7 and Fig. 10 than Figs. 5 and 8 with a surface albedo of 0.8. With a brighter surface, the effect of the surface is obviously more appar-

ent. For COT = 1, the cloud altitude and thickness have almost no impact in the A-band ratio because the radiance coming from the cloud represents a negligible part of the signal. For COT = 16, the cloud signal is higher and consequently, the ratio is modified depending on CTOP and CGT.

To summarize, a Lambertian surface decreases A-band sensitivities on both CTOP and CGT for the smallest COT, the COT limit depending on the surface albedo.

4 Theoretical information content study

In order to go further in the sensitivity studies on the O_2 A-band, we performed an information content study based on a Bayesian optimal estimation approach. It also provides an elegant framework to compute the information content of the observing system as well as to perform an error analysis on the resulting retrieval. The formulation of the problem in this study has been developed by Rodgers (1998) and used in previous studies by several authors (Sourdeval et al., 2013, 2014; King and Vaughan, 2012; Cooper et al., 2006).

4.1 Information content theory

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Details on how the information content is calculated can be found in the aforementioned studies and, for the sake of completeness, the main theoretical elements are reported in the Appendix. In this section, we simply describe and specify the different parameters used in the Rodgers information content formulation.

For this study, the state vector \mathbf{x} contains the parameters CTOP and CGT and the measurement vector, A-band ratios for the different view angles described in Fig. 2. As



for non-retrieved parameters, we considered only COT, the effective radius of the cloud particles, and the surface albedo. Preusker and Lindstrot (2009) showed that those parameters are indeed the geophysical quantities that most influence the measured A-band ratio.

⁵ The only information we have a priori is that cloud top altitude CTOP cannot be very high and cloud thickness CGT cannot exceed CTOP. Consequently, we considered an a priori standard deviation of 5 km for both CGT and CTOP. The a priori variance–covariance matrix S_a is assumed diagonal and elements are those variances ($S_{a,ii} = 5^2$, i = 1,2). This represents our knowledge of the state vector before the measurements and retrievals are performed. Measurement noise is assumed to be 1 % of the ratio for both MSPI and 3MI. Indeed, the ratio method leads to a smaller noise, which is typically considered to be on of the order of 2–3 % for the radiances themselves. We use this measurement noise estimate to compute a diagonal variance– covariance matrix as

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$$\mathbf{S}_{y,ii} = \left(0.01 \times \frac{\text{Rad}_{\text{in},i}}{\text{Rad}_{\text{out},i}}\right)^2$$

25

for the *i*th angular measurement, where subscript "out" means either the continuum channel (MSPI or 3MI) or 3MI's broadband channel.

We introduce also a variance–covariance matrix for the forward model, linked to the non-retrieved parameters. Those parameters are fixed but they are assumed known but enbyte within a language statistic We considered 100% relative arrange on COT and

²⁰ but only to within a known uncertainty. We considered 10% relative errors on COT and the effective particle radius, and an absolute error of 0.05 on the surface albedo.

4.2 Inter-comparison of 3MI and MSPI – measurement information content

We use the formalism reminded in the Appendix to study the information content of the three different O_2 A-band measurement configurations described in Sect. 2.3 and perform an inter-comparison for a reference case. The reference case is a homogeneous



liquid cloud with an optical thickness of 16, with droplets following a log-normal distribution with an effective radius of 12 μ m and an effective variance of 0.02. The surface is assumed black, SZA is fixed at 30°, and we use the angular sampling configuration AS 1 (cf. Fig. 2). We describe and compare the A-band information content provided ⁵ by the three instrumental configurations by analyzing the partial degrees of freedom and the a posteriori errors (square roots of the diagonal elements of the a posteriori variance–covariance matrix **S**_v, as described in the Appendix).

Figure 11 presents an example of the information content of the A-band observations obtained from the three instrumental configurations. In this figure, we have plotted the

- degrees of freedom (DOFs) and the a posteriori errors in the state space: CGT on the vertical axis for six values ranging from 0.5 to 5 km; CTOP on the horizontal axis for six values ranging from 1 to 6 km. We note that, logically, the higher the information content, the lower the a posteriori errors. We also notice some general similarities between the three configurations. The A-band information on CTOP increases when it increases
- and CGT decreases. It is the reverse for the information content on CGT that increases with a decrease of CTOP and an increase of CGT. Indeed, when the information on the more sensitive parameter (CTOP) decreases, a part of the lost information is reported to the other parameter (CGT). For the cases with small CGT, there is low information content, showing us that the retrieval of this parameter is not reliable (i.e., DOF < 0.5).</p>
- ²⁰ Comparison of Fig. 11a–c (the three rows) shows that information content of 3MI (thin-band/broad-band) is lower than 3MI (in-band/out-band) that is in turn lower than MSPI. The in/out-band configuration is thus more effective than the thin/broad band one. Even if MSPI has less view angles than 3MI, it provides higher information. We can therefore conclude that MSPI's spectral channel definitions are more suitable than ²⁵ those of 3MI for the current application.

The DOF (per retrieved parameter) and a posteriori error are obviously linked. In the following, we will therefore only consider the DOFs. Moreover, respective performances and differences between those spectral configuration are fairly invariant for the cases studied. For analysis of multi-angle observation, we therefore only present and discuss



hereafter results for 3MI thin/broad configuration. This provides a baseline evaluation of the (minimum) available information from multi-angle O_2 A-band measurements, knowing this could be improved through adjustment of the spectral channel definition (position and bandwidth).

- At this stage, it should be noted though that the impact of spectral configuration in terms of information content remains smaller than the additional information provided by multi-angular measurements when compared with single-view observations. To illustrate this, we have studied the information available from mono-angular vs. multiangular A-band ratio measurements which is illustrated by Fig. 12. Unlike other exam-
- ples, we choose here to use MSPI's A-Band ratio for this comparison to illustrate what can actually be achieved from single-view measurements in a favorable case where spectral configuration is optimized. Here the mono-view scenario is nadir-looking (0° zenith angle) and the multi-view assumption is the same as the case illustrated by Fig. 11. Figure 12a shows the information content on CTOP and CGT from mono-
- angular measurement. In this case, the information on CTOP is high but the A-band ratio does not bring information on CGT. As expected, retrieving two parameters with only one measurement is simply not possible, and this is clrealy reflected by the result. But the retrieval of CTOP appears indeed possible without any knowledge of CGT, as already noticed by Preusker and Lindstrot (2009). Even so, the information on CTOP is lower than MSPI's multi-angular measurements (Fig. 11).

In a second step, we evaluated whether information could be obtained on CGT if a priori knowledge is used on CTOP. For this purpose, we decreased the a priori variance on CTOP to 0.5 km corresponding approximately to the accuracy of a retrieval using the CO₂-slicing method (Platnick et al., 2003). By doing this, we determine the information content brought by the A-band ratio on CGT knowing CTOP with such accuracy. Figure 12b represents this information content for mono-angular measurement

and Fig. 12c for MSPI's multi-angular measurements. The results clearly illustrate that information content of mono-angular A-band ratio on CGT is comparable (though still smaller) to what is available from MSPI pending the fact that sufficient a priori knowl-



edge be available on CTOP. We also notice that some limited additional information is likewise brought on CTOP for low CGT and high CTOP. It means that A-band ratio is able to reduce the a priori volume even if this one is already small. Again, and as already discussed by Preusker and Lindstrot (2009), these results simply illustrate that mono-angular A-band measurement can be used to retrieve CTOP without knowl-

edge of CGT. When a priori knowledge on CTOP is provided, CGT could potentially be retrieved from single view observation.

This conclusion should however be considered in view of our present assumption that other non-retrieved parameters, such as COT or particle size, are quite well known.

- We then anticipate that multi-angle measurements will be more robust to noise but it remains to be investigated how the various errors on measurements and non-retrieved parameters impact the a posteriori errors on CGT for single-view or multi-angular observations. This issue is clearly out-of-scope for our present study since we focus on multi-angle measurements to retrieve simultaneously CTOP and CGT with no further a priori information on either (beyond that encapsulated in S_a).
 - 4.3 Cloud optical thickness variation

The effect of the optical thickness on measurement sensibilities were examined previously. Here, we study it in term of information content in order to take into account the measurement noise and uncertainty in non-retrieved parameters (COT and effective radius, the surface being considered black in this case).

Figure 13 shows information content of 3MI A-band ratio for the reference case as well as for several other optical thicknesses (same ones as in Sect. 3). The information content is, for optically thick (COT = 16) or thin (COT = 1) clouds, pretty close and significantly higher than for the intermediate optical thickness (COT = 4). This confirms

the finding in Fig. 6, where the LUT representation shows that retrieval of both CGT and CTOP is not feasible. The joint retrieval should however be possible for optically thin and thick clouds; the problem being to determine the limit between those cases as it could depend on cloud microphysics and/or on illumination and viewing geometry.



4.4 Impact of cloud microphysics

To evaluate whether cloud microphysics could have an impact on available information content, we studied DOFs for different assumptions on the droplet effective radius, and no significant effects on the information content on CGT and CTOP were noticed

- $_{5}$ (not shown). This is not surprising since the asymmetry factor g is the relevant optical parameter that links cloud microphysics to photon penetration within the cloud (Davis et al., 2009) and, for liquid droplets at least, it does not vary much at the A-band wave-length for the range of potential droplet sizes.
- To further confirm this finding, we imposed larger variation and uncertainty on the asymmetry factor by using the Henyey–Greestein phase function for the cloud's scattering properties. Figure 14 represents the partial degrees of freedom on CTOP and CGT in the same case as Fig. 11 but for three different asymmetry factor values: g = 0.5, 0.7 and 0.9. In this case, the forward model was calculated with Henyey–Greenstein phase functions with 10% error on the non-retrieved parameter g. The value of g = 0.7
- ¹⁵ (Fig. 14b) corresponds approximately to ice clouds, the value g = 0.9 (Fig. 14c) to liquid clouds, and the value g = 0.5 (Fig. 14a) represents an extreme lower value. Again those three cases do not show significant differences. We therefore conclude that the feasibility to retrieve of CTOP and CGT will not be impacted by uncertainties about cloud microphysics as a priori knowledge about asymmetry factor can be provided to ²⁰ better than 10%. These results presented in this paper can thus be extended to ice
- clouds.

4.5 Variations in solar and viewing geometry

The viewing geometry resulting from angular sampling (AS) could be an other important parameter. To restrict the number of angular configurations, we chose three differ-

ent AS precomputed for 3MI orbits, as described in Fig. 2. We made this choice to obtain representative observational configurations. Indeed, with a SZA of 30°, AS/orbit 3 corresponds to measurements in the backscattering direction, AS/orbit 1 in the forward



scattering direction, and AS 2 between them. Figure 15 shows the results of information content for these geometries applied on the reference case. The information content provided by these three configurations are very similar. We only notice a slightly lower information for AS/orbit 2 and 3 that might be due to a smaller contribution of the multiple scattering, hence reduced penetration of sunlight and photon pathlength into the cloud mass.

To gauge the effect of the SZA, we performed the same study but for two alternate settings, 0° and 60° , with the angular configuration in AS 1; see Fig. 16. As previously, the outcomes of cases SZA = 30° and 60° are quite close, and SZA = 0° gives a little less information. This configuration corresponds to the closest configuration of the backscattering directions as AS 3 in Fig. 15. This confirms that the information is somewhat weaker in the backscattering direction.

4.6 Addition of a Lambertian surface with varying albedo

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We showed in Sect. 3.2 that adding a surface decreases the sensitivity of the A-band on CTOP and CGT. Figure 17 shows the information content on CTOP and CGT when considering a surface albedo of 0.2, typical of land (and assumed known to ± 0.05) for the three different optical thicknesses studied before. This figure is to be compared with Fig. 13 for a black surface. First, for optically thick clouds (COT = 16, Fig. 17c) the information content does not change compared to Fig. 13. The cloud is too opaque and such surface has no effect on the A-band ratio. The case of COT = 4 is hardly affected by the addition of the surface either. However, for optically thin (COT = 1) clouds, the impact of the surface is important. Information on both CTOP and CGT decrease. It was already noticed qualitatively in Sect. 3 (Fig. 7a) that the sensitivities on CTOP

and CGT are lower above brighter surfaces. By taking into account this decrease of sensitivity and the forward model errors, information on CGT will become very low and the retrieval of CGT impossible for low values of COT. Figure 18 presents the information content for the same cases but with a surface albedo of 0.8, representative of fresh snow or ice. As before, information for COT = 1 becomes too low. However, in



comparison with Fig. 17, and contrary to what we expected looking at Fig. 9, the high information content for optically thick clouds (COT = 16, Fig. 18c) is not dramatically affected by such bright surface. For COT = 4, the information on CGT interestingly increases, comparing with a black surface where both CGT and CTOP were sensitive to

⁵ the average ratio, but not the standard deviation (cf. Fig. 6). We attribute this increase in sensitivity to cloud properties to the fact that clouds of intermediate optical depth are highly transmissive in diffuse light, and much of this transmitted light is re-transmitted by the cloud after surface reflection, cumulating more path length in the dioxygen.

For bright surfaces, Figs. 9 and 10 show that CTOP is rather sensitive to the angular standard deviation and CGT rather to the mean of the A-Band ratio. We have thus independent information on CTOP and CGT. For optically thin clouds (COT = 1), for some cases of CTOP and CGT, the information is higher and for some others it is lower than less bright surfaces. This case is very non-linear due to multiple reflections between surface and cloud. The A-band ratio will depend strongly on surface albedo, COT and absorption below the cloud which depends on the cloud base altitude. We

can also notice that information on CGT is not sufficient in most of cases, contrary to CTOP.

To summarize, the retrieval of CTOP over bright surfaces is feasible regardless of the COT and albedo, noting that both properties need to known, although not perfectly. This is also the case for CGT along with CTOP for optically thick clouds. For optically thin clouds, on the other hand, retrieving CGT seems to remain challenging using the

anticipated 3MI spectral configuration.

5 Conclusions

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The main goal of the present work has been to study the O_2 A-band in terms of infor-

²⁵ mation content for multi-angular two-channel measurements provided by different future instruments, specifically, 3MI and MSPI. Although earlier studies already revealed the sensitivity of the A-band to the cloud top altitude and geometrical thickness, they



did not always *-count for measurement noise and errors due to uncertainties in the non-retrieved parameters, and were limited to thick clouds above black surfaces. In this study, we consider optically thick clouds as well as optically intermediate and thin clouds. In addition, we look at the information content above Lambertian surfaces with ⁵ moderate and high albedo. Main results are:

- 1. MSPI's configuration seems to be more appropriate and the use of an external non-absorbing band seems more efficient than a broad spectral channel covering the A-band and some neighboring continuum wavelengths.
- 2. Information on CTOP is high in almost all studied cases and this parameter seems to be retrievable using an optimal estimation scheme.

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- 3. The retrieval of CGT seems to pose problems in some cases. Over a black surface, information could be too low for CGT smaller than 1–2 km. Over a brighter surface, this information is decreased for most of cases, but not for optically thick clouds.
- Interestingly, sensitivity to CGT increases for relatively thick (CGT ≥ max{2, CTOP 2} km) clouds of intermediate optical thickness (COT ≈ 4) when they occur over the brightest surfaces, due to the extra pathlength cumulated in the cloud after surface reflection.

This study aimed to determine the capabilities of multi-angle A-band measurements,

- ²⁰ but other spectral regions could be useful to retrieve CTOP and CGT. For instance, polarized radiances in the deep blue are sensitive to CTOP (Goloub et al., 1994). It shall be noted that other planned or already launched missions carrying sensors that provide measurements in the O₂ A- and B-bands could still benefit from our analysis. We can take as examples the Japanese Second generation Global Imager of the Global
- ²⁵ Change Observation Mission Climate (SGLI/GCOM-C) and the Earth Polychromatic Imaging Camera on the DSCOVR spacecraft (EPIC/DSCOVR) that observes the sunlit Earth from the Lagrange "L1" point. Additionally, but out-of-scope of the present



study, A-band measurements at high spectral resolution from OCO-2 or GOSAT, even at a single view angle, could also be used to retrieve similar cloud information with the additional limitation of coarse spatial resolution leading to larger uncertainties in the forward model.

5 Appendix A: The optimal estimation approach to information content analysis

In the Rodgers (2000) formalism for the optimal estimation ofmodel parameters from observations, measurements are represented by the "data" *m* vector *y* (in this study containing the multi-angle suite of A-band ratios, e.g., m = 9 and 15 respectively for MSPI and 3MI) and the retrieved parameters are contained in the "state" *n* vector *x* (here containing CTOP and CGT, i.e., n = 2). The corresponding information content theory uses Gaussian probability functions (PDFs) to relate, through Bayes' theorem, the measurement space and the state space. Since the PDFs are assumed to follow multi-variate Gaussian distributions, they are defined by their means and variance–covariance matrices:

- S_a for the PDF of the a priori state vector representing our "knowledge" of the state vector before any measurements are made;
 - S_x for the PDF of the a posteriori state vector representing our "knowledge" of the state vector accounting for the measurements;
 - \mathbf{S}_e represents the variance–covariance matrix of the measurement and the forward model errors.

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We first need to define the forward model variance–covariance matrix and particularly errors due to the non-retrieved parameters we use in the forward model. S_b will be the variance–covariance matrix of those non-retrieved parameters (assumed diagonal). The variance–covariance matrix associated to the model errors S_f is therefore



computed as

$$\mathbf{S}_{f} = \mathbf{K}_{b} \mathbf{S}_{b} \mathbf{K}_{b}^{T}$$

with **K**_b being the Jacobian of the non-retrieved parameters, which represents the sensitivity of the forward model to those non-retrieved parameters, and superscript "T" ⁵ meaning transpose.

We can then compute the variance–covariance matrix S_e of the measurements and forward model errors, respectively S_v , S_f :

$$\mathbf{S}_{\varepsilon} = \mathbf{S}_{\mathbf{y}} + \mathbf{S}_{\mathbf{f}}.$$
 (A2)

The a posteriori variance–covariance matrix S_x , with the diagonal elements representing the uncertainties on the best retrieval, is expressed as

$$\mathbf{S}_{\mathbf{X}} = \left(\mathbf{S}_{a}^{-1} + \mathbf{K}^{\mathsf{T}}\mathbf{S}_{\varepsilon}^{-1}\mathbf{K}\right)^{-1}.$$
(A3)

The term **K** represents the kernel (or Jacobian) matrix, which describes the sensitivity of the forward model to each parameter to be retrieved. A posteriori retrieval errors for the *i*th parameter is

The notion of information content was introduced by Shannon (1948). They developed this theory by establishing an analogy between the information carried by a signal and the entropy of its PDF. Later, Rodgers (2000) applied this idea to his formalism. He defined the information content H_s of measurements by the difference between the a priori and a posteriori entropies of the respective gaussian PDFs defined by the matrices S_a and S_x :

 $H_{\mathrm{s}} = \frac{1}{2} \log_2 \left(\|\mathbf{S}_{\boldsymbol{x}} \mathbf{S}_{\mathrm{a}}^{-1}\| \right).$

1

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(A5)



 $H_{\rm s}$ thus quantifies the reduction of the number of possible states from the a priori state space to the best-estimate a posteriori state space. Rodgers describes another way of quantifying this volume reduction, by using the "averaging kernel" matrix:

$$A=\frac{\partial \hat{x}}{\partial x},$$

with \hat{x} representing the best estimate of the state vector and x the true state vector. A is therefore the sensitivity of the retrieval to the true state. It is a simple function of the a priori and a posteriori volumes:

$$A = I_n - \mathbf{S}_{\mathbf{X}} \mathbf{S}_{\mathbf{a}}^{-1}, \tag{A7}$$

where I_n is the $n \times n$ identity matrix. From Eqs. (A5) and (A7), we can express the information content H_s as:

$$H_{\rm s} = \frac{1}{2} \log_2 \left(\|I_n - A\| \right). \tag{A8}$$

We can also express the total number of degrees of freedom d_s as a function of the averaging kernel matrix. The degree of freedom is a measure of the number of independent pieces of information contained in the observing system. It is expressed as

$$d_{\rm s} = {\rm Tr}(A).$$

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Note that its maximum value is equal to the dimension n of the state vector. We can also get the *partial* degree of freedom of the *i*th parameter attached to each element of the state vector of x:

20 $d_{s,i} = A_{ii}$.

It represents the information brought by the measurements on the parameter x_i (i = 1, ..., n).



(A6)

(A9)

(A10)

This partial degree of freedom is a very practical tool for quantifying information content. Indeed, $d_{s,i}$ lies between 0 and 1, with a low value representing a low information and conversely when it approaches unity. Partial degree of freedom is therefore what we use throughout our study, with the a posteriori variance–covariance matrix S_x in Eq. (A3), to study the information content of our measurements, namely, multi-angle O₂ A-band "in/out" ratios. Note that, from Eq. (A4) on the one hand, from Eqs. (A7) and (A10) on the other hand, that $d_{s,i}$ increases when σ_i decreases.

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 Table 1. Future 3MI spectral bands.

	Central wavelength (nm)	Bandwidth (nm)	
S	410	20	Y
VIS-NIR	443	20	Y
	490	20	Υ
	555	20	Υ
	670	20	Υ
	763	10	Ν
	765	40	Ν
	865	40	Υ
	910	20	Y
SWIR	1370	40	Y
	1650	40	Υ
	2130	40	Υ

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Figure 1. 3MI's filter models. The O_2 transmittance is indicated by the black line. The green line represents the out-band filter (748.95–753.25 nm), the red the broad-band (745–785 nm), the blue 3MI's in- or thin-band (758–768 nm), and the yellow line MSPI's in-band (762.5–764.9 nm).





Figure 2. Angular sampling from the choice of MSPI's and 3MI's view angles.





Figure 3. Basic pathways for a reflected photon by the atmosphere–surface system to reach the sensors. Molecular reflection which is weak is not prented.











Figure 5. Effect of cloud geometrical thickness variation CGT on the band ratio. $SZA = 30^{\circ}$, VAA = 0°, CTOP = 6 km, (a) COT = 1, (b) COT = 4, (c) COT = 16.











Figure 7. Same as Fig. 4 with a surface albedo of 0.2. (a) COT = 1, (b) COT = 4, (c) COT = 16.





Figure 8. Same as Fig. 5 with a surface albedo of 0.2. (a) COT = 1, (b) COT = 4, (c) COT = 16.











Figure 10. Same as Figs. 5 and 8 with a surface albedo of 0.8. (a) COT = 1, (b) COT = 4, (c) COT = 16.











Figure 12. Comparison between mono- and multi-angular A-Band ratio with MSPI's configuration: (a) mono-angular A-band ratio DOF (VZA = 0°, nadir), (b) same as (a) with a reduced a priori standard deviation on CTOP (0.5 km), and (c) same as (b) for multi-angular measurements (orbit/AS 1). COT = 16, $r_{\text{eff}} = 12 \,\mu\text{m}$, $v_{\text{eff}} = 0.02$, SZA = 30°.





Figure 13. Information content of 3MI A-band for different COTs: (a) COT = 1, (b) COT = 4, (c) COT = 16. Partial DOFs for CTOP (left) and CGT (right).





Figure 14. Information content of 3MI A-band with a COT of 16 for different asymmetry factors: (a) g = 0.5, (b) g = 0.7, (c) g = 0.9. Partial DOFs for CTOP (left) and CGT (right).





Figure 15. Information content of 3MI A-band with a COT of 16 for different orbits, hence angular samplings: (a) AS 1, (b) AS 2, (c) AS 3. Partial DOFs for CTOP (left) and CGT (right).





Figure 16. Information content of 3MI A-band with a COT of 16 for different illumination angles: (a) $SZA = 0^{\circ}$, (b) $SZA = 30^{\circ}$, (c) $SZA = 60^{\circ}$. Partial DOFs for CTOP (left) and CGT (right).





Figure 17. Same as Fig. 13 with an albedo of 0.2.





Figure 18. Same as Figs. 13 and 17 with an albedo of 0.8. There is an interesting increase in information content for the moderately opaque (COT = 4) clouds when they are relatively thick, say, CGT \ge max{2,CTOP-2} km.

