

# Investigating Information Transfer in CO<sub>2</sub> Flux Inversions: An Analysis of Ensemble Kalman Filter Based on Monte Carlo Simulations

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**Abstract.** Top-down atmospheric CO<sub>2</sub> inversions are essential for estimating surface carbon fluxes, yet significant inter-system discrepancies highlight an incomplete understanding of how observational information is transferred to flux estimates. This study introduces a diagnostic strategy to explicitly investigate this information transfer, primarily in an Ensemble Kalman Filter (EnKF) system, with a comparative analysis of 4D-Var. Using Monte Carlo simulations, we analyze the spatial and temporal correlation patterns between CO<sub>2</sub> concentrations and fluxes, which play a crucial role in the inversion process by tracing information flow via the influence matrix. Our results reveal that these correlation scales are fundamentally set by the prescribed autocorrelation structure of the prior fluxes, rather than by atmospheric transport processes alone. We identify a resonance-like effect wherein correlated fluxes amplify concentration-flux correlations, while uncorrelated fluxes suppress them. The absence of this suppression for prescribed fluxes (e.g., anthropogenic emissions) can cause systematic signal misattribution. We further demonstrate that 4D-Var relies also heavily on flux autocorrelations due to its cost function's localized gradient. In both methods, the prior's critical role is mediated through the transitivity of strong autocorrelations. Simplified observing system simulation experiments corroborate these diagnostic findings: under the current sparse surface network in East Asia, a relatively longer correlation length (e.g., 600 km) is better than a short length (e.g., 100 km). This process-oriented perspective offers practically useful mechanistic insights for reconciling inversion results, optimizing observing networks, and strengthening carbon budget assessments.

## 1. Introduction

Anthropogenic emissions of greenhouse gases, most notably CO<sub>2</sub>, are the principal driver of observed global warming (IPCC AR6, 2021). In response to the climate crisis, the accurate quantification of CO<sub>2</sub> sources and sinks has become paramount for informing mitigation strategies and tracking progress under international agreements. A variety of complementary approaches are used to estimate greenhouse gas fluxes, including bottom-up inventory methods, process-based ecosystem models, remote

sensing products, and top-down atmospheric inversions (e.g., Piao et al., 2022). Bottom-up methods provide process attribution and sectoral detail, while top-down inversions provide an independent atmospheric constraint on the net surface–atmosphere exchange. Specifically, atmospheric inversion refers to the inference of surface fluxes from observed atmospheric CO<sub>2</sub> concentrations through atmospheric transport models and data assimilation frameworks. Its key strength lies in integrating  
35 atmospheric observations over large spatial scales, thereby offering information that is consistent with atmospheric concentration growth and complements bottom-up estimates (e.g., Chevallier, 2021). For this reason, atmospheric inversions have become a key pillar of major synthesis efforts such as the Global Carbon Budget (GCB), where they provide large-scale consistency checks and independent constraints on land and ocean carbon sinks (Friedlingstein et al., 2025).

Despite their growing application, CO<sub>2</sub> flux inversions still suffer from substantial uncertainty, which lead to significant  
40 discrepancies between inversion systems (e.g., Jin et al., 2023; Monteil et al., 2020). These uncertainties arise from various sources such as inaccuracies in transport models and poorly characterized prior covariance structures (Munassar et al., 2023; Schuh et al., 2022; Wang et al., 2020). Improving the reliability of inversion results requires a thorough understanding of these uncertainty sources. Recent intercomparison studies have quantified the relative contribution of these error sources to the final flux uncertainty (e.g., Chen et al., 2019; Munassar et al., 2023). For example, Chen et al. (2019) showed that uncertainty in  
45 atmospheric transport can result in a spread of CO<sub>2</sub> concentrations comparable to the spread induced by a 48% uncertainty in natural fluxes. Similarly, Munassar et al. (2023) found that differences in transport models accounted for the majority of annual flux discrepancies in Europe, followed by the effects of boundary conditions and inversion schemes.

Among these uncertainty sources, the prior covariance structure plays a particularly fundamental role because it regulates how observational information is spatially and temporally propagated. A large body of inversion studies has explored different  
50 assumptions for constructing covariance matrices, including exponential or Gaussian correlation functions, anisotropic structures, biome-dependent formulations, and hyperparameters derived from flux residual statistics or synthetic experiments (e.g., Chen et al., 2023; Chevallier et al., 2012; Jacobson et al., 2023; Kountouris et al., 2018; Lauvaux et al., 2012; Niwa et al., 2022; Wesloh et al., 2024; Wu et al., 2013). These choices strongly influence the effective reach of sparse observations and therefore the posterior flux patterns. In general, shorter spatial correlation lengths tend to localize flux adjustments near  
55 observation sites, often preserving sharper spatial gradients but limiting the effective reach of sparse networks. In contrast, longer correlation lengths promote broader propagation of observational constraints, producing smoother posterior flux fields and often stronger large-scale regional adjustments (e.g., Lauvaux et al., 2012; Wu et al., 2013). In addition, biome-dependent correlation structures result in more reliable inversion results (e.g., Chen et al., 2023; Niwa et al., 2022).

Despite this extensive body of work on covariance specification, most previous studies have assessed these assumptions  
60 primarily through their impact on final posterior flux estimates or inversion performance metrics. By contrast, the internal statistical pathway through which prescribed covariance structures shape the propagation of observational constraints—before they manifest in posterior fluxes—remains insufficiently understood, leaving a mechanistic gap between covariance design choices and their practical inversion consequences. More specifically, it is unclear how information from sparse, pointwise concentration observations is transferred, transformed, and distributed across space and time to produce a flux field estimate,

65 and what roles the prior covariance structures play in the “information transfer” process. This “information transfer”  
mechanism is the fundamental process by which an inversion system translates measurement into knowledge. Without a clearer  
understanding of this information pathway, it is challenging to optimally design systems, interpret differences among inversion  
systems, or diagnose why certain covariance assumptions improve or degrade posterior performance.

70 In this study, we address this gap by adopting a mechanism-diagnosing perspective aimed at making the internal statistical  
pathway of atmospheric inversion more transparent. Specifically, our objective is to reveal how prescribed prior covariance  
assumptions shape the propagation, spatial reach, and effective intensity of observational constraints before these effects  
emerge in posterior flux estimates. We achieve this by dissecting the core of the information transfer pathway from fluxes to  
observations within the Ensemble Kalman Filter (EnKF) framework, where the spatiotemporal correlation structure of the  
ensemble-derived Kalman gain governs how and where observational increments propagate to adjust prior fluxes. In such a  
75 framework, information transfer statistically refers to the propagation of observational increments to state variables via the  
prior covariance structure and Kalman gain. While a complete EnKF update integrates multiple factors (e.g., the observation-  
forecast innovation), this correlation structure exclusively determines the path and spatial extent through which observational  
constraints can reduce prior flux uncertainties.

The EnKF is uniquely suited for this diagnosis because it makes the mathematical kernel governing this assimilation  
80 pathway—the Kalman gain matrix ( $\mathbf{K}$ , see Sect 2.1)—explicit and manipulable through an ensemble, which can be directly  
computed and analyzed via Monte Carlo simulation. Crucially, within this framework, the spatiotemporal autocorrelation  
structure, a foundational property of parts of  $\mathbf{K}$  (dominating the spatiotemporal information pathway) that defines how  
uncertainties are presumed to correlate, can be systematically and flexibly manipulated through the generation of ensembles  
with prescribed core parameters (e.g., length scales and statistical distributions), and therefore enabling control over the  
85 resulting correlation structure in the Kalman gain. This approach allows us to directly test how the prescribed prior covariance  
structure fundamentally dominates and shapes the information transfer mechanism, offering a powerful and insightful  
perspective for analyzing data assimilation systems.

Therefore, we employ this controlled, large-ensemble EnKF approach to address the following key questions raised by  
theoretical and practical contradictions: (1) What determines the spatiotemporal scale and pattern of the ensemble correlations  
90 between concentrations and fluxes that drive the EnKF update? (2) How do the autocorrelation properties of prior fluxes, and  
the interactions between different flux components (e.g., anthropogenic vs. biospheric), modulate this information flow?

To provide broader context and highlight the generality of our findings regarding the role of prior covariance, we also  
present a comparative analysis with the four-dimensional variational (4D-Var) method. The equivalence between the Kalman  
filter update and the analytical solution of a 4D-Var problem under linear-Gaussian assumptions (Chevallier et al., 2005;  
95 Evensen et al., 2022) allows us to interpret our EnKF-based results in light of the 4D-Var formalism, where information  
transfer is mediated by the adjoint sensitivity and the prior covariance matrix. This comparison helps clarify how the  
fundamental constraint imposed by the prior covariance structure is a common determinant of information flow across different  
assimilation techniques.

The remainder of this paper is structured as follows: Section 2 details the methodological framework, including the ensemble configuration and the generation of prior perturbations. Section 3.1-3.2 presents results on the structure of concentration-flux correlations, and the factors influencing them. Section 3.3 provides a comparative perspective based on 4D-Var principles. Section 4 discusses the limitations of our approach. Section 5 summarizes the principal conclusions and their implications for future inversion studies.

## 2. Methods

### 2.1 A statistical derivation of the Kalman Filter for information transfer analysis

The core objective of this study is to diagnose how the a priori representation of uncertainty controls the assimilation of observational information into state estimates. We achieve this by introducing a perturbation-response strategy within the Ensemble Kalman Filter (EnKF) framework. The strategy is to design prior ensembles with distinct, prescribed statistical properties and then analyze how the resulting information pathways—encoded within the Kalman gain matrix—change in response.

There are several ways to derive the Kalman Filter, some of which rely on the normality assumption, while others do not (Tanizaki, 1996). We adopt the method that does not rely on the normality assumption in this work. More specifically, we employ traditional statistical estimation methods to derive the KF (Rao, 1994; Sengupta and Jammalamadaka, 2020). This approach seeks the optimal linear combination of prior and observational information that minimizes the analysis error variance while remaining unbiased, without presupposing any specific error distribution (Rao, 1994). The full derivation is provided in the Supplementary Information.

According to the linear estimation theory (Rao, 1994; Sengupta and Jammalamadaka, 2020), when observations and backgrounds are uncorrelated, the constrained best linear unbiased estimator (BLUE, linear estimator with minimum variance) of the general linear statistical model with constraint is

$$\hat{\mathbf{Z}} = \mathbf{Z}^b + Cov(\mathbf{Z}^b, \mathbf{PZ}^b - \mathbf{y}^o)[Var(\mathbf{PZ}^b - \mathbf{y}^o)]^{-1}(\mathbf{y}^o - \mathbf{PZ}^b). \quad (1)$$

where the state variable  $\mathbf{Z} = (\mathbf{y}^T, \mathbf{E}_1^T, \dots, \mathbf{E}_k^T)^T$ , the vector of the modeled concentrations  $\mathbf{y}$  and different fluxes  $\mathbf{E}_i$  ( $i = 1, \dots, k$ ).  $\mathbf{PZ}^b := \mathbf{y}^b := \mathcal{H}(\mathcal{M}(\mathbf{y}_0, \mathbf{E}_1, \dots, \mathbf{E}_k))$  is the vector of the modeled concentrations corresponding to the observed concentrations at specific locations and times.  $\mathbf{y}^o$  is the observation vector.  $\mathcal{M}$  and  $\mathcal{H}$  are the dynamical model (e.g., atmospheric transport model) and the observation operator, respectively, both of which need not to be linear.

Equation (1) can be simplified since the observation  $\mathbf{y}^o$  and the background  $\mathbf{Z}^b$  are uncorrelated (i.e.,  $Cov(\mathbf{y}^o, \mathbf{Z}^b) = \mathbf{0}$ ):

$$\hat{\mathbf{Z}} = \mathbf{Z}^b + Cov(\mathbf{Z}^b, \mathbf{y}^b)[Var(\mathbf{y}^b) + Var(\mathbf{y}^o)]^{-1}(\mathbf{y}^o - \mathbf{PZ}^b) \quad (2)$$

Furthermore, insert the covariance matrices  $\mathbf{B}^b := Var(\mathbf{Z}^b) = Cov(\mathbf{Z}^b, \mathbf{Z}^b)$  and  $\mathbf{R} := Var(\mathbf{y}^o)$ , we have

$$\hat{\mathbf{Z}} = \mathbf{Z}^b + \mathbf{B}^b \mathbf{P}^T (\mathbf{P} \mathbf{B}^b \mathbf{P}^T + \mathbf{R})^{-1} (\mathbf{y}^o - \mathbf{PZ}^b) \quad (3)$$

130 which is the widely used form of KF (where the projection  $\mathbf{P}$  is usually replaced with a more general linear operator  $\mathbf{H}$ ) and  
in this form the equation can be treated as the analytical solution to the cost function of 4D-Var when the model and observation  
operator is linear (Evensen et al., 2022).

$$\mathbf{K} := \mathbf{B}^b \mathbf{P}^T (\mathbf{P} \mathbf{B}^b \mathbf{P}^T + \mathbf{R})^{-1} = \text{Cov}(\mathbf{Z}^b, \mathbf{y}^b) [\text{Var}(\mathbf{y}^b) + \text{Var}(\mathbf{y}^o)]^{-1} \quad (4)$$

is usually referred to the Kalman gain matrix and denoted by  $\mathbf{K}$ , while  $\mathbf{y}^o - \mathbf{y}^b$  is known as the innovation vector (Asch et al.,  
2016). In the framework of EnKF and sequential assimilation, the covariances and variances in eq. 4 can be easily evaluated  
135 using ensembles of fluxes and simulated concentrations.

Given the updated state variable, we can also update the covariance matrix:

$$\hat{\mathbf{B}} = \text{Var}(\hat{\mathbf{Z}}) = \mathbf{B}^b - \mathbf{B}^b \mathbf{P}^T (\mathbf{P} \mathbf{B}^b \mathbf{P}^T + \mathbf{R})^{-1} \mathbf{P} \mathbf{B}^b \quad (5)$$

In data assimilation literature,  $\hat{\mathbf{Z}}$  and  $\hat{\mathbf{B}}$  are generally written as  $\mathbf{Z}^a$  and  $\mathbf{B}^a$ , where  $a$  stands for analysis.

In the Kalman gain equation,  $\mathbf{B}^b \mathbf{P}^T$  (i.e.,  $\text{Cov}(\mathbf{Z}^b, \mathbf{y}^b)$ ) is the primary signal or information transfer channel. It explicitly  
140 maps how uncertainties in specific state variables (e.g., fluxes in a given region) covary with projected observations. Its spatial  
pattern directly determines the pathways and directions in which observational information propagates to update the state.  
Therefore, in this study, we adopt a perturbation-response strategy. By designing prior ensembles to systematically alter  $\mathbf{B}^b$  and  
observing the consequential changes in the ensemble-based  $\mathbf{B}^b \mathbf{P}^T$  to probe the sensitivity of the system's core information-  
transfer physics. To be consistent with most literature, we will use  $\mathbf{H}$  instead of  $\mathbf{P}$  in the following.

## 145 2.2 Transport model and experiment implementation

We implement this strategy through a series of high-resolution Monte Carlo simulations using the Weather Research and  
Forecasting model coupled with the Vegetation Photosynthesis and Respiration Model (WRF-VPRM, version 3.9.1.1). WRF-  
VPRM integrates the diagnostic VPRM biosphere model into WRF-Chem. VPRM parameterizes biospheric CO<sub>2</sub> fluxes—  
gross ecosystem exchange (GEE) and ecosystem respiration (RES)—as functions of satellite-derived vegetation indices and  
150 meteorological drivers (Ahmadov et al., 2007; Beck et al., 2011; Mahadevan et al., 2008). We extended the standard VPRM  
formulation by adding five parameters per vegetation type (63 total across seven major types) to better represent the nonlinear  
environmental response of respiration, following Gourdji et al. (2022). Default parameter values were drawn from established  
literature (Dong et al., 2021; Gourdji et al., 2022; Li et al., 2020; Raju et al., 2023), with minor adjustments. The model domain  
covered East Asia at a 27-km horizontal resolution with 39 vertical levels (Fig. S1). All ensemble members were driven by  
155 identical meteorological fields, constrained by NCEP GDAS/FNL 0.25° analysis data with spectral nudging. The planetary  
boundary layer scheme for vertical mixing was the Asymmetric Convective Model, version 2 (ACM2, Pleim, 2007). Additional  
WRF model configurations are available in our previous publications (e.g., Fan et al., 2021; Fan and Li, 2022, 2023; Gao et  
al., 2022; Li and Li, 2023). To capture distinct seasonal regimes, base simulations were conducted for two-week periods in  
January and July 2016. Due to the high computational cost of the 500-member ensemble, shorter one-week simulations were  
160 used for specific sensitivity tests (Super et al., 2020).

All experiments use a 500-member ensemble and are driven by identical meteorological fields to isolate the impact of flux uncertainty. The core of the experimental design lies in manipulating the representation of biosphere flux uncertainty, as shown in Table 1. The OFF600 case serves as the baseline, employing offline perturbations with a 600 km spatial correlation. The ONLINE case generates uncertainty by perturbing ecological model parameters (producing process-driven covariance with longer correlation length scales), while the OFF100 case uses offline perturbations with a shorter correlation length (100 km). The three experimental cases are designed with two primary objectives. First, they systematically vary the spatial correlation length scales of the biospheric flux perturbations (e.g., 100 km vs. 600 km) to examine how the assumed correlation scale influences the resulting concentration–flux relationships and information transfer pathways. Second, the ONLINE case generates flux uncertainty through perturbations of VPRM parameters, producing a spatial autocorrelation structure that is linked to land-cover types. This allows us to assess not only the effect of correlation length scale but also the influence of the spatial structure (shape) of the autocorrelation. Anthropogenic and ocean fluxes are perturbed consistently across all cases (see Sect. 2.3). Perturbations are applied to all three flux components in order to investigate the interactions among co-existing uncertain fluxes, which are central to the analysis of signal “dilution” discussed later.

**Table 1.** Case design of this study.

Case		Flux origin	Perturbation correlation function	Perturbation standard deviation
OFF600 (BASE)	F <sub>BIO</sub>	Mean of the ONLINE ensembles	Space and time exponential functions and 600 km, 1 month correlation lengths	40% of mean
	F <sub>ANT</sub>	EDGAR-GHG v6.0	The same as F <sub>BIO</sub>	
	F <sub>OCE</sub>	Online calculated using monthly $p\text{CO}_2$ and modeled concentrations and so on.	$p\text{CO}_2$ perturbed with a space exponential function and a 1000km correlation length.	
ONLINE	F <sub>BIO</sub>	Online calculated using an ensemble of VPRM parameters	VPRM parameters independently perturbed.	40% of mean
	F <sub>ANT</sub>	The same as OFF600	The same as OFF600	
	F <sub>OCE</sub>	The same as OFF600	The same as OFF600	
OFF100	F <sub>XXX</sub>	The same as OFF600 but with 100 km space correlation length of F <sub>BIO</sub>		

Note. XXX in F<sub>XXX</sub> represents ANT, BIO, or OCE.

### 2.3 Generation of ensemble inputs

The utility of Monte Carlo simulations for understanding the EnKF method has been demonstrated in simple experiments by Chen et al. (2019) and explored more extensively in other domain research fields (Miyoshi et al., 2014). In this study, we extend this approach to analyze the nature of concentration-flux correlations, which play a central role in information transfer. We investigate their general characteristics in space and time and identify key influencing factors such as flux autocorrelations (which relate to the background covariance matrix) and the interactions between uncorrelated flux components (e.g., anthropogenic and biospheric fluxes).

To run Monte Carlo simulations, proper input ensembles must be generated before the run. For regional CO<sub>2</sub> transport simulations, the primary inputs (aside from meteorological fields) are CO<sub>2</sub> fluxes, initial concentrations (IC), and lateral boundary conditions (BC). We will investigate the impacts of BC in another work. Accordingly, ensembles were constructed for both fluxes and IC. A critical design element in ensemble generation for CO<sub>2</sub> flux inversion is the characterization of spatiotemporal correlation structures. There is limited discussion in the literature regarding the spatial correlation of IC; we thus followed the approach of Miyoshi et al. (2014) by using CO<sub>2</sub> fields at different time steps from an independent simulation to represent different ensemble members. The independent simulation uses another transport model (Community Multiscale Air Quality model, CMAQ, version 5.4) with CO<sub>2</sub> fluxes that differ from those employed in the Monte Carlo simulations.

For anthropogenic emissions over land that are spatially regridded and temporally allocated from the monthly EDGAR-GHG (v6.0) using the corresponding high resolution temporal profiles (Janssens-Maenhout et al., 2019; Crippa et al., 2020), we implemented a simple space-time correlation function, characterized by an exponential function with correlation lengths of 600 km (following Ma et al. (2019) for other anthropogenic emission species) and 1 month (considering the time resolution in the emission inventory), see Fig. S2 for an example of the correlation functions. An ensemble of Gaussian fields with a standard deviation of 40% was generated based on this space-time correlation function using a Python toolbox GStools (Müller et al., 2022).

Specifically, the spatial covariance between two grid cells  $i$  and  $j$  separated by distance  $d_{ij}$  is modeled as:

$$B_{ij} = \sigma_i \sigma_j \cdot \exp\left(-\frac{d_{ij}}{L}\right)$$

where  $\sigma_i$  and  $\sigma_j$  are the prior uncertainty standard deviations (set to 40% of the mean flux), and  $L$  is the spatial correlation length (600 km for the baseline OFF600 case, 100 km for OFF100, and spatially variable for ONLINE). This exponential correlation function is chosen for its mathematical simplicity and widespread use in regional inversion systems (e.g., Lauvaux et al., 2012; Wu et al., 2013). For biospheric fluxes, the ONLINE case utilized online-calculated fluxes derived from an ensemble of VPRM parameters. This approach is conceptually similar to that of Super et al. (2020), who applied ensemble methods to fossil fuel emissions. The ensemble of VPRM parameters is generated independently by drawing from a normal distribution with averages the same as some reported values in previous studies (see Sect. 2.2) and a standard deviation of 40%. The ensemble means of GEE and RES from these simulations were subsequently used as the baseline fluxes for the OFF600 case. To generate two ensembles for OFF600, these mean GEE and RES were perturbed using the same method as that applied to anthropogenic emissions.

For oceanic fluxes, we implemented a module to calculate the fluxes online using the monthly surface ocean partial pressure of CO<sub>2</sub> ( $p\text{CO}_2$ ) (Fay et al., 2021), the modeled atmospheric CO<sub>2</sub> concentration, and the parameterized gas transfer velocity (Wanninkhof, 2014). This is similar to the biospheric fluxes in the sense of online calculation, but the oceanic fluxes rely more on the atmospheric and oceanic concentrations and may have different correlation structures compared to biospheric fluxes. The monthly  $p\text{CO}_2$  was perturbed using GStools with a space exponential correlation function that has a correlation length of 1000 km. The standard deviation of the perturbation was also 40%, as is the case with other fluxes.

## 2.4 Diagnostic analysis and choice of observation sites

The core diagnostic metric is the ensemble sample correlation between simulated concentrations at observation points and prior fluxes across the entire spatiotemporal domain. These correlation patterns directly estimate the influence functions within the Kalman gain  $\mathbf{K}$ , thereby mapping the information transfer pathways under a given prior  $\mathbf{B}$ .

220 For diagnostic analysis of concentration-flux response, we need to set up observation sites. For surface  $\text{CO}_2$ , we choose the GAW sites within our domain (Global Atmosphere Watch Station Information System, 2024) and some additional sites in China. For satellite  $\text{XCO}_2$ , we select multiple locations somewhat arbitrarily along the OCO2 track over land and are also denoted as “sites” for convenience (OCO-2/OCO-3 Science Team et al., 2024). The locations of the 111  $\text{CO}_2$  sites and the 41  $\text{XCO}_2$  sites are shown in Fig. S3. For further spatial illustration, we select 26  $\text{CO}_2$  sites with available data at some time (World  
225 Data Centre for Greenhouse Gases, 2025), excluding two sites in Japan that are too close to others, leaving 24 sites. Similarly, we select 24 sites from the 41  $\text{XCO}_2$  sites for further illustration. Only half of the 24 sites are shown in the main text when illustrating the correlation patterns, while the others are included in the SI when necessary.

Since our simulations in different months are relatively short, we need to check IC’s influence first. The autocorrelation of modeled  $\text{CO}_2$  at a site with IC at the same site decreases rapidly, and this reduces is relatively homogeneous in space, except  
230 for some sites occasionally (Fig. S4). Therefore, a one- or two-week simulation can be used to explore the transport behavior of ensemble fluxes. In addition, our modeled  $F_{\text{BIO}}$ ,  $F_{\text{OCE}}$ , surface  $\text{CO}_2$ , and  $\text{XCO}_2$  are not far from widely used results (Fig. S5), demonstrating the relevance of our simulations to real applications.

## 3. Results and discussions

### 3.1 Spatial structures of concentration-flux correlations

#### 235 3.1.1 Spatial patterns of correlations

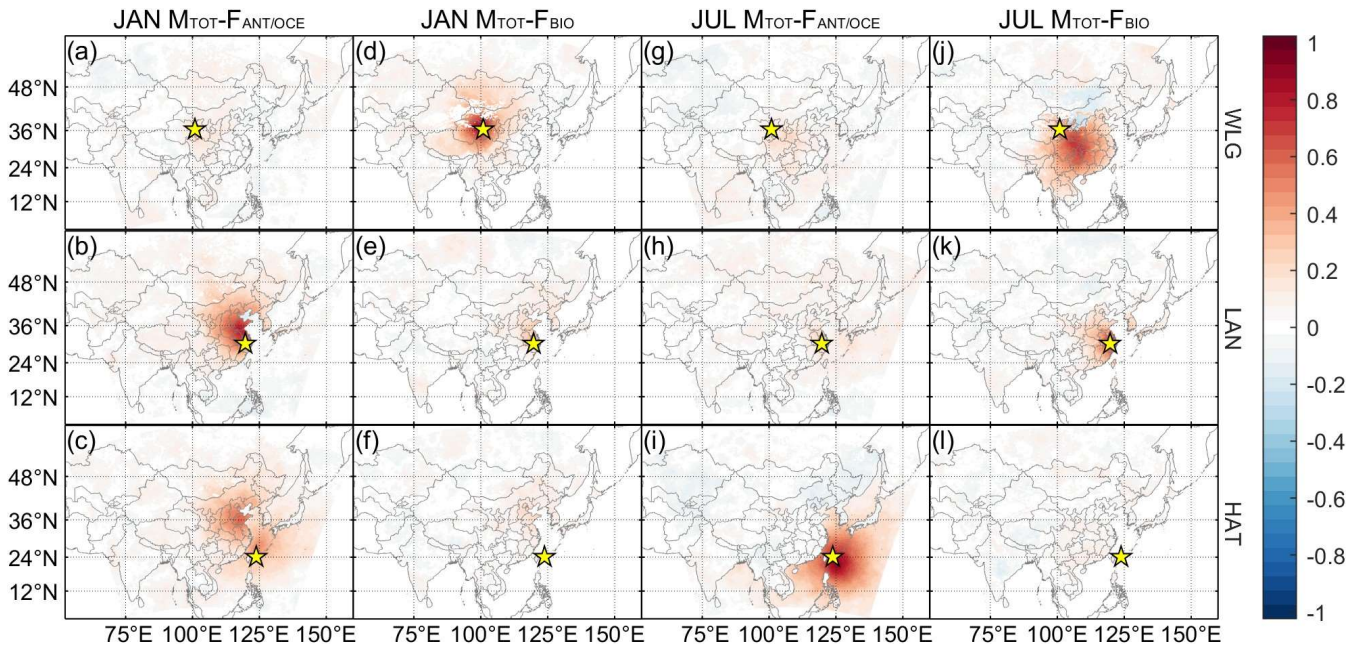
In EnKF-based  $\text{CO}_2$  inversion systems, the information from observations is primarily transferred through correlations between observed concentrations and unobserved fluxes. At the same time, atmospheric transport, as well as the assumed uncertainties in both fluxes and observations, also play fundamental roles by shaping the uncertainty of modeled concentrations and the resulting observational influence. In the present study, we specifically focus on the spatial extent of observational  
240 constraints on fluxes. Thus, analyzing the correlation structures between  $\text{CO}_2$  concentrations and fluxes is essential. For notational convenience, we occasionally use  $M$  to denote  $\text{CO}_2$  concentration in the following, with the subscript TOT indicating total concentration, as distinct from individual tracers such as ANT, BIO, and OCE. To illustrate the typical spatial influence of fluxes, we compute the correlation between the prior flux state at the initial time and the resulting ensemble concentrations after one week of transport (at hour 168). This choice partially reflects the sequential update logic of an EnKF (Houtekamer  
245 and Mitchell, 2001), where observations constrain fluxes within a time window one by one. While this provides a representative snapshot, the correlation structures are qualitatively similar at other times (temporal evolution is analyzed in Sect. 3.2). This

study uses results from 500-member simulations to characterize these correlation structures while results with smaller ensemble sizes are exemplified in Fig. S6.

250 In the 500-member simulations, the spatial correlation patterns are demonstrated, showing large values near the observation sites and minimal noise-like values (i.e., randomly mixed positive and negative values) in remote areas if the sites are influenced by a specific flux (Figs. 1 and S7). For example, in January, the LAN, HAT, and WLG sites exhibit strong correlations between surface  $M_{TOT}$  and nearby  $F_{ANT}$  (Fig. 1b),  $F_{OCE}$  (Fig. 1c), and  $F_{BIO}$  (Fig. 1d), respectively. Similarly, in 255 July, the SDZ, HAT, and WLG sites exhibit strong correlations (Figs. S7Co, 1i, and 1j). Many other sites also show significant correlations, suggesting the feasibility of using surface  $M_{TOT}$  observations to invert fluxes. In general, the correlation between surface  $M_{TOT}$  and nearby  $F_{ANT}$  is more potent in winter (January) than in summer (July), with notable correlations primarily observed in the eastern China, Korea, and Japan (Figs. S7A and C), where the  $F_{ANT}$  is large and concentrated. In contrast, the influence of  $F_{BIO}$  is more pronounced in the western region, with strong correlations present in both winter and summer (Figs. S7E and G). At island sites, the influence of  $F_{OCE}$  can be significant, especially in summer when the monsoon is directed 260 landward. The specific spatial morphology of correlations at individual sites—such as their asymmetry and elongation direction—clearly reflects the modulating influence of local atmospheric transport processes.

Conversely, the overall spatial correlations pattern exhibits a relatively regular distribution, showing maximum values near the sites and a stable decline with distance. The locations of the strongest correlations are typically at or near the observation sites, mainly downwind of the monsoon directions. However, some sites exhibit “remote” correlations for surface  $M_{TOT}$  (e.g., Figs. S7Ah and Bo). One notable characteristic of the spatial patterns is that the values are monotonic, which has an important 265 implication. Observation at specific site can only influence a neighborhood’s fluxes by increasing or decreasing them overall. In contrast, prior fluxes in this neighborhood may exceed the true values in some locations while falling short in others. Therefore, only a sufficient combination of observations can potentially recover the true fluxes from the prior estimates by both increasing and decreasing the fluxes across the neighborhood.

Regarding the measurement heights, the correlation patterns between  $M_{TOT}$  at different heights, including  $XCO_2$ , and fluxes 270 are generally consistent with those derived from surface  $M_{TOT}$  (compare Figs. 1 and S8). This strong similarity implies that, in terms of diagnosing the information transfer pathway, the flux signals captured by higher-altitude  $M_{TOT}$  or  $XCO_2$  are dominated by similar source regions as the surface  $M_{TOT}$ . Given the similarity of the correlation patterns across observation heights, the following analysis focuses primarily on surface concentrations. However, it should be emphasized that the difference in the observation innovations and transport errors can affect the relative influence of surface  $M_{TOT}$  versus higher-altitude  $M_{TOT}$  or 275  $XCO_2$  in the inversion.



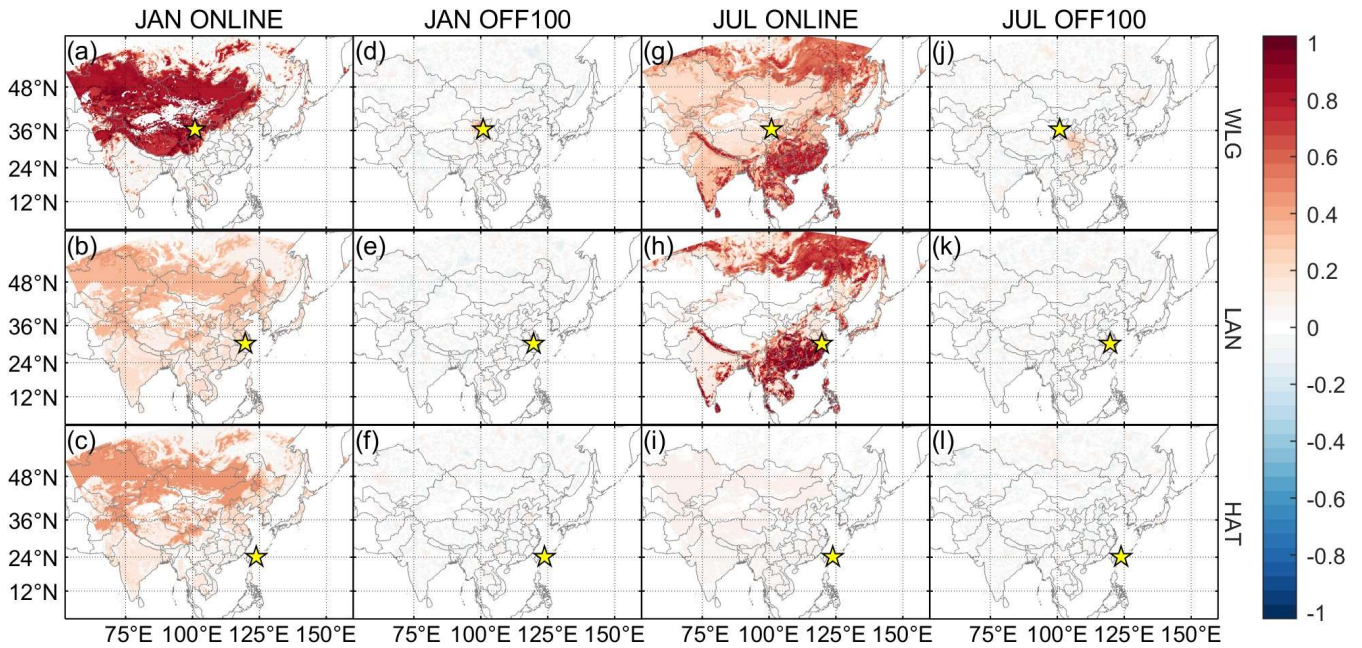
**Figure 1.** Spatial patterns of 500-member correlations between the 168<sup>th</sup>-hour  $M_{TOT}$  at sites and the zeroth-hour fluxes ( $F_{ANT}$ ,  $F_{OCE}$ , and  $F_{BIO}$ ) across the domain. Each row represents a site, labeled at right. (a)–(c)  $M_{TOT}$ - $F_{ANT}$  and  $M_{TOT}$ - $F_{OCE}$  in January; (d)–(f)  $M_{TOT}$ - $F_{BIO}$  in January; (g)–(l) July.

### 280 3.1.2 The influence of flux autocorrelations on the spatial correlation patterns

The spatial pattern of concentration-flux correlations is statistically similar to that of flux autocorrelation (compare Figs. 1d and S2a), which shows a clear decline with distance. Although the specific shapes of correlations vary across sites, the average decay scale of their spatial influence seems aligns closely with the autocorrelation length of the prior fluxes. For instance, the strong correlation areas for  $M_{TOT}$ - $F_{OCE}$  are larger than those for  $M_{TOT}$ - $F_{ANT}$  or  $M_{TOT}$ - $F_{BIO}$ , consistent with its longer autocorrelation length 1000 km of  $F_{OCE}$  than the 600 km of the other fluxes (e.g., compare Figs. S7Cp and Dc). To further prove this, we introduce two additional simulation cases: ONLINE, which utilizes an online perturbed  $F_{BIO}$  with land-cover-based autocorrelation patterns and has longer correlation length scales, and OFF100, which employs a shorter spatial correlation length of 100 km (see Table 1). Figure 2 illustrates the spatial correlations between surface  $M_{TOT}$  and  $F_{BIO}$  for these two cases, which can be compared to Figs. 1d–f and j–l for the OFF600 case.

290 As expected, the ONLINE case exhibits longer correlation scales in space than the OFF600 case, and the spatial patterns of correlations are predominantly influenced by land cover. Similarly, the OFF100 case shows a shorter correlation scale than the OFF600 case, consistent with the 100 km correlation length. These two additional cases clearly illustrate that the autocorrelation lengths of fluxes largely determine the basic spatial patterns of the concentration-flux correlations, despite that transport processes may translate the high-value areas and deform the shapes of the patterns to some extent. This property provides a more precise explanation of why the autocorrelation scales of the fluxes are critical in flux inversion, as

CarbonTracker identifies them as one of the two primary “tuning knobs” (Jacobson et al., 2023). This is because these scales determine the possible spatiotemporal extent to which a concentration observation can contribute to inverting the fluxes.

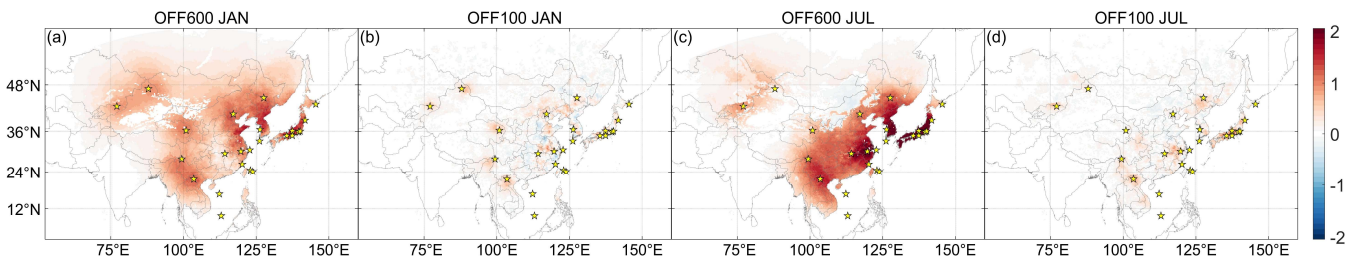


**Figure 2.** Spatial patterns of the  $M_{TOT}$ - $F_{BIO}$  correlations in different cases. Each row represents a site, labeled at right. (a)–(c) ONLINE in January; (d)–(f) OFF100 in January; (g)–(l) July.

In addition to the scale of correlation, the strength of the correlation between concentrations and fluxes is also influenced by the autocorrelation length of the fluxes. Notably, both the correlation scale and strength diminish simultaneously in the OFF100 case compared to the OFF600 case (e.g., compare Figs. 1j and 2j). Moreover, the correlation strength in the ONLINE case is greater than in the OFF600 case. This weaker correlation in cases with shorter correlation lengths for fluxes and a stronger correlation in cases with more considerable correlation lengths suggests a form of “resonance” of fluxes at different locations during transport, enhancing the maximum correlations observed. This “resonance” effect essentially stems from the integrative amplification of spatially and temporally coherent signals, which is also enabled by strong autocorrelations, by atmospheric transport. More technically, the effect reflects the constructive aggregation of contributions from spatially correlated flux perturbations to the modeled concentration response, such that concentration-flux covariance structures align more effectively with the transport-induced sensitivity pattern. When fluxes are strongly positively correlated over a large region (i.e., have a long autocorrelation lengths), the  $CO_2$  signals released from these areas exhibit similar phases and variation trends during transport. Integrated by atmospheric flow and arriving at the observation site, their contributed concentration fluctuations add up coherently, thereby producing a stronger concentration-flux correlation. Conversely, if the spatial correlation scale of the fluxes is short, the emission signals from different upwind grid cells are independent of each other and randomly cancel out, resulting in a weak net signal at the site and consequently a lower correlation.

These two effects, directly or indirectly imposed by flux autocorrelations, make it more challenging to configure the space–time autocorrelation functions of fluxes (i.e., to specify the prior covariance matrix  $\mathbf{B}$ ). While data-driven methods that construct correlation functions directly from observations tend to yield shorter (i.e., <100 km) spatial correlation lengths (Kountouris et al., 2015, 2018) in Europe, our results indicate that a shorter correlation length not only reduces the correlation scale but also weakens the correlation strength, further amplifying the limitations of sparse observations.

Therefore, in the context of sparse surface observations, it is not recommended to strictly follow suggestions that advocate very short spatial autocorrelation lengths (e.g., 100 km). This issue is more clearly illustrated in Fig. 3, which shows the sum of localized (Gaspari and Cohn, 1999) concentration–flux correlations across all the 24 sites. When a spatial autocorrelation length of 600 km is used, the summed correlations cover most of the domain except South Asia and some weak-flux regions (Figs. 3a and c), indicating that fluxes over most regions can be constrained by observations from these 24 sites. In contrast, using a much shorter spatial autocorrelation length results in extensive blank areas, indicating that fluxes over most regions cannot be effectively constrained by these observations (Figs. 3b and d).



**Figure 3.** Composite observational influence extent for the different experimental configurations, represented by the summation of the  $M_{\text{TOT-F}_{\text{BIO}}}$  correlations. (a) OFF600 in January, (b) OFF100 in January, (c)–(d) July.

Consequently, for many applications it may be reasonable not to strictly follow observation-derived correlation lengths, but instead to adopt longer ones (e.g., Chandra et al., 2022; van der Laan-Luijkx et al., 2017). This study demonstrates that, for the current sparse surface observation network in East Asia, adopting a flux spatial autocorrelation length of approximately 600 km is appropriate. It is important to clarify that this length scale is not directly “measured” from the observations but rather serves as a parametric representation based on the physical understanding of flux spatial continuity in the region. The specification of the spatial correlation length  $L$  in the prior covariance matrix  $\mathbf{B}$  serves two distinct purposes. The first is to represent the assumed spatial structure of flux errors. The second, related to the first and revealed by our results, is to regulate the propagation of observational information. Under a sparse observation network, the latter can become the dominant constraint. Mathematically, in the Kalman gain expression  $\mathbf{K} = \mathbf{B}\mathbf{H}^T(\mathbf{H}\mathbf{B}\mathbf{H}^T + \mathbf{R})^{-1}$ , the term  $\mathbf{B}\mathbf{H}^T$  governs how observational increments propagate to state variables. Even when atmospheric transport ( $\mathbf{H}$ ) physically links distant locations, prescribing a short correlation length (e.g., 100 km) forces the prior covariances to near zero for separations beyond approximately 300 km. This mathematical cutoff is independent of transport; the Kalman gain simply has no pathway to connect the observation to that distant flux, regardless of how well the transport model represents the physical connection. Here, it is important to distinguish between two aspects of concentration–flux correlations: the location of the correlation maximum (determined by

345 atmospheric transport) and the spatial extent of the high-correlation region (determined by the prescribed autocorrelation length  $L$ ). Even with a short  $L$ , transport can shift the correlation maximum far from the flux source. However, a short  $L$  causes the high-correlation region to be narrow, so that sparse observations can only constrain a small area around the location with strongest correlation. A longer  $L$  broadens the high-correlation region, enabling the same sparse network to constrain a much wider domain, as shown in Fig. 3. Thus, the recommended 600 km length is not a claim about the true spatial scale of flux  
350 errors, but a mathematical requirement to keep the information pathway open under sparse observations, allowing the inversion to utilize the long-range information that transport physically provides.

Denser XCO<sub>2</sub> observations may alleviate the limitations on autocorrelation length scales imposed by surface observation sparsity; however, the spatiotemporal sampling of XCO<sub>2</sub> is irregular, and its information “content” is generally lower than that of surface M<sub>TOT</sub> observations. It therefore remains unclear to what extent these limitations can be mitigated. Nevertheless,  
355 when only surface M<sub>TOT</sub> observations are used, the flux autocorrelation length should not be too short. In the future, as observational density increases, this optimal scale may change, which could enable more details spatial pattern of the inversion.

To provide a consistency check of the diagnostic results regarding the correlation length, we further performed a set of simplified inversion experiments within an observing system simulation experiments (OSSE) framework (see Supplement text S2). Although not designed as a comprehensive evaluation of inversion performance, these experiments show (Fig. S9) that  
360 when only sparse surface observations are used, a short spatial autocorrelation length (100 km) leads to minimal and highly localized posterior adjustments, whereas a longer length scale (600 km) enables broader propagation of observational constraints and improves agreement with the true flux. The inclusion of satellite observations increases overall constraint, but does not fully compensate for overly short correlation lengths. These results are consistent with the mechanism-diagnostic findings presented above.

In addition to the characteristic correlation length scale, the form of the prescribed correlation function (e.g., Gaussian, exponential, and hyperbolic) also influences how observational constraints propagate. In principle, correlation functions with longer tails can extend the theoretical reach of observational influence to more remote fluxes. However, our sensitivity tests (Fig. S10) show that this extension is limited in practical EnKF applications. Although slowly decaying functions increase weak long-range correlations, the resulting concentration–flux correlations at remote distances rapidly decrease to values that  
370 are difficult to distinguish from ensemble sampling noise. At the same time, the longer tail redistributes the correlation structure and tends to weaken nearby correlations, where observational signals are strongest and most robust. Therefore, the choice of correlation-function shape involves a practical trade-off between slightly increasing the theoretical adjustment range and preserving strong local constraints.

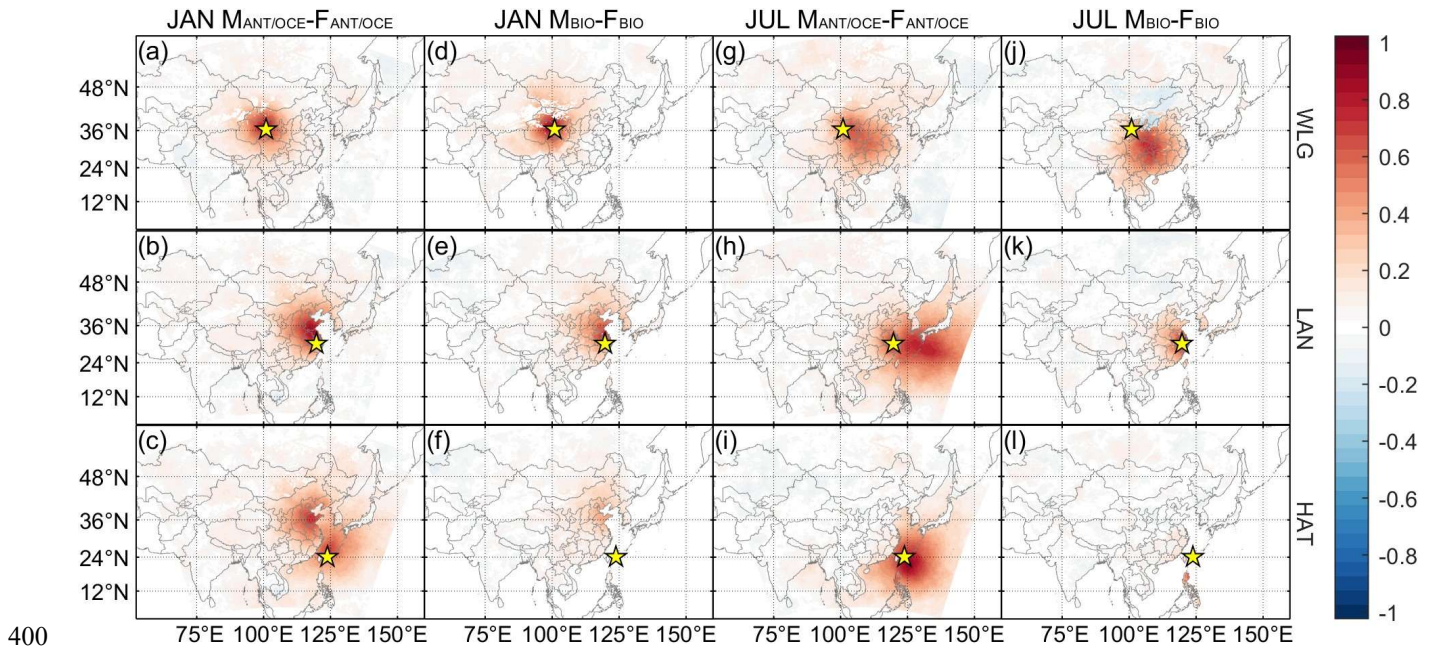
More broadly, similar to the choice of a longer correlation length, this trade-off reflects a balance between physical realism and inversion efficiency. Ideally, prior correlation functions (including their shape, correlation length, and related properties) should be informed by process understanding or model–data mismatch statistics, which may favor shorter or more heterogeneous structures. However, under sparse observational coverage, such physically realistic choices may fail to sufficiently propagate observational information to the target fluxes. Conversely, stronger and smoother correlation structures

may improve the mathematical efficiency of the inversion by allowing sparse observations to constrain wider regions, albeit  
380 at the cost of reduced physical specificity. The results presented here should therefore be interpreted not as prescribing a  
universally optimal prior structure, but rather as illustrating the practical consequences of this balance under current  
observational limitations. Although the resulting balance may be region-specific, the methodology used to identify an  
appropriate configuration is straightforward and can be readily adapted to regions beyond our study domain.

### 3.1.3 Multi-flux coexistence and signal “dilution”

385 The “resonance” effect, whereby coherent flux signals amplify correlations, implies a complementary phenomenon that can  
influence the spatial patterns of correlations: correlation “dilution” can occur when neighboring or coexisting flux types are  
uncorrelated. This is particularly relevant in atmospheric inversions, where multiple uncertain flux types jointly influence  
observed CO<sub>2</sub> concentrations. In F<sub>BIO</sub> inversions, F<sub>ANT</sub> is usually fixed to reduce the degree of freedom. This is a practical  
necessity because observations are limited and sparse. However, as mentioned earlier, this approach raises theoretical concerns  
390 since multiple flux types influence CO<sub>2</sub> concentrations and may exhibit correlation “dilution”. Fixing one flux may alter the  
correlation between other fluxes and CO<sub>2</sub> concentrations, effectively removing the “dilution”.

To assess the impact of fixing F<sub>ANT</sub> on the correlations between F<sub>BIO</sub> and CO<sub>2</sub> concentrations, as well as the implications of  
using the M<sub>ANT</sub> tracer, we modeled three different CO<sub>2</sub> tracers corresponding to the three types of fluxes: M<sub>ANT</sub>, M<sub>BIO</sub>, and  
M<sub>OCE</sub>. Figure 4 illustrates the correlations of tracers with their corresponding fluxes. Compared to the correlations obtained  
395 with all fluxes varying simultaneously (Fig. 1), fixing non-target fluxes leads to widespread and often substantial increases in  
correlation strength (e.g., compare Figs. 1a and 4a)., These increases are most pronounced where M<sub>TOT</sub> correlations were  
originally weak—for instance, especially for F<sub>ANT</sub> in July, F<sub>BIO</sub> in January, and F<sub>OCE</sub> in both January and July. Conversely, the  
increases in correlations for F<sub>ANT</sub> in January and F<sub>BIO</sub> in July are less significant, as their correlations with for M<sub>TOT</sub> are already  
strong at many sites.



**Figure 4.** Spatial patterns of the tracer-flux correlations in different cases. Each row represents a site, labeled at right. (a)–(c)  $M_{ANT}-F_{ANT}$  and  $M_{OCE}-F_{OCE}$  in January; (d)–(f)  $M_{BIO}-F_{BIO}$  in January; (g)–(l) July.

The significant enhancement of correlations upon fixing other fluxes confirms that correlation “dilution” is a real effect in multi-flux systems. A key implication is that simply fixing  $F_{ANT}$  in a  $F_{BIO}$  inversion may be methodologically problematic: the observational information that actually constrains  $F_{ANT}$  could be misattributed to  $F_{BIO}$ , distorting its solution. Conversely, at sites where  $M_{TOT}$  already shows strong correlations with a given flux (e.g.,  $F_{ANT}$  in January or  $F_{BIO}$  in July), the correlation increases due to fixing other fluxes is minimal. This indicates that where information is intrinsically strong, random errors or uncertainties in coexisting fluxes have negligible “diluting” impact.

In summary, fixing  $F_{ANT}$  in the inversion of  $F_{BIO}$  can introduce disadvantages without offering significant benefits (except for numerical calculation). Nevertheless, these disadvantages will disappear if  $CO_2$  tracer measurements are used instead of  $M_{TOT}$ . In such cases, when  $M_{TOT}$  are underestimated due to the underestimation of  $F_{ANT}$ , the  $M_{BIO}$  tracer remains unaffected, making the strong correlation beneficial. Currently, there is no simple  $M_{BIO}$  tracer, but the  $M_{ANT}$  tracer has been successfully applied in  $F_{ANT}$  inversions (Basu et al., 2016, 2020). However, some sites exhibit low correlations even for tracers (e.g., Fig. 4i), highlighting the limitations of using tracers. Conversely, as mentioned above, sites that show minimal correlation increases due to already strong correlations (e.g., Fig. 4b) may provide an opportunity to invert  $F_{ANT}$  effectively using  $M_{TOT}$  observations. It should be noted, however, this opportunity is not guaranteed but only works for some circumstances.

## 3.2 Temporal structures of concentration-flux correlations

### 3.2.1 Time variations of correlations

The temporal dynamics of the information transfer pathway are diagnosed by analyzing the time series of the Maximum Regional Correlation (MRC) within a  $\sim 1200 \times 1200$  km<sup>2</sup> domain surrounding each observation site. In Figure 5, each line traces the evolution of the MRC between a flux impulse, of  $F_{\text{ANT}}$ ,  $F_{\text{OCE}}$ , and  $F_{\text{BIO}}$  emitted at a specific hour, and the  $M_{\text{TOT}}$  at the site over subsequent hours. A key observation is the extensive overlap of these lines in many panels, indicating that the concentration at a given time exhibits similar correlation strength with flux impulses from many different prior hours. Conversely, where lines are separated, they reflect distinct correlation levels for fluxes emitted at different times for same source. Unlike the monotonic decay observed in space, these temporal MRC series frequently exhibit sustained plateaus or complex fluctuations patterns, changing with seasons and height. The MRCs for different flux types often vary in a complementary manner, as one weakens, another strengthens, particularly in regions of moderate correlation (e.g., Figs. 5c, f, and i). This anti-phase behavior suggests that shifting transport pathways alternately enhance the influence of different source regions at the receptor site.

The MRC evolution for ocean fluxes ( $F_{\text{OCE}}$ ) shows distinct regimes across the observation network, reflecting the interplay of geography, atmospheric transport, and source-receptor connectivity. At predominantly remote oceanic or downwind coastal locations (e.g., Figs. 5o and S11 Ee),  $F_{\text{OCE}}$  exhibits dominant MRC. This occurs because these sites are persistently influenced by marine air masses, where the ocean source is strong and contiguous. However, its absolute MRC magnitude is moderated by the simultaneous presence and competition from co-varying terrestrial fluxes. A clear example is the Nansha site (e.g., Fig. 5Ee), where the column air mass is extremely minimally diluted by terrestrial fluxes, allowing a clear and stable oceanic signal to dominate the concentration variability; In contrast, at deep inland or strongly continentally influenced sites, the MRC for  $F_{\text{OCE}}$  is relatively low or even near zero. At first three stations in Fig. S11, where the marine air masses rarely reach the receptor under typical transport regimes, the MRC is zero. The majority stations, typically situated in coastal transition zones or eastern China (Figs. S11d, f, g, j, and k), show low, stable and dense MRC, displaying a characteristic of baseline ensemble. At these locations, the ocean-derived CO<sub>2</sub> contributes a persistent, near-constant background concentration.

The current features of site correlations related to ocean sources, which align intuitively with geography and climate, are largely attributable to and directly validate the reasonable prior's setting on perturbing monthly  $p\text{CO}_2$  fields. Ocean surface  $p\text{CO}_2$  and its fluxes vary slowly on synoptic scales, with dominant variations occurring on seasonal scales. Setting the prior temporal autocorrelation to 30 days essentially encodes this physical understanding into the inversion system. Consequently, the simulated information transfer pathways show that at sites influenced by the ocean, ocean signals manifest as a long-term, stable statistical entity. The reasonableness of site characteristics, such as which sites exhibit strong, moderate, or weak ocean influence, is precisely the expected outcome of this reasonable prior setting when processed through a realistic atmospheric transport model. If the ocean prior were set to a short decay time (e.g., 3 days), the system would assume that ocean flux information from a few days ago is nearly irrelevant, even at actual ocean sites. This would result in a loss of stable high

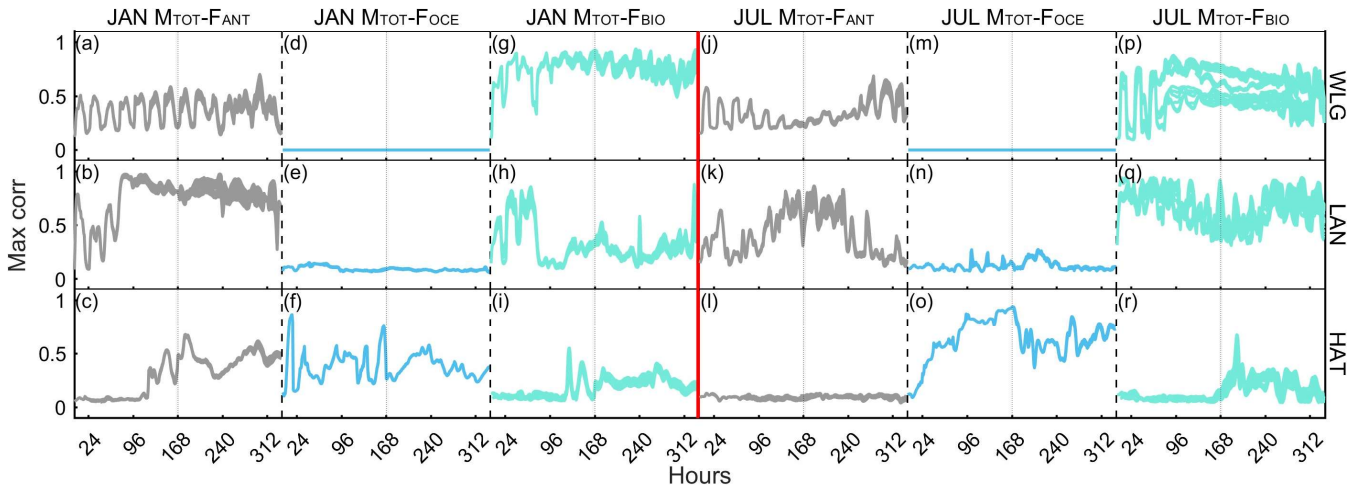
450 correlations at ocean sites, replaced by rapidly decaying and highly fluctuating correlations and a disappearance of the “ocean background source” concept in the information transfer pathways, which would entirely contradict our fundamental physical understanding of ocean carbon exchange.

In contrast, the MRC for anthropogenic fluxes ( $F_{\text{ANT}}$ , grey lines) display highly heterogeneous and site-specific trajectories, including complex oscillations. This diversity should stem from the interaction between its prior specification and atmospheric dynamics, establishing a statistical tendency for information from older fluxes to weaken. In some extreme cases, the variation can show a decay trend rather than an oscillation (e.g., Figs. 5b and more prominently, Fig. S11Aw). However, at most of stations, this underlying decay of  $F_{\text{ANT}}$  is powerfully modulated by transport processes, such as shifting winds, boundary layer effect, creating complex fluctuations. A visible decay trend emerges only where transient transport variability is minimal (e.g., Fig. 5b), allowing the prior’s statistical attenuation to be expressed clearly in the temporal trajectory of a single flux impulse’s influence.

The biospheric fluxes ( $F_{\text{BIO}}$ , cyan lines) occasionally exhibit a separation into two parallel strata with distinct correlation levels, within which lines follow coherent, wavelike paths (Fig. 5p, see also Fig. S11). This pattern is a visual encoding of the prior’s structural definition: daytime (GEE) and nighttime (RES) fluxes are treated as independent processes. The information pathway faithfully preserves this prescribed discontinuity, leading to the clustered strata. The coherent oscillations within each stratum reflect the diurnal and synoptic-scale variability of these biological signals as they are transported, illustrating how a process-informed prior structure is carried through the physical system. These non-monotonic behavior highlights the critical modulating role of atmospheric transport dynamics.

The similarities in MRC between  $\text{CO}_2$  concentration and different fluxes at various hours enable the inversions of fluxes in a period using a single observation, thereby reducing the need for continuous monitoring at a site. This aligns with the discussion by Chevallier et al. (2012), which suggests that the temporal density of observations is much less informative than spatial coverage. However, high temporal density can be beneficial due to the variations in correlations between  $\text{CO}_2$  concentration at various hours and a particular flux. If an observation with weak correlations to fluxes is used by chance, the inverted flux will not be optimal. High-density temporal observations can enhance the reliability of the information because a strong correlation at neighboring hours can complement a weak correlation at one hour. This is particularly important when strong correlations are rare and may be missed by low-density observations (e.g., Fig. S11Fi). Furthermore, obtaining a reliable estimation of fluxes from prior fluxes requires a sufficient combination of observations, as discussed in Sect. 3.1.1. Thus, high-density temporal observations can improve the robustness of flux inversions by reducing the influence of inaccuracies in concentration modeling that arise from factors other than uncertain fluxes, ultimately leading to more accurate and reliable results.

480



**Figure 5.** Timeseries of maximum correlations the 168<sup>th</sup>-hour  $M_{TOT}$  at sites and the zeroth-hour fluxes ( $F_{ANT}$ ,  $F_{OCE}$ , and  $F_{BIO}$ ) near the sites. Each row represents a site, labeled at right. (a)–(c)  $M_{TOT}$ - $F_{ANT}$  in January; (d)–(f)  $M_{TOT}$ - $F_{OCE}$  in January; (g)–(i)  $M_{TOT}$ - $F_{BIO}$  in January, (j)–(r) July.

### 485 3.2.2 Multi-flux coexistence revisited

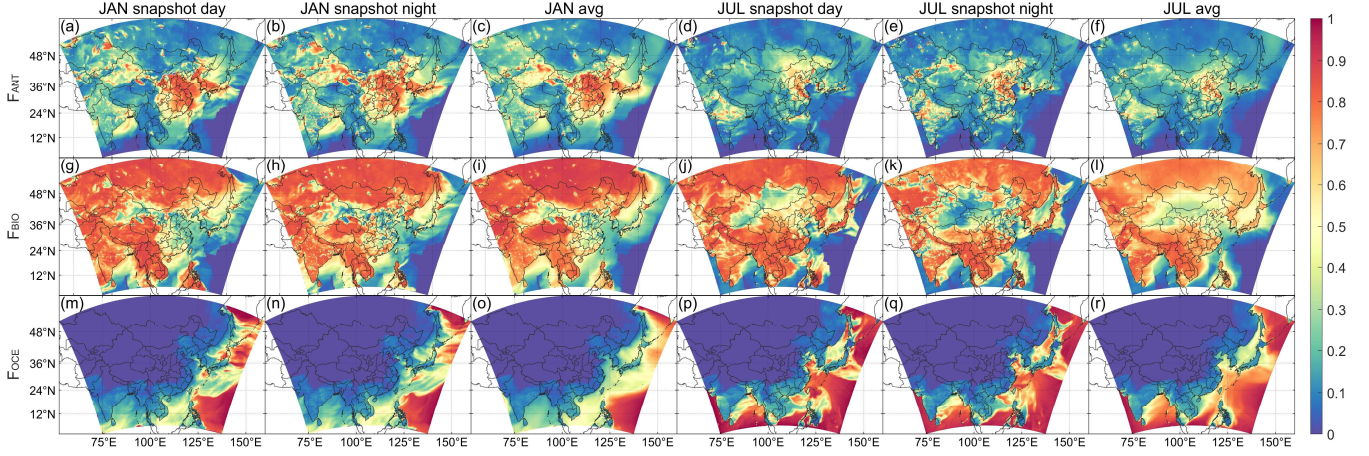
It is observed in Sect. 3.2.1 that the MRC at an observation site for different flux types often vary in a complementary manner. This can be more clearly illustrated when we spread the “observation sites” on the whole domain: we calculate the MRC for an observation site in Fig.5, and this calculation is then applied across all model grids to generate Figure 6 for specific times.

Like the temporally complementary variation of different fluxes in Fig. 5, the three types of fluxes exhibit spatially complementary distributions in Fig. 6. In January, most areas in China, South Korea, and Japan show relatively strong correlations between surface  $CO_2$  and  $F_{ANT}$ , with numerous small hotspots in India and Central Asia (Figs. 5a–c). Other land areas generally show strong correlations between surface  $CO_2$  and  $F_{BIO}$  (Figs. 5g–i). In the continental seas near China, South Korea, and Japan, the correlations between surface  $CO_2$  and  $F_{ANT}$  are also strong. In contrast, the southern continental seas display stronger correlations between surface  $CO_2$  and  $F_{BIO}$ . In contrast, the open ocean, distant from the continent, shows strong correlations between surface  $CO_2$  and  $F_{OCE}$  (Figs. 5m–o). In July, the overall patterns are similar, but the influence of  $F_{ANT}$  becomes concentrated in smaller areas (Figs. 5d–f). Meanwhile, the influence of  $F_{BIO}$  increases significantly in southern China, Korea, and Japan (Figs. 5d–f); however, the two-week-average does not increase very significantly due to the larger diurnal variations of correlations in July (compare Figs. 5A and C,  $F_{BIO}$ ). Over the ocean, the influence of  $F_{OCE}$  becomes much stronger than in January, especially in the Indian Ocean and along the western margin of the Pacific Ocean (Figs. 5p–r).

The complementary distributions of MRCs for different types of fluxes implies the signal “dilution” discussed in Sect. 3.1.3 from another point of view. When some type of flux (e.g.,  $F_{ANT}$ ) is fixed, the MRC of that type of flux will be zero, and therefore the other type of flux will fill the absent MRC. Consequently, there will be signal misattributions.

There is another implication of Fig. 6. A large value means a strong correlation between surface  $CO_2$  and nearby fluxes, suggesting that observations from these locations can be effectively used to invert fluxes. In other words, observation data

505 collected from areas with strong correlations provide more valuable information about fluxes, making these locations ideal for  
 establishing measurement sites. Conversely, sites located in areas with weak correlation are less informative for flux inversion.  
 Since atmospheric transport plays a critical role in determining the locations of high correlations, and because atmospheric  
 dynamics can vary rapidly and substantially (see also the January–July contrast in Fig. 6), the optimal measurement locations  
 may change quickly; therefore, our findings should not be regarded as definitive. However, the complementary distributions  
 510 of correlations for different fluxes highlight the potential for identifying new measurement sites based on the correlation  
 analysis.



515 **Figure 6.** Maximum absolute values of correlation coefficients between surface  $M_{TOT}$  at a model grid and nearby (a  $\sim 1200 \times 1200$  km<sup>2</sup> box) fluxes. (a) the 168<sup>th</sup>-hour  $M_{TOT}$  and the zeroth-hour  $F_{ANT}$  in January; (b) the 180<sup>th</sup>-hour  $M_{TOT}$  and the 12<sup>th</sup>-hour  $F_{ANT}$ ; (c) two weeks average of  $M_{TOT}$ - $F_{ANT}$  at 00:00, 06:00, 12:00, and 18:00 on each day; (d)–(f) July; (g)–(l)  $F_{BIO}$ ; (m)–(r)  $F_{OCE}$ .

### 3.3. Comparison with 4D-Var

Many inversion systems are based on 4D-Var. These systems also encounter a similar information transfer problem: how observations influence the unobserved fluxes. Here, we analyze this problem for a 4D-Var system. However, this analysis is partial because the solution to the inverse problem is iterative.

520 The starting point of 4D-Var is a cost function  $J(\mathbf{E}) = \frac{1}{2}(\mathbf{E} - \mathbf{E}^b)^T \mathbf{B}^{-1}(\mathbf{E} - \mathbf{E}^b) + \frac{1}{2}(\mathbf{y}^b - \mathbf{y}^o)^T \mathbf{R}^{-1}(\mathbf{y}^b - \mathbf{y}^o)$ , and the goal is to minimize the cost function iteratively based on the gradient  $\mathbf{g} := \partial J / \partial \mathbf{E}$ . The iteration directions, which are closely related to the gradients, determine how the fluxes are modified after assimilating observations and can thus be interpreted as information transfer pathways. Since fluxes are typically modified most significantly in the first few iterations (see Fig. 4 of Niwa et al., 2022), the overall iteration direction may be roughly approximated by the first iteration direction.

525 The gradient has two parts, which can be better understood by defining  $J_{\mathbf{y}} := \frac{1}{2}(\mathbf{y}^b - \mathbf{y}^o)^T \mathbf{R}^{-1}(\mathbf{y}^b - \mathbf{y}^o)$ . Thus, the gradient is given by  $\mathbf{g} = \mathbf{B}^{-1}(\mathbf{E} - \mathbf{E}^b) + \partial J_{\mathbf{y}} / \partial \mathbf{E}$ . The first part  $\mathbf{B}^{-1}(\mathbf{E} - \mathbf{E}^b)$  can be directly calculated if  $\mathbf{B}$  is invertible, while the second part usually relies on adjoint models of transport models. Here we use the CMAQ (v5.0) model and its adjoint, CMAQ-ADJ (Zhao et al., 2020), to calculate this part of the gradient. Choosing the 24 surface sites to form the cost function, with

530 pseudo-observations  $\mathbf{y}^o$  from the independent run (see Sect. 2.3) and setting the observation variances to 2.5 ppmv<sup>2</sup> for simplicity, we obtain  $\partial J_y / \partial \mathbf{E}$  (Fig. 7A) which is the gradient  $\mathbf{g}_0$  since  $\mathbf{E} = \mathbf{E}^b$ . It can be seen that the gradients with respect to daily fluxes are concentrated on a very small neighborhood of observation sites, resembling concentration footprints (see Fig. 4 of Storm et al., 2023).

Next, we calculate the iteration direction. Suppose we use the simple steepest descent method in the iteration. In that case, the iteration direction at the first iteration will be  $-\mathbf{g}_0$ , meaning only fluxes in areas very close to observation sites are modified after assimilating observations. At the second iteration, we obtain the new gradient  $\mathbf{g}_1 = \mathbf{B}^{-1}(\mathbf{E} - \mathbf{E}^b) + \frac{\partial J_y}{\partial \mathbf{E}} = -\gamma \mathbf{B}^{-1} \mathbf{g}_0 + \partial J_y / \partial \mathbf{E}$ , where  $\gamma$  is the step size of the first iteration. Even if  $\mathbf{B}$  is invertible and computationally feasible to calculate,  $\mathbf{B}^{-1} \mathbf{g}_0$  will still be concentrated in a small neighborhood around the observation sites. As a result, fluxes cannot be significantly modified after assimilating observations except for areas close to observation sites.

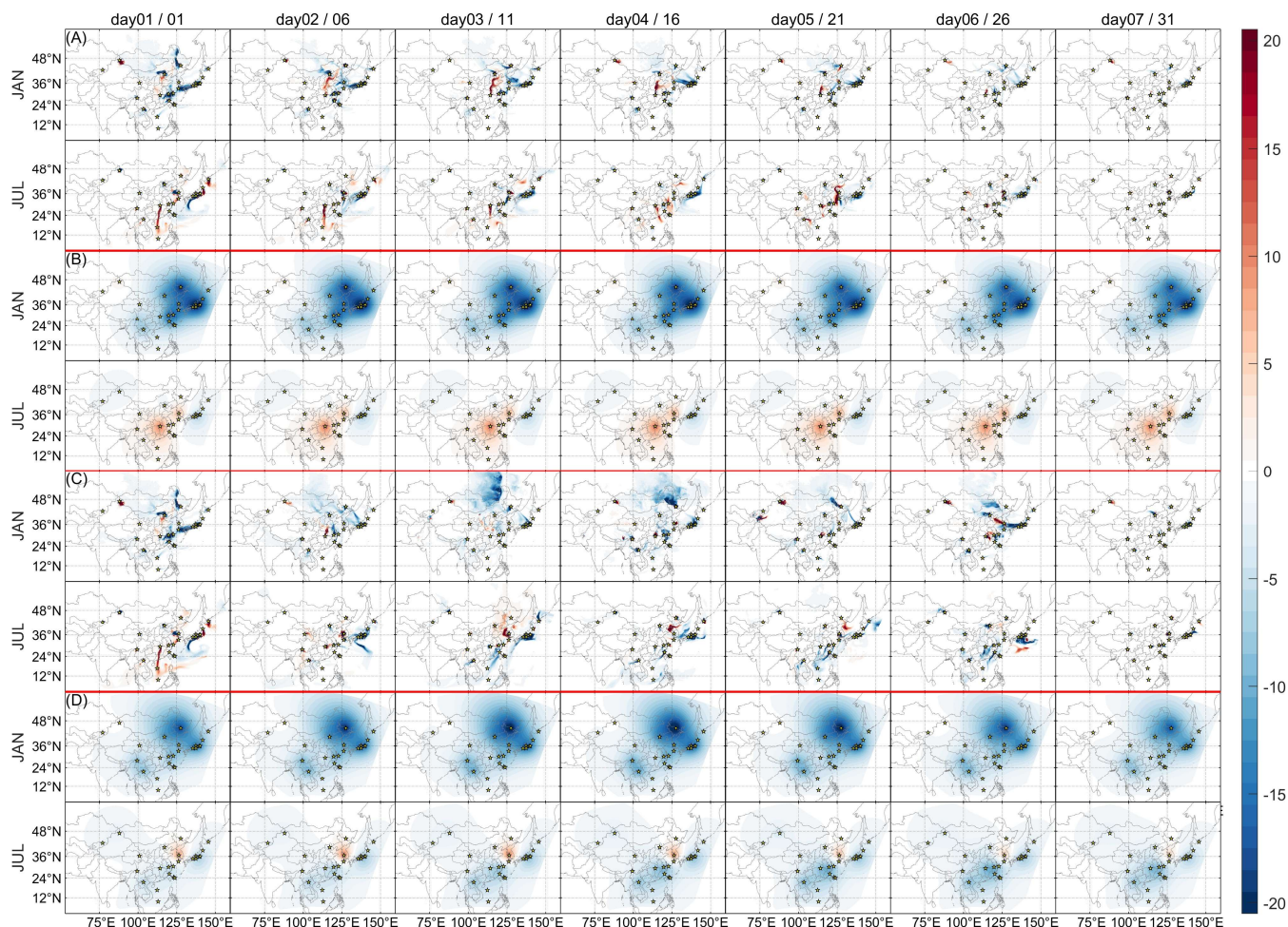
540 In practice, other methods than the simple steepest descent method are used, such as conjugate gradient and quasi-Newton methods (Chevallier et al., 2007; Niwa et al., 2017b), and specific techniques can expand the regions where fluxes can be modified (Fisher, 1998). In both methods, the key is to calculate  $\mathbf{B} \mathbf{g}$  (possibly with some modifications) instead of  $\mathbf{B}^{-1} \mathbf{g}$ . From the perspective of Newton’s methods, this is equivalent to approximating the Hessian,  $\mathbf{B}^{-1} + \mathbf{H}^T \mathbf{R}^{-1} \mathbf{H}$ , with  $\mathbf{B}^{-1}$ , and the iterations may be seen as refinements of this approximation. Using the same correlation function as in the OFF600 case and a uniform standard deviation of 10 mol s<sup>-1</sup> grid<sup>-1</sup> ( $\sim 0.0142$  gC m<sup>-2</sup> d<sup>-1</sup>), we calculate  $\mathbf{B} \mathbf{g}_0$  (Fig. 7B). The areas where fluxes can be modified are significantly enlarged compared to  $\mathbf{g}_0$  (Fig. 7A) but remain concentrated around observation sites. Additionally, these areas are similar to the patterns of correlation functions and concentration-flux correlation patterns in Monte Carlo simulations (e.g., Fig. 4) after possible weightings. Therefore, similar to KF-based systems, 4D-Var-based inversion systems also rely heavily on background correlation functions to transfer observational information (via the regularization term  $\frac{1}{2}(\mathbf{E} - \mathbf{E}^b)^T \mathbf{B}^{-1}(\mathbf{E} - \mathbf{E}^b)$ ), while transport plays only a minor role in determining the spatial and temporal extent of the inversion (though not the strength). This minor contribution arises because the cost function gradient is restricted to small areas around observation sites. Indeed, if we retain only the gradient values very near observation sites while setting “remote” gradients to zero, the patterns of  $\mathbf{B} \mathbf{g}_0$  remain unchanged to a large extent (Fig. S12). This minor contribution does not change even when extending the simulation time, as demonstrated by the one-month results (Figs. 7C and D).

555 In summary, consistent with previous studies demonstrating the equivalence between the Kalman filter update and the 4D-Var cost-function solution—both in theoretical analyses (Evensen et al., 2022) and in comparisons of posterior estimates from the two approaches (Liu et al., 2016)—our analysis provides an intuitive illustration of this corresponding equivalence under linear–Gaussian assumptions. However, since KF is typically implemented as EnKF, the small ensemble size can lead to spurious correlations (Fig. S6), necessitating localization in EnKF. This means the spatial extents of the two solutions may differ, especially in observation-sparse areas (Liu et al., 2016).

560 With these insights into the 4D-Var method, we can better understand why the spatial patterns of concentration-flux correlations are primarily shaped by flux autocorrelations, as previously discussed for EnKF. Since the first-order sensitivity

of concentrations to fluxes is limited to small areas, concentration-flux correlations are likely constrained to small areas. However, flux-flux autocorrelations are strong over larger regions (depending on the correlation functions), meaning that concentration-flux correlations can extend over larger areas due to the transitivity of strong correlations (Sotos et al., 2009).  
565 In this way, the prior information embedded in the background covariance matrix plays a role in transferring information from observed concentrations to unobserved fluxes.

Finally, it should be noted that the above discussion assumes continuous observation data. Under these conditions, the cost function gradient is continuously “renewed” as new observation data enter, ensuring that large gradient values persist near observation sites. If observation data are instantaneous, the gradient will not show large values for fluxes remote in time,  
570 making it appear extended in space (see Fig. S13). This is the typical way results related to gradients or sensitivities are presented in previous studies (e.g., Liu et al., 2015; Niwa et al., 2017a). However, since the largest gradient values always appear near (both in time and space) the observations, and these values are the most critical for assimilation, analysis based on instantaneous observations may not directly apply to understanding inversion systems. If only a single observation time is used  
575 to invert yearly or monthly fluxes, incidental transport errors at that time may significantly distort results, as no other observations are available to compensate for such errors. However, in observation-sparse areas, remote observations may still provide valuable information, which could also contribute to the differences between EnKF and 4D-Var, as EnKF cannot utilize remote observations effectively.



580 **Figure 7.** Spatial patterns of daily gradients and iteration directions. (A) is the gradient of the cost function to the daily fluxes. (B) is the iteration directions of the first iteration,  $\mathbf{B}g_0$ , and is calculated using the same correlation function as in case OFF600 and a uniform standard deviation of  $10 \text{ mol s}^{-1} \text{ grid}^{-1}$  ( $\sim 0.0142 \text{ gC m}^{-2} \text{ d}^{-1}$ ). Rows represent different months, and columns represent different days. (C) and (D) are the same as (A) and (B) but for the 1-month simulation. The values of (D) are divided by four (four weeks) for the purpose of illustration. The unit of (A) and (C) is  $(\text{gC m}^{-2} \text{ d}^{-1})^{-1}$ , and of (B) and (D) is  $\text{gC m}^{-2} \text{ d}^{-1}$ .

#### 4. Limitations and future work

585 This study excludes the impact of transport errors when analyzing the EnKF solution for flux inversions due to the complexity of the inversion system. Munassar et al. (2023) demonstrated that variations in transport models can lead to discrepancies exceeding 50% between two inversion systems. Consequently, it is essential to investigate how these transport errors affect the inversion results and, more precisely and more relevant to this study, how they may influence the correlation patterns of unobserved fluxes and observed concentrations. Such an analysis could serve as a natural extension of the work by Chen et al. (2019), which primarily examined variances. Transport errors will likely influence correlations and variances, potentially leading to less distinct correlation patterns than those presented in this study.

This study also overlooks the variability of boundary conditions of CO<sub>2</sub> concentrations, which is the second most important factor contributing to the discrepancies in different regional inversion systems, as shown by Munassar et al. (2023). While we might expect the influence of BCs on correlation patterns to be minimal, similar to the small impacts of initial conditions, this assumption may warrant further investigation. This will be investigated in a following study.

Our analysis does not include the chemical production of CO<sub>2</sub> from the oxidation of CH<sub>4</sub> and CO, which can be a non-negligible source in regions with intensive fossil fuel extraction (e.g., coal-mining areas) and may influence modeled concentration-flux correlations (e.g., Wang et al., 2025). Additionally, the model's representation of vertical transport and mixing over complex terrain (such as the Tibetan Plateau and the Shanxi-Shaanxi region) is subject to uncertainties that could affect correlation patterns at high-altitude sites (e.g., Wang et al., 2022). The temporal distribution of anthropogenic emissions may smooth holidays and business-cycles, and does not fully capture day-to-day emissions changes from fires or monsoons. Finally, non-linear spatial propagation of observational uncertainty may not be fully captured by the modeling system (e.g., Kurosawa and Poterjoy, 2021). These limitations should be considered when interpreting the spatial patterns shown in our diagnostic maps, though they are not expected to alter the conclusions regarding the role of prior correlation length scales.

It is important to clarify that a small influence on correlation patterns does not necessarily mean a small influence on inversion results. While correlation is a key parameter that characterizes the transfer of information from observed concentrations to unobserved fluxes, it does not determine the overall “content” of information. Efficient information transfer does not imply that the information itself is abundant. More technically, inversion results depend not only on the covariance matrix but also on the innovations, which are determined by the differences between modeled concentrations and observations. These innovations can be affected by transport errors, uncertainties in initial and boundary conditions, and other factors. Consequently, these factors can significantly influence inversion results. This study does not address uncertainties in modeling concentrations and, therefore, presents only a partial view of the overall situation.

In the analysis of the 4D-Var, only the first iteration is examined. This may be valid when the approximation of the Hessian  $\mathbf{B}^{-1} + \mathbf{H}^T \mathbf{R}^{-1} \mathbf{H}$  by  $\mathbf{B}^{-1}$  is reasonable. In a complete 4D-Var system, iterations are further complicated by the variances of the prior fluxes, and an analysis based on normalization that removes the influence of variances becomes more challenging. Nevertheless, examining results from additional iterations would be beneficial, even through an analysis based on iteration-by-iteration normalizations.

Finally, this study serves as an initial analysis of how observed CO<sub>2</sub> concentrations are utilized to invert unobserved fluxes, focusing specifically on correlations at particular locations and times. As previously mentioned, inversion results represent a combination of various monotonic changes relative to prior fluxes. However, it remains unclear how this combination yields reliable inversion outcomes.

## 5. Conclusions

There is an urgent need for reliable CO<sub>2</sub> flux inversions to address the challenges of climate change. This study adopts a diagnostic perspective aimed at elucidating the internal information transfer mechanisms of inversion systems, analyzing the core process by which observational information is translated into flux estimates in atmospheric CO<sub>2</sub> inversions. Through a combination of large-ensemble (EnKF) Monte Carlo simulations and comparative analysis with the 4D-Var method, we have clearly articulated and quantified the decisive role of the prior flux covariance structure in shaping and dominating the entire information flow.

Our findings show that spatiotemporal scales of information transfer are primarily set by the autocorrelation structure of the prior fluxes, while atmospheric transport processes primarily modulate the specific morphology of correlations at individual sites (e.g., directionality and asymmetry). Flux autocorrelations induce “resonance” and “dilution” effects that profoundly impact inversion efficiency and accuracy. When fluxes are strongly positively correlated over a large region (long autocorrelation length), their released CO<sub>2</sub> signals coherently superimpose during transport, producing a “resonance” effect that enhances the maximum concentration-flux correlation. Conversely, when multiple flux types (e.g., anthropogenic and biospheric) coexist and are uncorrelated, their signals interfere with each other, causing a “dilution” effect that weakens the discernible correlation between any single flux type and the total concentration. This explains why, under sparse observations, using overly short autocorrelation lengths (e.g., <100 km) not only shrinks the spatial influence of information but also systematically reduces the information extraction efficiency of the inversion system, leading to extensive “blank areas” of observational constraint (Fig. 3). It should be emphasized, however, that the choice of longer autocorrelation lengths (e.g., the 600 km recommendation for the current East Asian network) involves a trade-off between physical realism and mathematical efficiency. This choice is conditional on network sparsity and is region-specific. As observation networks become denser in the future, the optimal correlation length will converge toward the shorter, physically realistic scale. Our methodological framework provides a quantitative tool to re-evaluate this optimal length as observational constraints improve.

A direct consequence of the “dilution” effect is that when inverting one flux type (e.g.,  $F_{\text{BIO}}$ ), simply fixing another (e.g.,  $F_{\text{ANT}}$ ) misattributes observational information originally meant to constrain the fixed flux to the target flux, thereby distorting its solution. This misallocation is particularly severe in regions where the target flux itself has a weak correlation with the total concentration. Using flux-specific tracers (e.g.,  $^{14}\text{CO}_2$ ) is the fundamental way to avoid this issue. However, in the absence of tracers, the interactions among multiple fluxes must be fully recognized and handled with caution.

Comparative analysis with the 4D-Var framework reveals that its information transfer also relies heavily on the prior covariance  $\mathbf{B}$ . The adjoint-derived gradient is inherently local; it is the scaling by the  $\mathbf{B}$  matrix that projects observational influence to broader areas. Consistent with the theoretical equivalence between the Kalman filter update and the 4D-Var cost-function solution under linear–Gaussian assumptions (Evensen et al., 2022), as well as previous inversion studies showing similar posterior estimates from the two approaches in observation-constrained regions (Liu et al., 2016), our analysis suggests a corresponding equivalence in their information-transfer kernel under these assumptions. Both utilize the prior covariance

655 matrix as the conduit to distribute the constraint from point observations across larger space and time. Their primary practical differences stem from the spurious correlations in EnKF due to limited ensemble size and the consequent need for localization.

This study elucidates the fundamental principles governing the transfer of observational information in CO<sub>2</sub> flux inversions by establishing a mechanism-diagnostic ensemble simulation framework. Moving beyond the traditional evaluation of final flux estimates, we dissect the internal workings of data assimilation systems, revealing the decisive role of the prior error  
660 covariance structure in shaping the information propagation pathways. By making the internal process of constraint propagation explicit, we lay the foundation for building more transparent, interpretable, and trustworthy flux estimation systems.

### **Data availability**

The metadata for the surface CO<sub>2</sub> observation data can be obtained from the World Data Centre for Greenhouse Gases  
665 (WDCGG) at <https://gaw.kishou.go.jp/> (World Data Centre for Greenhouse Gases, 2025). The satellite XCO<sub>2</sub> data can be accessed through the Goddard Earth Sciences Data and Information Services Center (GES DISC) at <https://disc.gsfc.nasa.gov/> (OCO-2/OCO-3 Science Team et al., 2024).

### **Author contribution**

YL designed the study and edited the manuscript. SF ran the simulations, conducted analyses, and wrote the manuscript.

### **670 Competing interests**

The authors declare that they have no conflict of interest.

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