Methane optical density measurements with an integrated path 1 differential absorption lidar from an airborne platform 2

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10 Abstract. We report on an airborne demonstration of atmospheric methane (CH_4) measurements with an Integrated 11 Path Differential Absorption (IPDA) lidar using an optical parametric amplifier (OPA) and optical parametric 12 oscillator (OPO) laser transmitter and sensitive avalanche photodiode detector. The lidar measures the atmospheric 13 CH_4 absorption at multiple, discrete wavelengths near 1650.96 nm. The instrument was deployed in the fall of 2015, 14 aboard NASA's DC-8 airborne laboratory along with an in-situ spectrometer and measured CH₄ over a wide range 15 of surfaces and atmospheric conditions from altitudes of 2 km to 13 km. In this paper, we will show the results from 16 our flights, compare the performance of the two laser transmitters, and identify areas of improvement for the lidar. 17

- 18 Keywords: lidar, spectroscopy, methane, optical parametric amplifiers, optical parametric oscillators, airborne 19 instruments.
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23 Introduction 1

24 Methane (CH_4) is the second most important anthropogenic greenhouse gas (GHG) with a higher radiative forcing potential than Carbon Dioxide (CO₂) on a per molecule basis¹, making 25 anthropogenic CH₄ a critical target for mitigation. The current CH₄ global mixing ratio is 1852 26 parts per billion $(ppb)^{2, 3}$. Anthropogenic CH₄ is responsible for a significant portion of the 27 28 global warming produced by all well-mixed greenhouse gases and contributes to the formation of 29 ozone⁴, another GHG and air pollutant.

Despite the critical importance of CH₄ for climate, the existing CH₄ observing network has 30 31 proven inadequate to constrain global, regional, and sectoral sources, and explain observed 32 trends and variation in atmospheric CH_4 over the last few decades. Therefore, there is a critical 33 need for CH₄ observations for constraining the strength and distribution of methane's sources, 34 including natural (e.g., wetlands) and anthropogenic (e.g., energy sector) ones. For instance,

much of the year-to-year variations in methane's global growth rate are likely from variations in 35 36 wetland emissions and part of the recent increasing trend in methane's growth rate may be associated with increased energy extraction activities^{5, 6}. An adequate CH₄ observing network is 37 38 necessary to monitor the interaction between the carbon cycle and climate change, such as the 39 potential release of CH₄ from stored carbon reservoirs (e.g., Arctic and boreal soils) and changes 40 in natural emissions. The current CH_4 observing network does not provide the necessary data to 41 understand and constrain methane's sources, such as from permafrost thaw, wetlands, which 42 challenges our ability to make confident projections of future climate. The importance of measuring CH₄ is also reflected in the last National Research Council Decadal Survey for Earth 43 Science⁷ and the recent report by the Carbon Climate Workshop⁸. 44

Our current understanding of CH_4 distributions and processes is founded mostly on precise and accurate ground-based, in-situ measurements from global monitoring networks^{9, 10}. The location and frequency of these measurements is, however, very sparse on a global scale and is even sparser at high latitudes where the thawing Arctic permafrost is of particular concern. Large quantities of organic carbon are stored in the Arctic permafrost and a warming climate can induce drastic changes in carbon emissions and a subsequent positive feedback mechanism that can significantly accelerate climate change¹¹.

Global measurements from satellites are available from passive optical sensors AIRS¹², SCIAMACHY^{13, 14}, TES¹⁵, IASI¹⁶, and GOSAT¹⁷, but currently lack the required sensitivity to derive regional CH₄ sources. Passive sensors measuring reflected sunlight are limited to sunlit areas of the planet and their sensitivity falls off at low sun angles, increasing cloud cover, aerosol scattering, and low surface reflectivity. Recent observations indicate that the thawing Arctic permafrost is active even during the cold season¹⁸ highlighting the need for continuous sampling
at high latitudes even in the winter months.

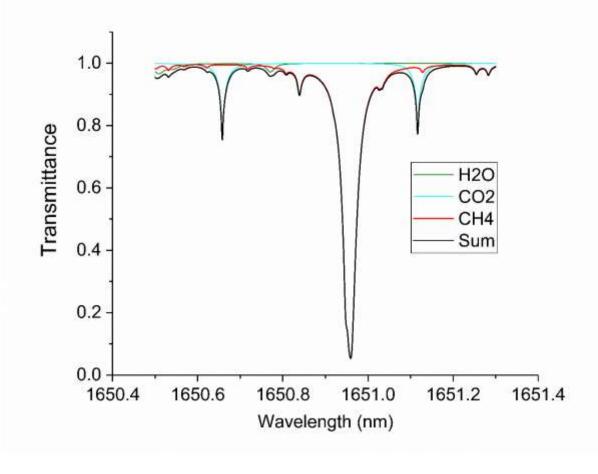
59 The benefit of active sensing missions is that they provide global CH_4 measurements where they 60 are really needed: in the absence of sunlight (i.e., at night and at high latitudes in all seasons), in 61 the presence of scattered or optically thin clouds and aerosols, over land and water surfaces, and 62 with higher accuracy and precision than currently available. Active measurements using laser 63 remote sensing technology will be a key step in obtaining measurements of CH₄ from orbit with sufficient coverage, sampling, accuracy and precision to address key science questions. The 64 65 French Centre National d'Etudes Spatiales (CNES) in collaboration with the German Aerospace 66 Centre (DLR) are developing an active methane mission called MERLIN (Methane Remote Sensing Lidar Mission) scheduled for launch in 2021^{19, 20}. The MERLIN mission targets an 8-36 67 68 ppbv relative random error in the methane column abundance with a 50 km horizontal resolution. At NASA Goddard Space Flight Center (GSFC), we have been developing an active, airborne 69 70 lidar to measure atmospheric methane using Integrated Path Differential Absorption (IPDA) as a 71 precursor to a space mission to measure CH₄ from orbit.

72 2 Instrument Description

An IPDA lidar measures the absorption of laser pulses by a trace gas when tuned to a wavelength
 coincident with an absorption line²¹⁻³¹. Using the instrument in a sounding (surface reflection)
 mode which enables integrated column trace gas measurements from orbit with relatively modest
 laser power.

The GSFC IPDA lidar uses a tunable, narrow-linewidth light source and a photon-sensitive detector coincident with a CH_4 absorption at 1650.96 nm. The CH_4 spectrum at 1650.96 nm is well suited for active remote sensing. The CH_4 line is mostly isolated from adjacent CO_2 lines

and there is very little water (H₂O) vapor interference. The MELRIN line at 1645.55 nm is less suitable for our technique because it is interfered with by H₂O vapor at ~1645.47 nm and it is wider than our line (~56 pm vs. ~36 pm), an important consideration because it increases the tuning requirement for our laser transmitter. Fig. 1 shows the two-way atmospheric transmittance spectrum around 1650.96 nm from a 400 km orbit using the 2008 HITRAN database³² and a US standard atmosphere.



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Fig. 1. Two-way atmospheric transmittance near 1650.96 nm a from a 400 km orbit using the 2008 HITRAN
 database and a US standard atmosphere. The CH₄ line is mostly isolated from adjacent CO₂ and H₂O vapor lines.

Although in principle, only two wavelengths ("on" and "off" the line) are needed to determinethe transmittance through the atmospheric column, our technique uses multiple wavelengths to

92 probe the absorption feature. Using multiple wavelengths can reduce errors that may affect the 93 measurement precision³³, measure the spectral shift of the line with changing atmospheric 94 pressure³⁴, generate atmospheric backscatter profiles of the entire column³⁵, and enable retrievals 95 of trace gas mixing ratios above and below the planetary boundary layer³⁶.

An early version of our instrument²⁵ flew in 2011. The major differences between the system in 96 97 ref. 25 and the new instrument are: 1) the detector: in 2011 we used a very low (<1%) quantum 98 efficiency (QE) photomultiplier tube (PMT) with very limited dynamic range. The new 99 instrument used an enhanced avalanche photodiode (e-ADP) with ~90% QE. 2) The type and 100 energy of the transmitter(s): In 2011, we used a low energy Optical Parametric Amplifier (OPA) 101 laser transmitter with pulse energy of $\sim 10 \ \mu$ J. The new airborne lidar used an OPA and an 102 Optical Parametric Oscillator (OPO) with pulse energies of ~25 µJ and ~250 µJ respectively. 3) 103 The opto-mechanical layout and data acquisition system were completely redesigned and 104 considerably improved. As a result, spurious effects such as etalon fringes were dramatically 105 reduced which improved the precision of the instrument.

Our new airborne IPDA lidar used two different laser transmitters. The first is an Optical Parametric Amplifier (OPA) and the second is an Optical Parametric Oscillator (OPO). Only one laser transmitter is used at a time by using a movable mirror to select the desired transmitter. A simplified block diagram of our lidar is shown in Fig. 2 and is based on our previous work with optical parametric generation³⁷.

The OPA, used 20 wavelengths, but was simpler to implement than the OPO, because it did not require an optical resonator cavity, was easier to align and tune, and used only two seed lasers. However, it is extremely difficult to scale the OPA energy to the level needed for space and still maintain a narrow linewidth. Depending on the receiver size and other instrument parameters

115 we calculate that approximately 600 µJ is needed to obtain a measurement with a 0.5% precision. 116 The underlying reason for the wider linewidth is the large mismatch between the seed and pump 117 energies, which makes it very difficult to amplify the seed with the desired spectral 118 characteristics. If the seed laser power can be significantly scaled up and back-conversion can be suppressed then it may be possible to achieve energies of 600 µJ out of the OPA with the 119 120 desired spectral characteristics. 121 In the OPO, narrow linewdith is achieved by using an optical resonator cavity, which also 122 enhances the energy of the non-linear conversion. Our OPO uses five wavelengths and a 1.2 mJ 123 GSFC-built solid-state pump laser with a triangular optical ring cavity. The OPO energy could 124 be scaled to space (~600 μ J) and maintain a narrow linewidth with a suitable higher energy pump 125 laser and improved optical design. However, the OPO currently requires a separate seed laser 126 and complex optical phase-lock loops for each wavelength used.

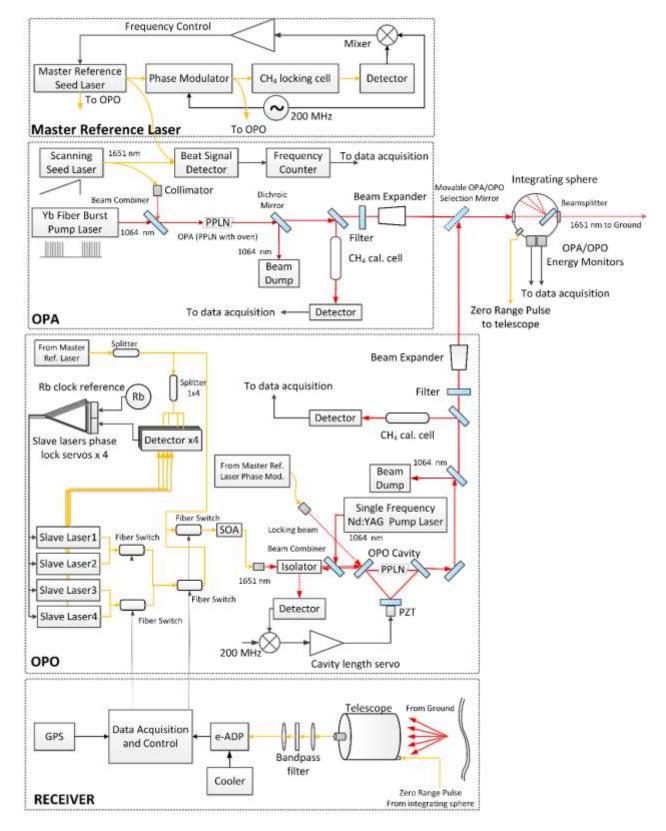




Fig. 2. Simplified functional block diagram of our IPDA lidar. The lidar can use one of two different laser
 transmitters using a movable selection mirror: An Optical Parametric Amplifier (OPA) or an Optical Parametric

Oscillator (OPO). The transmitters use DFB diode lasers for seed lasers but different pump lasers. Only one laser transmitter is operating during flight.

133	The first transmitter option (OPA) consists of a magnesium oxide-doped periodically poled
134	Lithium Niobate (MgO:PPLN) crystal which is pumped by a pulsed single-frequency 1064 nm
135	laser and seeded by a continuous-wave (CW) 1650.96 nm laser diode. The pump laser is a
136	custom burst-mode Yb fiber laser from Fibertek Inc., based on a Master Oscillator Power
137	Amplifier (MOPA) configuration ³⁸ . The pump laser was optimized for high peak power and
138	generated 600 μ J in a burst pulse. Each burst pulse consists of twenty individual 3 ns pulses
139	separated by 85 ns with the individual pulse energies in the burst varying from 2 to 10 μ J. An
140	example of the OPA burst pulse is shown in Fig. 3.

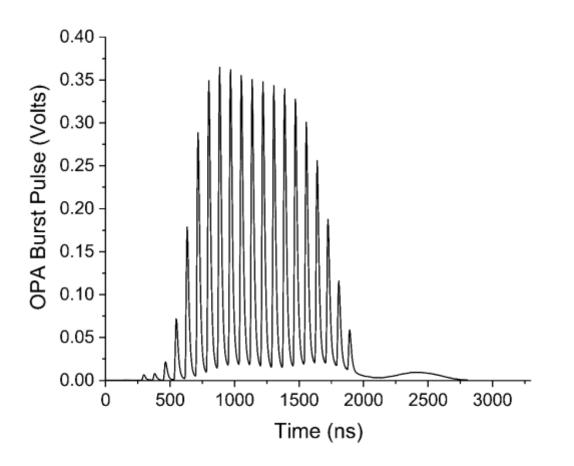


Fig. 3. Example of temporal shape of the OPA burst pulse from the energy monitor detector showing individual pulses within the burst pulse.
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The OPA output varies non-linearly with the peak power of the pump so the variation in the individual pump pulses resulted in very low conversion in the OPA of the low energy pulses.
The linewidth of the OPA was ~500 MHz. The pump laser was delivered with a bare, large mode area (LMA) fiber output that optimized the power output but was not suitable for flight.
Prior to our flights, we connectorized the output and the burst pulse energy was reduced to 350 µJ per burst pulse.

151 Two distributed-feedback (DFB) CW diode lasers, a master reference and a scanning seed, from

152 NEL America (NLK1U5FAAA), are used in the OPA. The wavelength of the master reference

laser is locked on the absorption peak at ~ 1650.96 nm using a 16.5 cm cell containing ~40 mbar of CH₄. The locking technique is the same for both the OPA and OPO, and is described by Numata^{39, 40}. It is based on the technique used by Pound–Drever–Hall⁴¹ and is similar to the technique used by Fix⁴². We estimate that the long-term drift of the master laser frequency is ~ 2 MHz, based on our experience with similar DFB seed lasers for CO₂.

The scanning seed laser is tuned over the CH_4 line by rapidly scanning the laser current. The beat signal between the master reference laser and the scanning seed laser is measured by a frequency counter and recorded by the data acquisition system. The frequency of the beat signal is converted into the OPA wavelengths in post-processing.

162 The scanning seed and pump laser beams are combined with a beam combiner and focused 163 through the PPLN crystal. The temperature of the PPLN crystal can be temperature-tuned to 164 optimize the phase matching at the seed wavelength. The unconverted pump beam at 1064 nm is 165 separated from the signal beam at 1650.96 nm using a dichroic mirror and directed into a beam 166 dump. A small part of the OPA beam at 1650.96 nm is also directed through an 8 cm reference 167 cell containing ~170 mbar of CH₄ for calibration purposes and a blocking filter prevents any 168 remaining 1064 nm radiation from existing the aircraft. The main OPA output beam is directed 169 through a beam expander to reduce its divergence. The final output energy of the OPA 170 transmitter exiting the aircraft was approximately 25 µJ per burst pulse and 20 wavelengths were 171 used in each wavelength scan to sample the CH₄ lineshape.

The second transmitter (OPO) consists of another temperature controlled PPLN crystal inside a three-mirror cavity. The temperature of the PPLN crystal can be temperature-tuned to optimize the phase matching at the seed wavelength. The OPO is pumped by a pulsed single-frequency 1064 nm Nd:YAG laser and seeded by five CW DFB lasers at ~1650.96 nm. The pump laser of the OPO is a custom-made GSFC single frequency Nd:YAG laser with a ~60
ns pulse width and maximum energy of 1.2 mJ per pulse at a 5 kHz repetition rate.

178 The same master reference seed laser used in the OPA is used for the OPO. Part of the phase-179 modulated master reference beam (labelled "locking beam" in Fig. 2) is used to lock the OPO 180 cavity using a cavity length-control servo and a piezo electric transducer (PZT). Four additional 181 slave DFB diode lasers are offset-locked to the master reference laser by an integral number of 182 the OPO cavity free-spectral range (FSR) using the beat signal from four detectors and four 183 optical phase locked loop servos and a Rubidium frequency reference. Thus, the OPO samples 184 the CH_4 absorption at five wavelengths (one master and four slave). The wavelengths are 185 selected by switching fast (NanoSpeedTM) 1x2 fiber optic switches made by Agiltron.

186 After exiting the OPO cavity the unconverted pump beam at 1064 nm is separated from the 187 signal beam at 1650.96 nm using a dichroic mirror and directed into a beam dump. After the 188 dichroic mirror, a small part of the OPA beam at 1650.96 nm is directed through a 5 cm CH₄ 189 reference cell containing ~ 260 mbar of CH₄ for calibration purposes and a blocking filter 190 prevents any remaining 1064 nm radiation from existing the aircraft. The main OPO output 191 beam is directed through a beam expander to reduce its divergence. The maximum output energy 192 of the OPA transmitter exiting the aircraft was approximately 250 μ J per pulse. The measured 193 linewidth of the OPO was less than 300 MHz but the measurement was limited by the resolution of the Febry-Perot etalon we used³⁹. 194

195 The divergence for both laser transmitters was ~150 μ rad. Prior to exiting the aircraft through 196 the nadir port, a wedged beam splitter sends a small portion of the outgoing beams (~4 %) to an 197 8.9 cm diameter integrating sphere with two InGaAs detectors attached to one of its ports (one 198 for the OPA and one for the OPO). The detectors measure the outgoing energy monitor pulses

199 for the OPO or OPA and are digitized by the data acquisition system. The energy monitor pulses 200 are used to normalize the reflected pulses from the ground every 1/16 second in post processing. 201 In addition to the energy monitors, a multimode 200-µm core fiber is also connected to a port of 202 the integrating sphere and collects a small fraction of the outgoing laser energy. The multimode 203 fiber output is collimated and fed back into the receiver telescope and on focused on our 204 sensitive detector to provide a zero range pulse (or "start pulse") for our ranging algorithm. The 205 time of flight from the zero range pulse to the reflected pulses from the ground is used to 206 determine the IPDA lidar range.

207 The laser pulses reflected from the ground are collected by a commercial 20 cm diameter 208 receiver telescope (Vixen VC200L) with an effective focal length of 2 m and are coupled into an 209 anti-reflection (AR) coated 600-µm core multi-mode fiber. The receiver field of view (FOV) 210 was 300 µrad. The receiver fiber output is collimated by a lens and directed through a 0.8 nm 211 (FWHM) band pass filter, and then focused onto a HgCdTe enhanced avalanche photodiode (e-ADP) by DRS Technologies $^{43-45}$. The detector is a 4x4-pixel array, with the pixel pitch being 80 212 213 µm with no gaps between pixels. The detector is operated at 80K and its electrical bandwidth is 214 ~7 MHz.

The signals from the frequency counter, reference cell (OPA or OPO), the energy monitor (OPA or OPO), the zero range pulse, and ground return pulses are digitized by a National Instruments[©] PXI-based data acquisition system containing a FlexRIO FPGA Module, a FlexRIO Digitizer Adapter Module, a Timing and Synchronization Module, and a Global Positioning System (GPS) module. All signals are averaged every 1/16 second and the files are time stamped by the GPS time. Additional averaging can be performed in post-processing. The major parameters of the airborne IPDA lidar are summarized in Table 1 below.

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Table 1 Instrument Parameters

Parameter	OPA	OPO
Center Wavelength	1650.958 nm	1650.958 nm
Number of wavelengths used	20	5
Transmitter Energy/pulse	~25-30 µJ	~250 µJ
Transmitter Pulse rate	10 kHz	5 kHz
Transmitter divergence	~150 µrad	~150 µrad
Spectral Linewidth	~500 MHz	<300 MHz*
Number of seed lasers used	2	5
Pump laser	Burst mode Yb Fiber	Single pulse Nd:YAG
Pump laser energy	350 μJ	1.2 mJ
Receiver diameter	20 cm	20 cm
Receiver Field of view	300 µrad	300 µrad
Receiver band pass	0.8 nm (FWHM)	0.8 nm (FWHM)
Detector	4x4 HgCdTe e-ADP	4x4 HgCdTe e-ADP
Detector Pixel Pitch	80 µm	80 µm
Detector QE	~ 90%	~ 90%
Detector Temperature	80K	80K
Detector bandwidth	7 MHz	7 MHz
Averaging time	1/16 sec	1/16 sec

^{*}Linewidth measurement limited by the resolution of the scanning Febry-Perot etalon used.

224 **3** Airborne Demonstration Results

225 3.1 Flights

In late September 2015, the instrument was installed on the NASA DC-8 airborne laboratory,

- 227 based at Armstrong Flight Research Center Science Aircraft Integration Facility (SAIF) in
- 228 Palmdale, CA. The transceiver structure supported two small, vibration isolation, optical
- benches for the OPO and OPA, the receiver telescope, and the transmit optics components. A
- vibration isolation mechanism for the entire structure minimized the impact of aircraft vibrations.
- 231 The overall transceiver dimensions were approximately $0.9 \times 2.0 \times 0.8$ m³ and the total weight was
- 232 363 kg (Fig. 4). Two aircraft racks on either side of the transceiver structure held ancillary
- 233 instrumentation needed for the operation of the instrument (data acquisition and control
- 234 computers, detector, seed lasers, electronics, chillers for the pump lasers, etc.).



Fig. 4. The GSFC IPDA lidar installed on the NASA DC-8 airborne laboratory, in Palmdale, CA. The transceiver structure supported two optical benches for the OPO and OPA, the receiver telescope, and the transmit optics components. The overall transceiver dimensions were approximately 0.9×2.0×0.8 m³ and the total weight was 363 kg. Two instruments racks on either side of the transceiver contained the control and data acquisition electronics.

241	A Picarro in-situ analyzer (Picarro G1301-m) measuring methane, carbon dioxide, and water
242	vapor using Wavelength-Scanned Cavity Ring Down Spectroscopy was also installed at a
243	different location in the aircraft to provide in-situ CH4 reference measurements.
244	Three flights in the western United States were carried out in late September-early October 2015.
245	Flight planning was constrained by the limited number of flight hours available, the inclement
246	weather and aircraft maintenance issues. Each flight lasted about 4 hours and included several
247	segments at increasing altitudes from 2 to 13 km over varying topography, ground reflectivity
248	(including ocean), and atmospheric conditions. In addition, a spiral descent from ~13 km to near
249	the surface (~30-300 m depending on Federal Aviation Administration flight clearances) was

included in the flight plan in order to sample the localized vertical profile of the CH₄ mixing
ratio and associated meteorological parameters (pressure, temperature, humidity, etc.) using the
Picarro in-situ sensor and the aircraft's data acquisition system. The IPDA lidar was always
turned off below 1 km above ground level (AGL) to comply with strict laser safety requirements.
Fig. 5 summarizes our flight paths in the western US. The flight tracks and locations were
chosen to minimize the transit flight time and targeted areas of potential CH₄ emission sources.

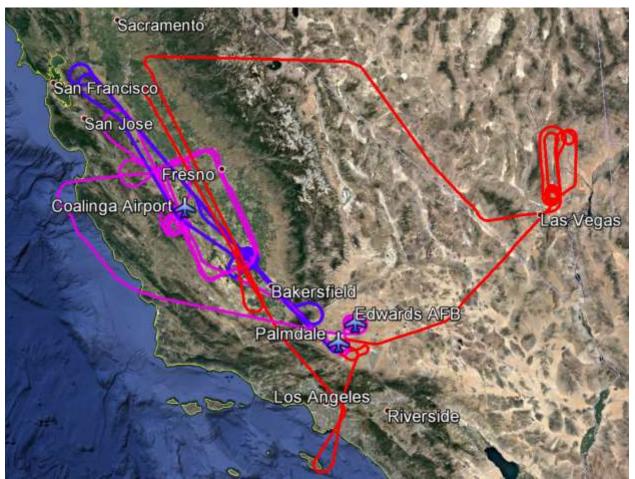




Fig. 5 Fight tracks for the 2015 flights. Flight 1 (blue), Flight 2 (red), Flight 3 (magenta).

For the first two flights, we used the OPA transmitter and for the third flight, we used the OPO.
The first flight was mostly over the Central (San Joaquin) Valley of California. We flew on a

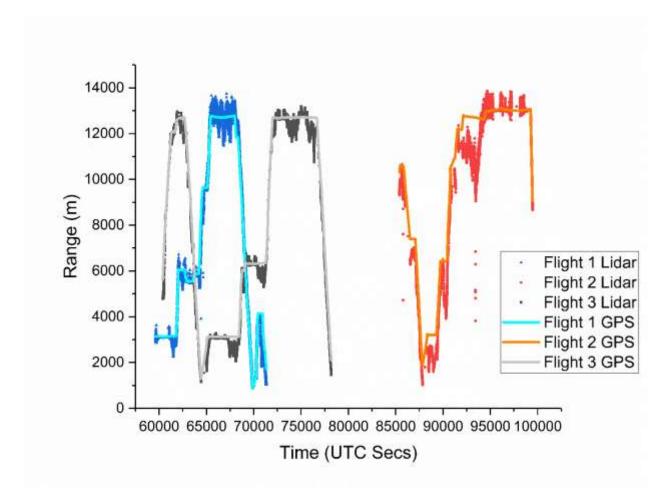
261 general south-north track, at three different altitudes at approximately 3.1, 5.9-6.0 km and 12.7

km. A large portion of the flight was in and over a dense cloud cover and the spiral descent
originally scheduled over Coalinga airport, CA was moved to approximately 40 km north of
Bakersfield, CA due to the weather conditions. The Coalinga airport was originally chosen due
to its proximity to a large feedlot.

The second flight targeted a large landfill approximately 30 km northeast of Las Vegas, NV. After an initial pass at ~10 km and a subsequent spiral descent and low pass over the landfill at ~300 m above ground level (AGL), two more flight segments were flown at 3.2 and 6.4 km. Then we transited over to the Central Valley, CA where we did two high altitude north-south flight segments at 12.7 and 13.1 km. Part of the Central Valley was completely covered by a dense cloud cover during our flight.

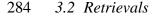
The third flight was again over the Central Valley of California mostly due to adverse weather conditions and flight restrictions at other candidate sites. We flew on a ~75×160 km² rectangular path centered on the Central Valley at three different altitudes: 3.1, 6.3 and 12.7 km. A spiral descent and low pass (~30 m AGL) was performed over Coalinga airport. Following the high altitude segment at 12.7 km, we flew over the Pacific Ocean and performed another spiral descent over Edwards Air Force Base (AFB), CA prior to landing in Palmdale.

278 The flight altitude profiles (GPS altitude and IPDA lidar range vs. time) are shown in Fig. 6.



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Fig. 6. Flight altitude (range) in m vs. time in UTC seconds since midnight as measured by the GPS receiver and our
 IPDA lidar for all three flights. The differences between the GPS and the IPDA lidar range are due to topography.
 The GPS measures the altitude above the mean sea level (or reference ellipsoid) but the IPDA lidar range is the
 altitude (range) above ground, which includes the topography.



Our retrieval algorithm uses a least squares fit to minimize the root mean squared error between the IPDA lidar measurements and the model prediction and is similar to the approach used by Abshire et.al.⁴⁶ in their CO₂ retrievals. The averaging time for the data acquisition system is 1/16 sec but the data is further averaged in post processing in 1-sec intervals. First, the range (path length) from the aircraft to the surface is determined from the laser pulse time of flight (TOF) by correlating the first return pulse with the zero range pulse and measuring the time delay of the correlation peak, following the cross-correlation approach by Amediek⁴⁷. The 292 aircraft is equipped with a GPS antenna and a radar altimeter and we compare our lidar range 293 with the radar range to ensure that that only valid ground return pulses are used in the retrievals. 294 If only cloud returns are present, the data is not used in the analysis. However, there were many 295 occasions we had multiple returns from cumulus and cirrus clouds, and the ground. Segments 296 that did not contain enough valid ground returns due to the presence of clouds or other 297 instrument issues were excluded from the analysis. Generally when fewer than 50% ground 298 returns are present over a 1-second averaging period the data were not used. The algorithm then 299 estimates the column average of CH₄ transmittance of the atmospheric column by fitting the 300 integrated pulse returns from the surface at each wavelength, after normalization by the 301 transmitted pulse energy, the filter transmission, and other instrument calibrations. The 302 algorithm compares the experimental with the theoretically calculated transmittance values and 303 adjusts the fit parameters, including the mixing ratio, to minimize the fit error. The theoretical 304 calculations used a Voigt lineshape, the lineshape parameters from the HITRAN 2008 database and line-by-line radiative transfer calculations⁴⁸. The impact of more complicated lineshape 305 306 functions and line mixing was not included in the calculations. However, recent spectroscopic measurements by Delahaye⁴⁹ for the MERLIN line at 1645.55 nm suggest that differences of 307 308 1.5% up to 5% in the lineshape may arise if these effects are not taken into account. Fig. 7 309 shows a theoretical CH₄ lineshape from a 400 km altitude orbit with a US standard atmosphere, 310 and a comparison of the corresponding wavelength sampling by the OPA and OPO (20 vs. 5 311 wavelengths).

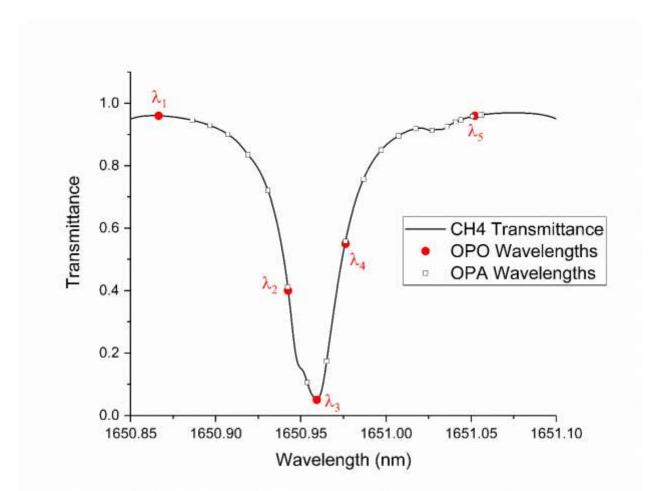


Fig. 7 Theoretical CH₄ transmittance from a 400 km altitude with a US standard atmosphere and a comparison of the approximate wavelength sampling by the OPA (black open squares, 20 wavelengths) and OPO (red solid circles, 5 wavelengths). For clarity, the OPO wavelengths are labeled $\lambda_1, \lambda_2, \lambda_3, \lambda_4, \lambda_5$).

317 The meteorological data for the vertical profile of the atmosphere are obtained from the spiral 318 descents, the Goddard Modeling and Assimilation Office (GMAO) Modern Era Retrospective -Analysis for Research and Applications (MERRA)⁵⁰ and the Goddard Earth Observing System 319 Model, Version 5 $(GEOS-5)^{51}$ with a sampling-interpolating interval of 1 second. The true CH₄ 320 321 mixing ratio profile over the entire flight path is of course, unknown. For simplicity, in our 322 analysis the CH₄ mixing ratio used in the radiative transfer calculations was set at a constant 323 1900 ppb. Although this value is clearly not an accurate estimate of the true mixing ratio for an 324 entire flight, it is not very different from the column average values obtained by the in-situ 325 spectrometer during our spirals and it provided a reasonable basis for estimating the precision,

but not necessarily the accuracy, of the IPDA lidar. In order to better assess the accuracy of an IPDA lidar more frequent spirals and/or data from radiosondes are needed to infer the mixing ratio profile over a flight path. Fig. 8 shows the time series data of the in-situ CH₄ mixing ratio measured by the Picarro, the theoretical CH_4 mixing ratio, set at 1900 ppb, and the CH_4 mixing ratio values obtained from our retrieval algorithm for flight 1. There are obvious difference between the instrument retrievals and those from the Picarro. That is to be expected since the Picarro is an in-situ measurement and the lidar measures the column average.

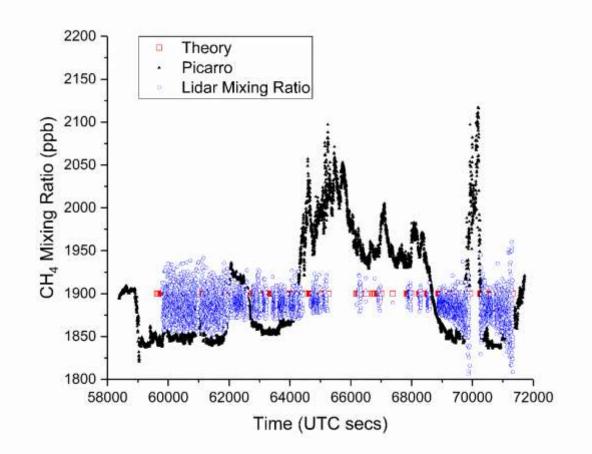


Fig. 8. Time series data for flight 1 showing the in-situ CH_4 mixing ratio as measured by the Picarro, the theoretical CH_4 mixing ratio (set at 1900 ppbv), and the CH_4 mixing ratio values by our retrieval algorithm. Outliers due to instrument adjustments and clouds were filtered out.

339 There were multiple outliers in our retrievals that were filtered out. These were mainly due to 340 two factors: instrument adjustments and optically thick clouds. Due to aircraft vibrations and 341 changes in the cabin temperature and pressure, the OPA transmitter needed alignment 342 adjustments during flight to re-optimize its power. In addition, the wavelength locking circuitry 343 and instrumentation that locked and reported the wavelength of each laser pulse, by measuring 344 the frequency of the beat note between the reference laser and the scanning seed laser 345 wavelengths, would occasionally report erroneous values. The average wavelength values are 346 used if the reported wavelength value did not deviate more than ± 20 pm from the moving 347 average wavelength value. Finally, a significant part of the flight was over broken, optically 348 thick clouds. When all the outliers due to broken clouds and instrument adjustments were 349 filtered out, the agreement between the theoretical CH_4 mixing ratio, set at 1900 ppb, and the 350 retrieved CH₄ mixing ratio values was very good and the standard deviation of the retrieved CH₄ 351 mixing ratio was 14.9 ppb or ~0.8% (14.9 ppb/1900 ppb). Assuming the column average CH₄ 352 mixing ratio did not vary significantly this value represents a reasonable estimate of the 353 measurement precision of our IPDA lidar. Another good way to assess the IPDA lidar 354 performance is to plot the experimentally retrieved differential optical depth (DOD) vs. the 355 theoretical value. The theoretical and experimental DOD values are determined by the 356 difference in optical depth (OD) between the on wavelength interpolated at the wavelength 357 closest to the peak (~1650.965 nm) and the average value of the OD at the off wavelengths to the 358 left and right of the absorption (~1650.887 and ~1651.056 nm respectively). After removing all 359 the outliers due to laser power adjustments, erroneous wavelength values and broken clouds, the 360 DOD Lidar vs. DOD Theory linear fit (Fig. 9) had a slope of 0.98 and an offset of -0.007. The R^2 value was 0.994. 361

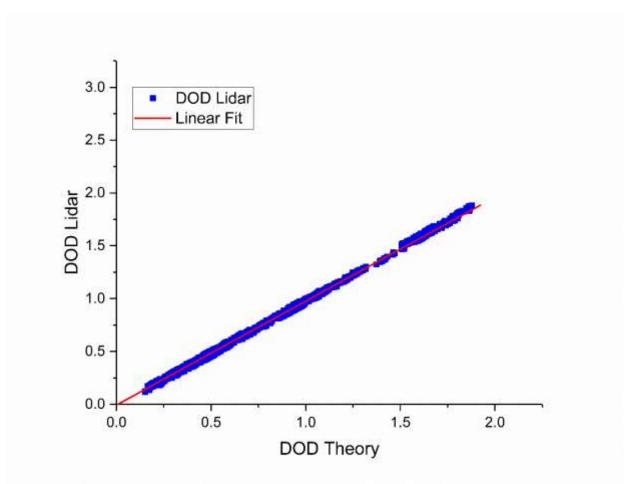
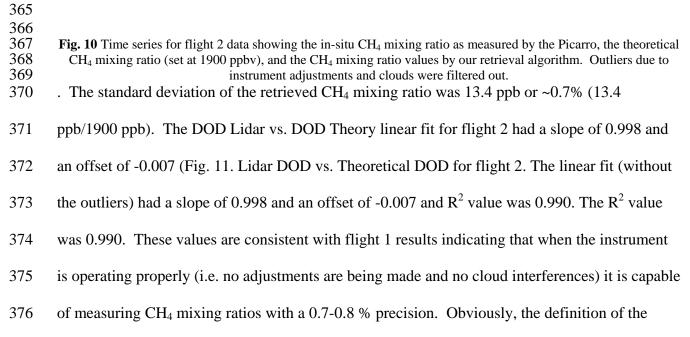


Fig. 9. Lidar DOD vs. Theoretical DOD for flight 1. The linear fit (without the outliers) had a slope of 0.98 and an offset of -0.007 and R² value was 0.994.



instrument "operating properly" is subjective and in our case, it excluded sections of the flights
where the instrument needed adjustments. However, the current results provide "proof-ofprinciple" evidence that a multi-wavelength IPDA lidar with an OPA can provide high enough
precision for meaningful science measurements from an airborne platform over a varying
topography and altitudes from 2 to 13 km.

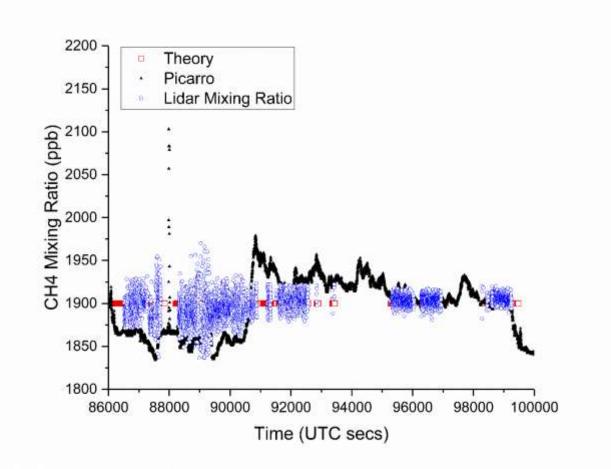


Fig. 10 Time series for flight 2 data showing the in-situ CH_4 mixing ratio as measured by the Picarro, the theoretical CH_4 mixing ratio (set at 1900 ppbv), and the CH_4 mixing ratio values by our retrieval algorithm. Outliers due to instrument adjustments and clouds were filtered out.

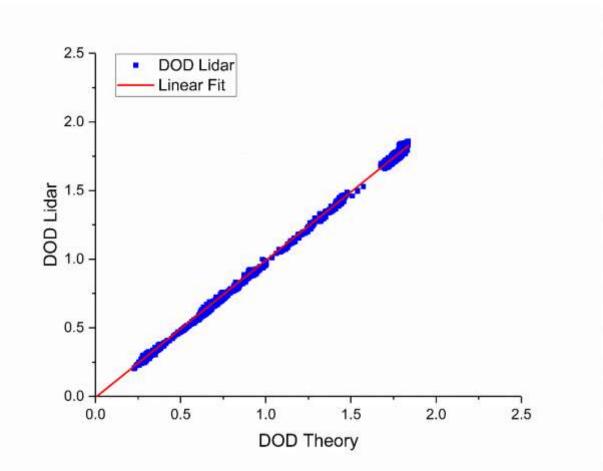


Fig. 11. Lidar DOD vs. Theoretical DOD for flight 2. The linear fit (without the outliers) had a slope of 0.998 and an offset of -0.007 and R² value was 0.990.
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391 The last flight (flight 3) used the OPO as the laser transmitter. As shown in Table 1, the OPO 392 used only five wavelengths vs. twenty for the OPA. Fewer wavelengths means that the lineshape 393 is under-sampled and thus, it is more difficult to identify and remove any baseline slope and/or 394 other artifacts in the data. The OPO transmitter also required adjustments during flight. In 395 addition, the high OPO energy (~250 µJ) presented additional challenges. It saturated our 396 detector especially at lower altitudes. Our initial plan to attenuate the received energy by 397 restricting the receiver aperture size with a variable iris did not work for the flight configuration 398 on the DC-8, even though we tested the idea successfully in the laboratory. The hardware that

399 was used to restrict the receiver aperture size produced a large near field backscatter when 400 installed in the aircraft saturating and turning off the DRS detector. As a result, it could not be 401 used for flight and thus, the OPO energy was too high for the detector, especially for the low 402 altitude flight segment and over highly reflective surfaces. The detector gain had to be turned 403 down to its minimum value for part of the flight where the detector was presumed to be non-404 linear. Our initial analysis showed a large discrepancy between the theoretical and experimental 405 DOD values. More importantly, we expected the discrepancy to be worse for the lower altitude 406 segment of the flight, where the detector was saturated and the gain was turned down to a 407 minimum. Contrary to our initial expectations, the DOD discrepancy was worse for the higher 408 altitude segment of the flight, where the detector was not saturated and operating in a linear 409 regime. Repeated post-flight calibrations of the DRS detector in the laboratory failed to uncover 410 any significant detector non-linearities within the digitizer dynamic range (1.23 V peak-peak) 411 that could account for the discrepancy we observed. For a given detector gain (bias) above 412 threshold, the detector is linear over at least two orders of magnitude and even when the detector 413 gain is set to its minimum value the results were repeatable and could be calibrated. Another 414 possible problem we uncovered in our post flight calibration was wavelength locking. 415 Wavelength 1 (λ_1) was initially reporting a "lock" status even though it was not always properly 416 locked on the correct wavelength. The problem was corrected quickly during flight (shortly after 417 the first spiral around 64000 secs UTC) but the data prior to the correction had to be discarded. 418 We hypothesized that the other wavelengths might have also experienced the same issue later in 419 the flight. Several post-flight calibrations in the laboratory with a high-resolution wavemeter 420 showed that the wavelength locking circuitry was operating properly and the circuitry was 421 reporting the wavelength values correctly. A detailed analysis of the OPO reference cell

422	indicated that the discrepancy was not due to the detector or the wavelength locking. The
423	discrepancy was traced to the fast fiber optic switches used to switch between the five OPO
424	wavelengths. The switches have a small amount of crosstalk and although the crosstalk was
425	initially measured to be relatively small, (~1-1.5%), the effect on the signal can be significant
426	especially at higher altitudes. Because of the crosstalk, the total signal received at each
427	wavelength has contributions from all five wavelengths. Wavelengths 1 and 5 (λ_1 and λ_5) are
428	"off line" and are not absorbed. Wavelengths 2, 3, 4 (λ_2 , λ_3 , λ_4) however, are absorbed and the
429	amount of absorption increases with altitude. As the altitude (absorption) increases the "on line"
430	wavelengths (λ_2 , λ_3 , λ_4) signals, have increasing contributions from the off line wavelengths (λ_1
431	and λ_5). Thus, a correction factor is needed to account for the crosstalk. The analysis of the
432	reference cell provided the initial evidence and estimate of the crosstalk correction factor.
433	Further refinement of the average correction factor at three different flight altitudes (3.1, 6.3 and
434	12.7 km) was obtained by ratioing the raw integrated pulse energies at wavelengths 1, 2, 4, and 5
435	to wavelength 3 and comparing the actual with the theoretical values. Obviously, the correction
436	factor values for different altitudes are just average estimates, not exact values and they vary
437	with altitude and topography. As the aircraft ascends or descends or the topography changes the
438	crosstalk factor will change. Furthermore, as the performance and gain of the OPO cavity
439	changes there is no guarantee that the crosstalk between wavelengths will remain fixed. The
440	crosstalk correction factor accounted for the observed discrepancy for the three constant flight
441	altitude segments of flight 3 (3.1, 6.3 and 12.7 km) and was applied to the analysis. Fig. 12
442	shows the time series data of the in-situ CH_4 mixing ratio from the Picarro, the theoretical CH_4
443	mixing ratio, set at 1900 ppb, and the retrieved CH ₄ mixing ratio values for the three constant
444	flight altitude segments (3.1, 6.3 and 12.7 km) used in the analysis. When the outliers were

removed, the standard deviation of the retrieved CH_4 mixing ratio was 21.4 ppb or ~1.1 % (21.4 ppb/1900 ppb). The DOD Retrieval vs. DOD Theory linear fit (Fig. 13) had a slope of 1.01 and an offset of -0.003. The R2 value was 0.999. These values are comparable but slightly worse to those obtained during flight 1 and 2 with the OPA but the number of outliers that were filtered out was higher.

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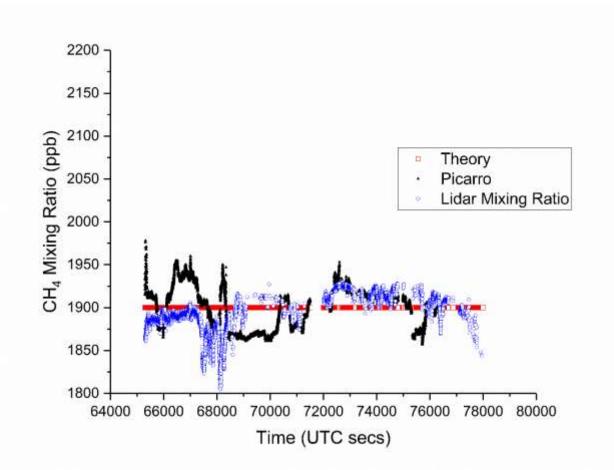
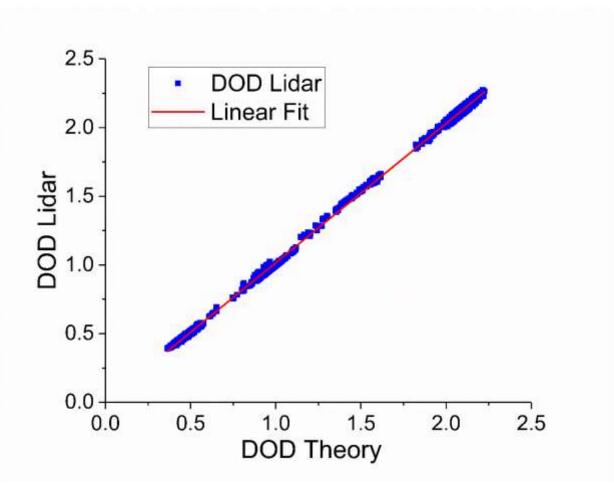


Fig. 12 Time series for flight 3 data showing the in-situ CH₄ mixing ratio as measured by the Picarro, the theoretical CH₄ mixing ratio (set at 1900 ppbv), and the CH₄ mixing ratio values by our retrieval algorithm.



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 Fig. 13. Lidar DOD vs. Theoretical DOD for flight 3. The linear fit had a slope of 1.01 and an offset of -0.003. The R² value was 0.999.

459 **4 Discussion**

The high accuracy and precision needed for CH_4 measurements poses several challenges for the IPDA lidar design. Currently the laser transmitter poses the greatest challenge. The transmitter must have narrow linewidth (<100 MHz), must be tunable to scan over the CH_4 absorption line (~250 pm), and must have high pulse energy. The exact energy requirement also depends on the detector quantum efficiency, receiver aperture size, and other instrument parameters. Our link margin calculations show that approximately 600 μ J is needed for space to achieve a 0.5% random error with a 1 m diameter telescope. 467 We have tried to address several potential error sources in our instrument design: Errors due to 468 cloud and aerosol scattering are minimized by our pulsed approach, which digitizes the entire 469 atmospheric column return and gates the returns from the ground. The IPDA lidar cannot 470 penetrate optically thick clouds. However, our ranging algorithm provides accurate knowledge 471 of the total pathlength minimizing the effect of multiple scattering and excluding returns from 472 clouds. In order to improve the accuracy of the measurement better knowledge of the 473 spectroscopic parameters of the CH₄ line and a more sophisticated lineshape function are needed. 474 The CH₄ line we used is actually comprised of multiple lines with different linestrengths and 475 temperature dependence.

476 There are obvious difference between the instrument retrievals and those from the Picarro. The 477 lidar values show less variation in the CH_4 mixing ratio, which is to be expected since the Picarro 478 is an in-situ measurement and the lidar measures the column average. The Picarro recorded a 479 significant increase in the in-situ CH₄ mixing ratio only for flight 1 despite the fact that we tried 480 to target landfills and other areas of increased CH₄ mixing ratios. No significant CH₄ mixing 481 ratio increase was observed near these areas by the Picarro for flights 2 and 3. The biggest 482 increase was observed during the spiral for flight 1 near the ground (around 7000 secs UTC in 483 Fig. 8) when the lidar was turned off to satisfy the laser safety requirements. The other big 484 increase was observed earlier in the flight (around 6600-6700 secs UTC in Fig. 8). The source of 485 that increase is unclear.

The predicted values (i.e. "truth") to which our experimental data are fitted to, assumed a constant CH_4 mixing ratio of 1900 ppb. The actual CH_4 mixing ratio profile over the entire flight path is of course, unknown. Although 1900 ppb is clearly not an accurate estimate of the true mixing ratio for an entire flight, it provided a reasonable basis for estimating the precision, but

490 not necessarily the absolute accuracy, of the IPDA lidar. In order to assess the accuracy of any 491 IPDA lidar multiple spirals and/or data from other sources such as radiosondes are needed to 492 measure the actual vertical distribution of CH₄ mixing ratio. Even then, differences and biases 493 will remain. Differences in the spectroscopic database (HITRAN 2012 vs. 2008), and effects 494 like line mixing and speed dependent profiles produce different results. Our incomplete 495 knowledge of the state of the atmosphere (pressure, temperature, and humidity) and the accuracy 496 of our meteorological model also contribute. Although the MERRA model was adequate for 497 these initial demonstration flights, in order to evaluate the IPDA lidar accuracy, better 498 knowledge and modeling of the state of the atmosphere and CH₄ vertical profiles at the local level are needed. These can be obtained in future flights by increasing the frequency and 499 500 location of the spirals, including data from other instruments and radiosonde data if available. 501 Finally, lidar issues due to a variety of factors such as shot noise, ground reflectivity, speckle 502 noise, wavelength and power stability of the laser transmitter, etalon fringes, and in the case of 503 the OPO cross talk between wavelengths all contribute to biases in the measurement. With the 504 limited data obtained from these demonstration flights, we are not able to separate individual 505 bias sources. However, we did observe that the random noise was reduced by the expected 506 $1/\sqrt{t_{av}}$, where t_{av} is the averaging time, for up to ~5-10 secs. After ~5-10 secs, no improvement in 507 the noise statistics is observed.

508 The CH₄ IPDA lidar needs significant engineering improvements to increase its reliability. The 509 opto-mechanical design, laser transmitter stability, for both the OPA and OPO needs to be 510 considerably improved to reduce the effects of vibration, temperature and pressure. The locking 511 electronics and diagnostics for the seed lasers and OPO cavity also need to improve. The 512 isolation between OPO wavelengths needs to increase by at least an order of magnitude to

eliminate the need for crosstalk correction factors. All of these improvements are feasible ifproper engineering resources can be applied.

515 The OPA, which used 20 wavelengths, produced better fits, was simpler to implement than the 516 OPO because it did not require an optical resonator cavity, and was easier to align and tune. 517 However, it is extremely difficult to scale the OPA energy to that needed for space (~ 600μ J 518 depending on the receiver size and other instrument parameters) and maintain a narrow 519 linewidth. The highest energy we obtained in the laboratory with our OPA was 290 µJ using a 520 two-stage OPA, and the burst-mode Yb fiber laser amplified by a custom solid-state amplifier as 521 a pump. However, at high energies, the OPA output spectrum typically consists of sharp peak 522 near the seed wavelength and a broad side lobe, when the parametric gain is high. In that case, 523 we cannot clearly define the linewidth but it is generally too wide for accurate CH₄ IPDA lidar 524 measurements. In addition, for a space mission we are aiming for a simple and efficient single 525 stage - not a complex multi-stage - OPA based on quasi-phase matching (QPM). In this 526 configuration, we have observed that the OPA output linewidth does not fully converge to the 527 seed linewidth, giving wide side lobes, especially when pump and seed fluences are high and low, respectively⁵². Similar side lobes were observed in seeded QPM-based OPA system for a 528 CO_2 lidar⁵³. Back-conversion and parametric amplification of the seed's side lobes are possible 529 530 causes. Complex OPA/OPG systems in other wavelength regions have been developed with a narrow linewidth⁵⁴. However, it is difficult to predict how they can be implemented with a 531 532 multi-wavelength IPDA lidar for space because of their complexity. If the seed laser power can 533 be significantly scaled up then it may be possible to achieve energies of 600 μ J out of the OPA 534 with a narrow linewidth. With the existing seed and pump laser technology, we do not see a path

to space for the OPA in the near future. However, it remains a viable transmitter for CH₄
measurements from an airborne platform.

In the OPO, narrow linewdith was achieved by using an optical resonator cavity, which also 537 538 enhances the energy of the non-linear conversion. Our 5-wavelength OPO uses a 1.2 mJ GSFC-539 built solid-state pump laser and a triangular optical ring cavity. We have since replaced the 540 GSFC-built solid-state pump laser with a smaller, compact Yb fiber laser and redesigned the 541 OPO cavity to improve stability. In the laboratory we demonstrated energies of ~250 µJ at 5 542 kHz with a narrow (transform limited) linewidth. The OPO energy could be scaled to space but 543 it requires complex optical phase-lock loops and cavity control. 544 In recent years, resonantly pumped Erbium (Er) doped YAG, Er:YAG and Er:YGG, lasers, 545 which directly emit at 1645.5 and 1650.96 nm, respectively offer another option for a CH₄ transmitter. Using Er: YAG for CH₄ detection dates back to 1972⁵⁵ and recent successful 546 547 demonstration and commercialization of high power and high spectral brightness pump sources have afforded the realization of resonant pumping of Er:YAG⁵⁶⁻⁵⁹ and Er:YGG^{60, 61}. The 548 549 emission cross-section of Er:YAG crystal is centered near 1645.3 nm and falls off rapidly at 550 1650.96 nm. It is near the MERLIN lines at 1645.55 nm which are relatively wide (~56 pm). 551 Our CH₄ line at 1650.96 nm is narrower (\sim 36 pm) which makes fast tuning easier. Unfortunately, 552 Er:YAG cannot be used as a gain medium at 1650.96 nm but Er:YGG can be used as a potential 553 medium for lasing at that wavelength. Both materials are good candidates for a CH_4 laser 554 transmitter. Power scaling for both materials, multi-wavelength operation and tuning 555 considerations remain. 556 Our preliminary radiative transfer calculations show that both lines (Er:YAG at 1645.55 nm and

557 Er:YGG at 1650.96 nm) have similar temperature sensitivity and are well suited for space born

558 CH₄ measurements. Recent high accuracy spectroscopic measurements indicate that line mixing 559 effects in the Er:YAG 1645.55 nm line⁴¹ should also be taken into account. We expect similar 560 effects to be present for the Er:YGG line at 1650.96 nm.

561 **5 Summary**

562 We reported on an airborne demonstration of atmospheric CH₄ measurements with an Integrated 563 Path Differential Absorption (IPDA) lidar using an optical parametric oscillator (OPO) and 564 optical parametric amplifier (OPA) laser transmitter and sensitive avalanche photodiode detector. 565 The lidar measured the atmospheric CH₄ absorption at multiple, discrete wavelengths near 566 1650.96 nm. The instrument was deployed in 2015 aboard NASA's DC-8 airborne laboratory 567 and measured CH₄ mixing ratios from 2 km to 13 km. Relatively high precision measurements 568 of 0.7% to 1.1 % were demonstrated for all three flights however, many areas of improvement 569 remain. The stability and reliability of the laser transmitters need to improve considerably but the 570 basic measurement approach has been demonstrated. We are currently improving our airborne 571 instrument with better opto-mechanical design and compact, more stable laser transmitters. We 572 hope to fly again in the near future when the next opportunity arise.

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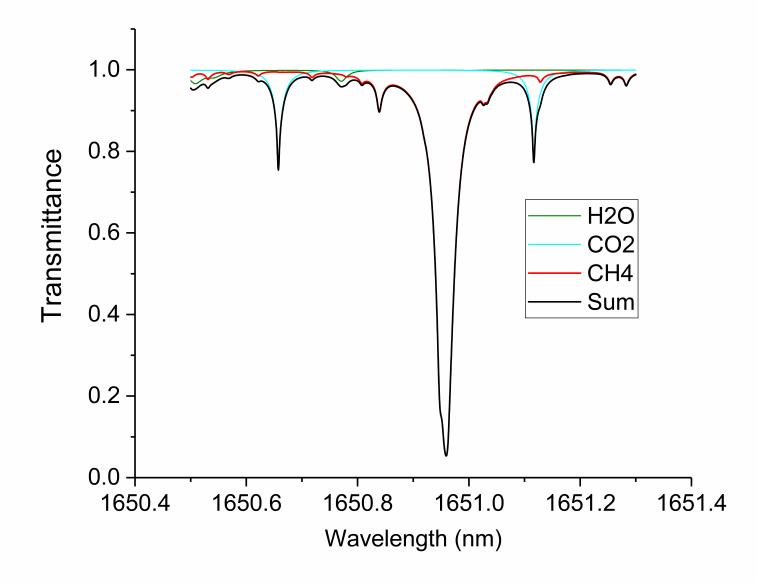
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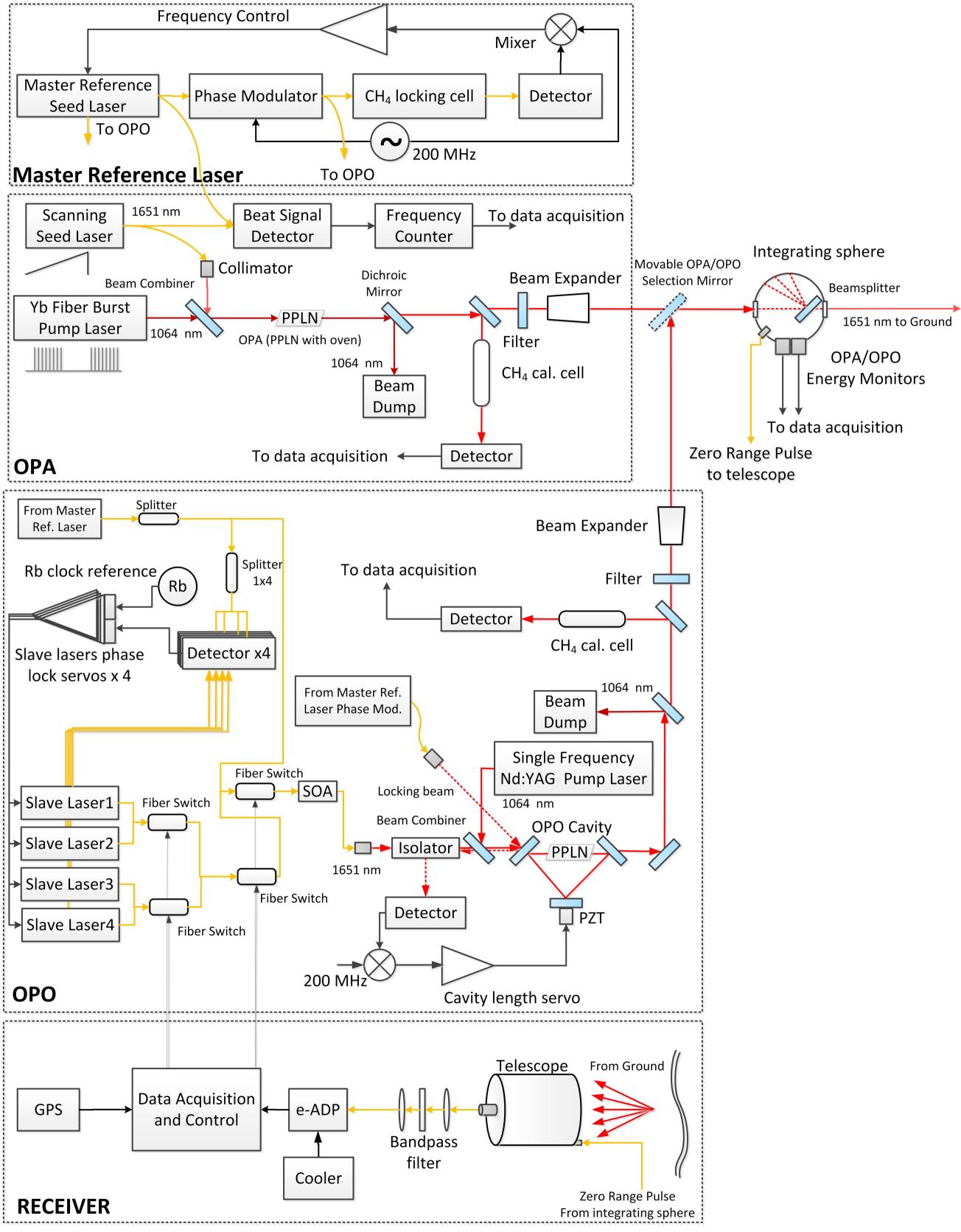
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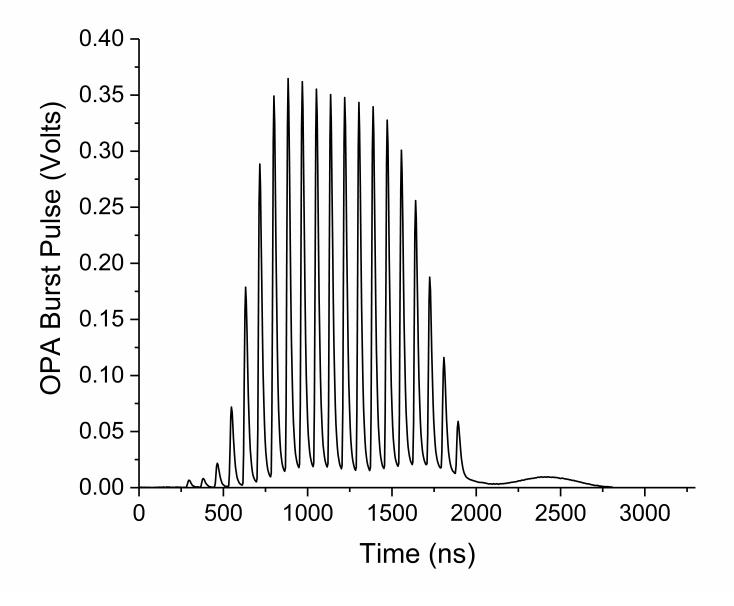
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- 771 Figure Captions
- 772
- Fig. 1. Two-way atmospheric transmittance near 1650.96 nm a from a 400 km orbit using the
 2008 HITRAN database and a US standard atmosphere. The CH4 line is mostly isolated
 from adjacent CO2 and H2O vapor lines.
- Fig. 2. Simplified functional block diagram of our IPDA lidar. The lidar can use one of two different laser transmitters using a movable selection mirror: An Optical Parametric
- Amplifier (OPA) or an Optical Parametric Oscillator (OPO). The transmitters use DFB
- Aniphiler (OFA) of an Optical Fatametric Oscillator (OFO). The transmitters use DFB
 diode lasers for seed lasers but different pump lasers. Only one laser transmitter is operating
 during flight.
- Fig. 3. Example of temporal shape of the OPA burst pulse from the energy monitor detectorshowing individual pulses within the burst pulse.
- Fig. 4. The GSFC IPDA lidar installed on the NASA DC-8 airborne laboratory, in Palmdale,
- CA. The transceiver structure supported two optical benches for the OPO and OPA, the
 receiver telescope, and the transmit optics components. The overall transceiver dimensions
 were approximately 0.9×2.0×0.8 m3 and the total weight was 363 kg. Two instruments racks
 on either side of the transceiver contained the control and data acquisition electronics.
- Fig. 5 Fight tracks for the 2015 flights. Flight 1 (blue), Flight 2 (red), Flight 3 (magenta).
- Fig. 6. Flight altitude (range) in m vs. time in UTC seconds since midnight as measured by the GPS receiver and our IPDA lidar for all three flights. The differences between the GPS and the IPDA lidar range are due to topography. The GPS measures the altitude above the mean sea level (or reference ellipsoid) but the IPDA lidar range is the altitude (range) above ground, which includes the topography.
- Fig. 7 Theoretical CH4 transmittance from a 400 km altitude with a US standard atmosphere
 and a comparison of the approximate wavelength sampling by the OPA (black open squares,
 20 wavelengths) and OPO (red solid circles, 5 wavelengths). For clarity, the OPO
- 797 wavelengths are labeled λ_1 , λ_2 , λ_3 , λ_4 , λ_5).
- Fig. 8. Time series data for flight 1 showing the in-situ CH4 mixing ratio as measured by the Picarro, the theoretical CH4 mixing ratio (set at 1900 ppbv), and the CH4 mixing ratio values by our retrieval algorithm. Outliers due to instrument adjustments and clouds were filtered out.
- Fig. 9. Lidar DOD vs. Theoretical DOD for flight 1. The linear fit (without the outliers) had a slope of 0.98 and an offset of -0.007 and R2 value was 0.994.
- Fig. 10 Time series for flight 2 data showing the in-situ CH4 mixing ratio as measured by the Picarro, the theoretical CH4 mixing ratio (set at 1900 ppbv), and the CH4 mixing ratio values by our retrieval algorithm. Outliers due to instrument adjustments and clouds were filtered out.
- Fig. 11. Lidar DOD vs. Theoretical DOD for flight 2. The linear fit (without the outliers) had a slope of 0.998 and an offset of -0.007 and R2 value was 0.990.
- Fig. 12 Time series for flight 3 data showing the in-situ CH4 mixing ratio as measured by the
 Picarro, the theoretical CH4 mixing ratio (set at 1900 ppbv), and the CH4 mixing ratio values
 by our retrieval algorithm.
- Fig. 13. Lidar DOD vs. Theoretical DOD for flight 3. The linear fit had a slope of 1.01 and
- 814 an offset of -0.003. The R2 value was 0.999.







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