

1 Seasonal characterization of CDOM for lakes in semi-arid regions of
2 Northeast China using excitation-emission matrices fluorescence and
3 parallel factor analysis (EEM-PARAFAC)

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12
13 **Abstract.** The seasonal characteristics of fluorescent components in CDOM for lakes
14 in the semi-arid region of Northeast China were examined by excitation-emission
15 matrix (EEM) spectra and parallel factor analysis (PARAFAC). Two humic-like (C1
16 and C2) and the protein-like (C3 and C4) components were identified using
17 PARAFAC. The average fluorescence intensity of the four components differed under
18 seasonal variation from June and August 2013 to February and April 2014.
19 Components 1 and 2 exhibited strong linear correlation ($R^2 = 0.633$). Significantly
20 positive linear relationships between CDOM absorption coefficients $a(254)$ ($R^2 = 0.72$,
21 0.46 , $p < 0.01$), $a(280)$ ($R^2 = 0.77$, 0.47 , $p < 0.01$), $a(350)$ ($R^2 = 0.76$, 0.78 , $p < 0.01$)
22 and F_{max} for two humic-like components (C1 and C2) were exhibited, respectively. A

23 significant relationship ($R^2 = 0.931$) was found between salinity and DOC. However,
24 almost no obvious correlation was found between salinity and EEM-PARAFAC
25 extracted components except for C3 ($R^2 = 0.469$). Results from this investigation
26 demonstrate that the EEM-PARAFAC technique can be used to evaluate the seasonal
27 dynamics of CDOM fluorescent components for inland waters in the semi-arid
28 regions of Northeast China, and to quantify CDOM components for other waters with
29 similar environmental conditions.

30 **Keywords:** CDOM, fluorescent components, EEMs, PARAFAC, DOC, Salinity

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32

33 **1 Introduction**

34 Dissolved organic matter (DOM), a heterogeneous mixture of humic acids,
35 proteins and carbohydrates, plays important roles in aquatic ecosystems (Zhang et al.,
36 2010). Chromophoric dissolved organic matter (CDOM), the colored fraction of
37 DOM, absorbs light energy in the ultraviolet (UV) and visible region of the spectrum
38 and inhibits the propagation of UV radiation. CDOM in waters also affects the
39 transport and bio-availability of materials such as trace metals and other pollutants
40 (Song et al., 2013), so it can be used as a proxy of water quality. In natural water
41 bodies, CDOM originates from the degradation of plant materials and other organisms
42 and terrestrially imported substances, which varies in time and space and is controlled
43 by its structure and composition (Stedmon et al., 2003). CDOM is compositionally
44 complex, making it difficult for us to isolate hydrophobic from hydrophilic acids
45 using XAD ion-exchange resins (Aiken et al., 1992; Spencer et al., 2010).

46 Nonetheless, some optically active components of CDOM can emit fluorescence after
47 absorbing light at certain wavelengths (Zhang et al., 2010) so that the fluorescence
48 spectroscopic techniques can be used to provide detailed information about the source
49 and concentration of CDOM. The traditional fluorescence techniques including
50 fluorescence emission spectrometry and synchronous fluorescence scanning applied
51 to examine CDOM components have the drawback that the output was restricted to a
52 linear scan (Hudson et al., 2007).

53 Recently, excitation-emission matrix fluorescence spectroscopy (EEM) has been
54 applied to identify CDOM components because of this ability of producing
55 synchronous scan spectra in the form of contours (Stedmon et al., 2003; Zhang et al.,
56 2010). The EEM spectroscopy is considered the most effective technique for studying
57 the composition of fluorophores given its high selectivity and sensitivity to CDOM in
58 water columns (Zhang et al., 2010). In recent years, EEM spectroscopy has been
59 widely used to distinguish allochthonous and autochthonous CDOM source in aquatic
60 environment (Coble et al., 1998; Mayer et al., 1999; Yamashita et al., 2008, 2010;
61 Zhang et al., 2013), and to investigate the dynamics of marine, freshwaters and
62 ice-water ecosystems as well as snow melting water (Barker et al., 2006, 2009, 2010,
63 2013; Coble, 2007; Fellman et al., 2010; Guo et al., 2010; Hudson et al., 2007;
64 Stedmon et al., 2007). Based on the peak positions in EEMs, two main fluorescent
65 components, i.e., humic-like and protein-like substances, have been identified and
66 investigated (DelCastillo et al., 1999; Jaffe et al., 2004). However, overlapped
67 fluorophores of CDOM EEMs could make this traditional 'peak-picking' method

68 unreliable to evaluate CDOM dynamics in aquatic ecosystems (Coble, 1996; Stedmon
69 et al., 2003). Recently, the combined EEMs-PARAFAC (parallel factor analysis)
70 technique has been shown to effectively decompose EEM of CDOM into independent
71 fluorescent components and assess the source of CDOM and relationships with other
72 water quality parameters (Broisover et al., 2009; Guo et al., 2010; Zhang et al., 2010,
73 2011, 2013). Stedmon et al. (2003) introduced PARAFAC and identified five distinct
74 DOM components for a Danish estuary and its catchment (Stedmon et al., 2003). In
75 coastal environments, Yamashita et al. (2008) reported on seven components using the
76 combined EEMs-PARAFAC technique and assess the dynamic of individual
77 fluorophores and relationship with salinity in Ise Bay. Zhang et al. (2011) also found
78 three different components by PARAFAC modeling and analyzed the correlations
79 between the fluorescent components and absorption coefficients of CDOM for Lake
80 Tianmu and its catchment.

81 The Songnen Plain is a fluvial plain with semi-arid climate, in which many fresh
82 and brackish waters are distributed due to its geomorphology (Song et al., 2013).
83 Dissolved organic carbon (DOC) characteristics of these fresh and brackish waters
84 across the Songnen Plain have been studied by Song et al. (2013); the results
85 indicated that a huge amount of DOC were stored in these waters. In particular,
86 brackish waters would exhibit high average DOC concentration and significantly
87 contributed the carbon budget to inland waters (Duarte et al., 2008; Song et al., 2013;
88 Tranvik et al., 2009). However, little studied has been made on the detailed
89 information of DOC sources for these waters in the Songnen Plain. Therefore, it

90 motivated us to investigate the components in CDOM for both fresh and brackish
91 waters in the semi-arid region. In the present study, the absorption and fluorescence of
92 CDOM were determined for the water samples collected from seven lakes in the
93 western part of Jilin province, which had seasonal variation. The specific objectives of
94 this study are to: 1) characterize CDOM components contained in these lakes using
95 EEMs and their origins through the EEM-PARAFAC method; 2) assess the dynamic
96 of individual fluorescent component of CDOM under seasonal variation; and most
97 importantly 3) link CDOM fluorescence intensities, absorption coefficients, DOC
98 concentrations and salinity to each other.

99

100 **2 Materials and Methods**

101 **2.1 Lakes and water sampling**

102 The water bodies investigated in this study were located in the western part of Jilin
103 Province, which belongs to the semi-arid part of the Songnen Plain (Song et al., 2013).
104 Two groups of lakes were investigated, i.e., the Chagan lake group and the Yuelianghu
105 lake group. The Chagan lake group is made up of Lake Chagan (CGL), Xinmiaopao
106 (XMP), Xindianpao (XDP) and Kulipao (KLP). The Yuelianghu lake group mainly
107 includes Lake Yueliang (YLL), Talahong (TLH) and Xinhuangpao (XHP) (Fig. 1).
108 The primary economic value for these lakes is fishery, agricultural irrigation and
109 recreation. The average annual precipitation is about 391 mm, but the average
110 evaporation is up to 1790 mm, resulting in water scarcity. Due to the area dominated
111 by saline-alkali soil, the rainfall flush and agricultural catchment land use can result in

112 an increase of lake salinities. In order to characterize the CDOM fluorescent
113 components under seasonal variation using EEMs-PARAFAC, 67 water samples were
114 collected from the surface of the seven lakes in 1-liter acid-cleaned plastic bottles
115 during four field campaigns in June and August 2013 as well as in February and April
116 2014, respectively. These samples were collected during the ice covering period using
117 an ice drilling auger. After the ice layer was drilled a hole, the under-ice surface water
118 was coming up. The ice shavings were collected in plastic bags and the under-ice
119 surface water was collected in plastic bottles. The collected samples were held on ice
120 and immediately transported to the laboratory in the Changchun City of Jilin province
121 within 3-5 hours. In the laboratory, these samples were kept at 4 °C until analysis after
122 filtered within two days. Latitude and longitude of each sample location were
123 recorded *in situ* using a Trimble Global Positioning System (GPS).

124

125 **Figure 1. Locations of the water sampling sites for 7 lakes in the western part of Jilin**
126 **province, Northeast China.**

127

128 **2.2 Analytical procedures**

129 To characterize the basic parameters of water quality, salinity was measured through a
130 DDS-307 electrical conductivity (EC) meter in laboratory. Salinity was expressed in
131 the basis of the UNESCO practical salinity unit (PSU 1978). The pH was measured
132 using a PHS-3C pH meter at room temperature (20 ± 2 °C) in laboratory. Water
133 turbidity was determined using the Shimadzu UV-2600PC UV-Vis dual beam
134 spectrophotometer with matching 3 cm quartz cells at room temperature (20 ± 2 °C)

135 with Milli-Q water as the reference. To determine DOC concentrations, water samples
136 were filtered through 0.45 μm filters and then measured using a Shimadzu TOC-5000
137 Analyzer and a 1.2 % Pt on silica catalyst at 680 $^{\circ}\text{C}$. Potassium hydrogen phthalate
138 was used as standard. The reproducibility of the analytical procedure was within 2-3 %
139 for the current study (APHA, 1998; Song et al., 2011).

140

141 **2.3 Absorption measurement**

142 In laboratory, all the samples were filtered at low pressure, first through a
143 pre-combusted Whatman GF/F filter (0.7 μm), and then through a pre-rinsed 25 mm
144 Millipore membrane cellulose filter (0.22 μm) into glass bottles. Absorption spectra of
145 the samples were measured between 200 and 800 nm at 1 nm increments using the
146 Shimadzu UV-2600PC UV-Vis dual beam spectrophotometer with a 1 cm quartz
147 cuvette and Milli-Q water as reference. The absorption coefficient a_{CDOM} was
148 calculated from the measured optical density (OD) of the sample using Eq. (1):

$$149 \quad a_{CDOM}(\lambda) = 2.303[OD_{S(\lambda)} - OD_{(null)}] / \gamma \quad (1)$$

150 where γ is the cuvette path length (0.01 m) and the factor 2.303 converts from base 10
151 to base natural logarithm transformation. Some fine particles possibly remained in the
152 filtered solution (Babin et al., 2003; Bricaud et al., 1995), therefore it is necessary to
153 correct for scattering by fine particles and in this case, $OD_{(null)}$ is the average optical
154 density over 740-750 nm where the absorbance of CDOM can be assumed to be zero.

155 A CDOM absorption spectrum ($a_{CDOM}(\lambda)$) can be expressed as an exponential
156 function (Babin et al., 2003; Bricaud et al., 1995):

157
$$a_{CDOM}(\lambda_i) = a_{CDOM}(\lambda_r) \exp[-S(\lambda_i - \lambda_r)] \quad (2)$$

158 where $a_{CDOM}(\lambda_i)$ is the CDOM absorption at a given wavelength λ_i , $a_{CDOM}(\lambda_r)$ is the
159 absorption estimate at the reference wavelength λ_r (440 nm), and S is the spectral
160 slope of the CDOM absorption. According to Helms et al. (2008), S is calculated by
161 fitting a linear model to the data over a wavelength range of 275 to 295 nm ($S1$) or
162 350 to 400 nm ($S2$). To eliminate the inter-laboratory variability, the slope ratio $S_R =$
163 $S1/S2$ is defined to indicate the molecular weight and photo-bleaching of CDOM
164 (Helms et al., 2008; Zhang et al., 2010).

165

166 **2.4 Three-dimensional fluorescence measurement**

167 The EEMs analysis of CDOM were conducted using a Hitachi F-7000 fluorescence
168 spectrometer (Hitachi High-Technologies, Tokyo, Japan) with a 700-voltage xenon
169 lamp. The scanning ranges were 200–450 nm for excitation, and 250–500 nm for
170 emission. Readings were collected in the ratio mode at 5 nm intervals for excitation,
171 and at 1 nm intervals for emission, using a scanning speed of 2400 nm min⁻¹. The
172 band-passes were 5 nm for both excitation and emission. A Milli-Q water blank of the
173 EEMs was subtracted to eliminate the water Raman scatter peaks (McKnight et al.,
174 2001; Stedmon et al., 2003; Zhang et al., 2010, 2011).

175 The inner-filter effect, which results from reabsorption and excitation of the
176 fluorescence itself, can reduce the fluorescence intensity by 5% (Larsson et al., 2007;
177 McKnight et al., 2001). In order to eliminate the inner-filter effect, the EEMs were
178 corrected for absorbance by multiplying each value in the EEMs with a correction

179 factor based on the assumption that the average path length of absorption of the
180 excitation and emission light is one-half length of the cuvette (McKnight et al., 2001;
181 Zhang et al., 2010). The correction function is expressed as follows:

$$182 \quad F_{corr} = F_{obs} \times 10^{(A_{ex}+A_{em})/2} \quad (3)$$

183

184 where F_{Corr} and F_{obs} are the corrected and uncorrected fluorescence intensities and A_{ex}
185 and A_{em} are the absorbance values at the respective excitation and emission
186 wavelengths.

187 Finally, the fluorescence intensities of all sample's EEMs were normalized to
188 the area under the Milli-Q water Raman peak ($\lambda_{ex}=350$ nm, $\lambda_{em}=371-428$ nm)
189 measured daily (Lawaetz and Stedmon, 2009). The contour figures of the EEMs were
190 plotted using the Matlab 10.0 software package (Math Works, Natick Massachusetts,
191 America).

192

193 **2.5 The PARAFAC modeling**

194 PARAFAC, a three-way method, is applied to decompose the CDOM fluorescence
195 into separate fluorescent signals (Andersen and Bro, 2003; Stedmon and Bro, 2008).

196 A number of investigators have used EEMs-PARAFAC to characterize DOM in
197 freshwater and marine aquatic environments (Cory et al., 2005; Stedmon and
198 Markager, 2005; Yamashita, 2008; Zhang et al., 2010, 2011). According to Stedmon
199 and Bro (2008), a similar PARAFAC analysis is carried out in the present study using
200 the DOMFluor toolbox in MATLAB with the "N-way toolbox for MATLAB"

201 (Andersson et al., 2000). Before PARAFAC modeling, the excitation wavelengths
202 from 200 to 220 nm and the emission wavelengths from 250 to 300 nm were deleted
203 because of their poor quality. In order to remove the effect of Rayleigh scatter on
204 PARAFAC modeling, the missing values (NaN-Not a number) were inserted in the
205 regions ($Ex-20 \cong Em \cong Ex+20$ and $2Ex-20 \cong Em \cong 2Ex+20$; unit: nm) which are
206 significantly influenced by the first and second order scattering from the measured
207 spectroscopic data (Hua et al., 2007; Stedmon and Bro, 2008).

208 To determine the appropriate number of PARAFAC components, the split-half
209 validation procedure was executed to verify whether the model was valid by
210 comparing the emission and excitation loadings from each half (Stedmon and Bro,
211 2008). Split-half analysis is the most effective method for implementing the
212 PARAFAC models, in which the EEMs are randomly divided into four groups of
213 equal size, and then analyzed for two half splits (1-2 and 3-4 half) respectively. If the
214 correct number of components is chosen, the excitation and emission loadings from
215 the two groups should show the same shape and size (Bro, 1997, 1999). The
216 fluorescence intensity of every component was represented by F_{\max} (Raman unit: nm^{-1})
217 (Stedmon and Markager, 2005).

218

219 **2.6 Statistical analysis**

220 Statistical analysis was conducted using the SPSS 16.0 software package (Statistical
221 Program for Social Sciences). Regression and correlation analysis was used to
222 describe the relationship between CDOM absorption coefficient, DOC concentration,

223 salinity and F_{max} . The difference is considered to be statistically significant when
224 p -values are less or equal to 0.05.

225

226 **3 Results and discussion**

227 **3.1 Water quality conditions**

228 The water quality parameters, i.e., pH, salinity, turbidity for the 67 water samples
229 collected from June 2013 to April 2014 in the western part of Jilin province are
230 displayed in Table 1. When the set of samples from various field trips was pooled
231 together, the waters had high pH values (mean, 8.55) and high salt contents (mean,
232 0.48 PSU). The highest salinity (0.70 PSU) was present when the lakes were frozen in
233 February 2014, whereas relatively constant values (around 0.40 PSU) were exhibited
234 in other three seasons. Also the water bodies were highly turbid with the mean of
235 62.18 ± 79.07 NTU. The highest turbidity was present in June 2013, and then reduced
236 in August 2013, and the lowest value was recorded in February 2014. Compared with
237 February 2014, the turbidity had almost no change in April 2014 (Table 1).

238

239 **Table 1. Mean value of water quality parameters from June 2013 to April 2014.**

240

241 **3.2 EEMs characterization of CDOM**

242 Based on the EEMs ‘peak picking’ technique, the key fluorescence peaks can be
243 observed in 67 water samples: two humic-like and two protein-like substances (Coble,
244 1996; Stedmon et al., 2003). The humic-like components are the mixture of aromatic

245 and aliphatic compounds-humic-like acids from terrestrial substances, and aquatic
246 humic-like substances of phytoplankton origin. With respect to the protein-like
247 components, i.e., tyrosine-like and tryptophan-like substance, mainly consist of
248 dissolved amino acids. As an example, Fig. 2 displays the EEMs of samples from lake
249 Xindianpao at different seasons. The peaks comprise two humic-like fluorescence
250 peaks: one in the ultraviolet range (Ex/Em = 220-240/410-430 nm) and the other in
251 the visible range (Ex/Em = 300-340/410-450 nm) and the protein-like fluorescence
252 peaks: tyrosine-like (Ex/Em = 210-230, 270-280/310-330 nm) and tryptophan-like
253 (Ex/Em = 220-230, 280-300/350-370 nm). The measured fluorescence intensity is
254 dependent on the concentration of the dissolved fluorophores in water bodies. The
255 fluorescence properties of CDOM had seasonal variation. For Xindianpao, the
256 protein-like fluorescence peaks were higher than the humic-like fluorescence peaks in
257 June 2013, whereas the humic-like fluorescence peaks were higher than the
258 protein-like peaks in August 2013.

259

260 **Figure 2. Examples of EEMs for one water sample from Xindianpao Lake in the western**
261 **part of Jilin province at different seasons a) June 2013; b) August 2013; c) February 2014; d)**
262 **April 2014 (Fluorescence is in Raman unit: nm⁻¹).**

263

264 In split-half analysis, the 67 EEMs were randomly divided into four halves and then
265 analyzed for two different splits (1-2 and 3-4 half split). When the number of
266 components was chosen to be four, the excitation and emission loadings from the
267 output results of the 1-2 and 3-4 split-half analysis largely overlapped, respectively

268 (Fig. 3). It should be noted that for the 3-4 split-half analysis, the excitation and
269 emission loadings of component 3 and component 4 were reversed. In fact, the output
270 results of the split-half analysis were valid as long as the excitation and emission
271 loadings of the fluorescent component were overlapped at the same wavelength and
272 these components in different colors in the two groups only represent the order of
273 appearance of the components according to their contributions (Stedmon and Bro,
274 2008).

275

276 **Figure 3. Results from split-half analysis (1-2 top a); 3-4 down b)) in PARAFAC models. The**
277 **plots represent spectral shapes of the excitation and emission loadings from the two halves**
278 **(1-2; 3-4 split -half analysis) modeling.**

279

280 In our study, four separate fluorescent components (Fig. 4a-d) and the
281 excitation and emission loadings (e-h) of the four components identified by
282 EEM-PARAFAC are summarized in Fig. 4 and Table 2. The first fluorescent
283 component (C1) was a biological degradation humic-like component that displays two
284 excitation maxima (at 230 and 300 nm) with a single emission wavelength (at 425 nm)
285 comparable to humic-like peaks (M and N) in marine and in phytoplankton
286 degradation experiments for inland waters (Coble, 1996; Zhang et al., 2009).
287 Component 2 had the maximum excitations (at 255 and 350 nm) and an emission
288 wavelength (at 460 nm) (Fig. 4a-b), which was consistent with the humic-like peaks
289 (A and C) defined by Coble (1996). Component 3 demonstrated two excitation
290 maxima (at 225 and 275 nm) and one emission maximum (at 360 nm), which

291 resembles the tryptophan-like (T) component as found by Baker et al. (2004) and
292 Hudson et al. (2007). For component 4, it is likely related to tyrosine-like component
293 (B), which was characterized by the maximum excitations at 225 and 275 nm and the
294 emission wavelength was found at 310 nm. Components 3 and 4 represent
295 autochthonous semi-labile CDOM associated with bacteria activity and phytoplankton
296 degradation (Borisover et al., 2009; Stedmon et al., 2003). Particularly, there was a
297 shoulder at the excitation wavelength 310-330 nm in component 3 and 330-340 nm in
298 component 4, which may be due to the residual Raman peaks in some water samples
299 (Fig. 4c-d). In this study, not all of the four components were present in all of the
300 samples.

301

302 **Figure 4. The PARAFAC modeling output shows the contour plots of the four PARAFAC**
303 **fluorescent components (a-d) and excitation (black) and emission (red) loadings (e-h) of each**
304 **component. Fluorescence is in Raman units: nm⁻¹.**

305

306 **Table 2. Positions of the fluorescence maximum peaks of the four components identified by**
307 **PARAFAC modeling in the present study compared with those previously identified.**
308 **Secondary excitation maxima is given in brackets.**

309

310 **3.3 Temporal distribution of PARAFAC components**

311 As shown in Fig. 5a and b, the average fluorescence intensity of the four components
312 had seasonal variation. When all the water samples at different seasons were pooled
313 together, the average value of total fluorescence intensity was $2.05 \pm 0.93 \text{ nm}^{-1}$,
314 corresponding to the intensities of 0.71 ± 0.32 (C1), 0.33 ± 0.11 (C2), 0.50 ± 0.24

315 (C3), and 0.51 ± 0.26 (C4) nm^{-1} for different components. These results can
316 demonstrate that the fluorescence intensity was dominated by C1, implying most part
317 of the CDOM for the seven inland lakes was originated from phytoplankton
318 degradation and other organisms. The protein-like components (C3 and C4), related to
319 bioavailability and microbial activity of CDOM, had almost the same magnitude. At
320 all four seasons, the fluorescent component C2, which was terrestrially imported to
321 water bodies, contributed less to total fluorescence than the other three. The total
322 fluorescence intensity differed under seasonal variation, varying from 2.54 ± 0.68
323 nm^{-1} in June to $1.93 \pm 0.70 \text{ nm}^{-1}$ in August 2013, and then increased to 2.34 ± 0.92
324 nm^{-1} in February and reduced to the lowest $1.57 \pm 0.55 \text{ nm}^{-1}$ in April 2014 (Fig. 5b).
325 The intensities of four fluorescent components (i.e., 0.75 ± 0.17 (C1), 0.32 ± 0.06
326 (C2), 0.69 ± 0.24 (C3), and 0.77 ± 0.20 (C4) nm^{-1}) from the samples collected in June
327 2013 exhibited similar trends to that for the pooled data set. These values were higher
328 than the seasonal average except C2 ($0.32 \pm 0.06 \text{ nm}^{-1}$). This can be explained by
329 enhanced activities from plant degradation and microbial activities, but less terrestrial
330 substances were imported to the water bodies in June and therefore the fluorescence
331 intensity of C2 was lower than the seasonal average. Compared to the fluorescence
332 intensity in June, the three fluorescence intensities (0.65 ± 0.14 (C1), 0.33 ± 0.16 (C3),
333 0.52 ± 0.36 (C4) nm^{-1}) from the samples collected in August 2013 reduced, but an
334 increased value was recorded for C2 ($0.42 \pm 0.05 \text{ nm}^{-1}$). Especially, the fluorescence
335 intensities of two protein-like components showed an obvious difference. This can be
336 attributed to substantially increased precipitation up to 180 mm in July from June to

337 August 2013 (Fig. 5c) so that flood occurred when rainfall continued to increase in
338 August. Gradually, DOM contained in terrestrial CDOM was flushed by rainfall to the
339 lakes so that the C2 ($0.42 \pm 0.05 \text{ nm}^{-1}$) fluorescence intensity became higher. In
340 accordance with Cheng et al. 2010, the rainwater CDOM for this study was largely
341 characterized by protein-like components (Cheng et al., 2010). The fluorescence
342 intensity of the rainwater CDOM was very weak, and also the rainwater CDOM
343 contained much lower humic-like concentration (Fig. 6b). The intensities of the other
344 three components decreased because of dilution resulting from heavy rain and
345 relatively weak microbial decomposition of plants.

346 The highest C1 ($1.02 \pm 0.38 \text{ nm}^{-1}$) presented in February 2014 and the C2 (0.39
347 $\pm 0.12 \text{ nm}^{-1}$) intensity remained almost the same as that in August 2013. However, the
348 protein-like components indicated that the C3 ($0.57 \pm 0.25 \text{ nm}^{-1}$) intensity was higher
349 than the C4 ($0.35 \pm 0.17 \text{ nm}^{-1}$) intensity, which was opposite to the results from other
350 months (Fig. 5b). In cold winter, the surface waters formed a thick layer of ice
351 covering the lake waters. Because the ice cover reduced light penetration and
352 restricted gas exchange between the underlying water and atmosphere, vigorous
353 biological activities in the lakes would be prohibited at low temperature and low light
354 level (Thomas K., 1983; Uusikivi et al., 2010; Wharton, et al., 1993). Also, dissolved
355 matters were left in the underlying surface waters and little terrestrial matters were
356 imported to the lakes once covered by ice (Stedmon et al., 2007). Therefore, the C1
357 and C3 in the water of the lakes beneath the ice layers would cumulate simultaneously,
358 whereas, the C2 remained the same. Obviously, the fluorescence intensity of

359 component 1 reached the highest value for the winter samples. As shown in Fig. 6a,
360 another striking feature for the winter samples was that the fluorescence of CDOM in
361 the ice was dominated by the tyrosine-like C4 component, which is consistent with
362 the findings of Barker et al. (2009, 2013) and Stedmon et al. (2007). It showed that
363 the C4 component was left in the ice-cover when the lakes were frozen. Therefore, it
364 is not surprising that the intensity of component C4 for water beneath ice layers was
365 reduced and the concentrated C3 showed a much higher fluorescence intensity. In
366 April 2014, the intensities of four fluorescent components (0.47 ± 0.17 (C1), $0.25 \pm$
367 0.08 (C2), 0.40 ± 0.16 (C3), and 0.45 ± 0.13 (C4) nm^{-1}) exhibited similar seasonal
368 trends though these values were much lower than the average. Our interpretation is
369 that the ice CDOM was characterized by tyrosine-like component (C4) (Fig. 6a), and
370 the fluorescence intensity of C4 contributed by the ice-melt water was very weak.
371 However, the underlying lake CDOM was dominated by both humic-like (C1 and C2)
372 and protein-like (C3 and C4) components. When the ice in the lakes melt into water
373 with warming weather and biological degradation and human activity was weak, the
374 lake CDOM was diluted by the ice-melted water and the fluorescence intensity would
375 reach to the lowest value in early spring.

376

377 **Figure 5. a) Seasonal average of F_{max} for EEM-PARAFAC components (C1, C2, C3 and C4)**
378 **for lakes in the western part of Jilin province; b) Seasonal variation of the four**
379 **EEM-PARAFAC components at different seasons; c) Monthly variation of rainfall for the**
380 **lakes in western part of Jilin province from April 2013 to February 2014. The error bar**
381 **represents standard deviations.**

382

383 **Figure 6. Representative examples of EEMs for a) lake ice-melt water sample, and b)**
384 **rainwater CDOM in the western part of Jilin province (Raman: nm⁻¹).**

385

386 **3.4 CDOM versus EEM-PARAFAC extracted components**

387 The concentration of DOC, CDOM absorption coefficients and the slope ratio S_R are
388 shown in Table 3. The DOC concentrations ranged from 10.03 to 88.15 mg L⁻¹ during
389 the study period, with an average value of 37.60 ± 18.05 mg L⁻¹. It is because the
390 prolonged sunshine duration can result in an evapo-condensed DOC concentration in
391 the Songnen Plain. The highest averaged DOC concentration (55.04 ± 20.00 mg L⁻¹)
392 was present in February 2014; whereas, relatively constant values of approximate 30
393 mg L⁻¹ were observed in the other three seasons, demonstrating a seasonal dynamics
394 that can be attributed to hydrological, climatic and landscape variations (Song et al.,
395 2013). This can be attributed to the accumulated DOC when the lakes freeze in winter,
396 which leaves DOC in the liquid phase, resulting in a higher DOC concentration in the
397 underlying water (unpublished material). Generally, the absorption coefficient $a(350)$
398 was used as a proxy for characterizing CDOM concentration, which was 5.73 ± 1.68
399 m⁻¹ in June 2013, 5.82 ± 0.81 m⁻¹ in August 2013, 6.36 ± 2.17 m⁻¹ in February 2014,
400 4.17 ± 1.49 m⁻¹ in April 2014, respectively, with an seasonal average of 5.40 ± 1.84
401 m⁻¹. The highest averaged CDOM absorption coefficients $a(350)$, $a(280)$, $a(254)$ were
402 also present in February 2014, corresponding to the highest DOC concentration. The
403 S_R values of the two wavelength ranges (275-295 nm over 350-400 nm) were used to
404 represent the ratio of molecular weight of humic acid and fulvic acid. The mean of S_R
405 for all water samples was up to 1.21 ± 0.20 , with the lowest 0.96 ± 0.22 in August

406 2013 suggesting the relatively weak microbial decomposition of plants and lots of
407 terrestrially imported substances through rainwash resulted in the higher average
408 molecular weight of DOC.

409

410 **Table 3. Mean values of DOC concentration and CDOM absorption coefficients groups at**
411 **different seasons. S_R : the slope ratio of $S_{275-295nm} : S_{350-400nm}$.**

412

413 When the whole data set ($N = 67$) was pooled together, there were significantly
414 positive linear relationships between $a(254)$, $a(280)$, $a(350)$ and F_{max} for two
415 humic-like components (C1 and C2), respectively, but mostly such correlations were
416 not observed for the protein-like components (Fig. 7, Table 3). These results were in
417 accordance with previous investigations (Zhang et al., 2010, 2011). Components 1
418 and 2 were strongly linearly correlated with each other ($R^2 = 0.633$), indicating that
419 the concentrations of the two humic-like components were controlled by common
420 sources. There was a weak relationship ($R^2 = 0.051$) between the protein-like
421 components (C3 and C4) because of a complex origin of CDOM such as rainfall in
422 summer, ice in winter and organic pollutants derived from domestic, agricultural and
423 industrial sewerage, which represent the complex origins of CDOM. However, there
424 was almost no correlation between the humic-like and protein-like components. The
425 linkage of a fluorescence signal to DOC was very complicated because of the
426 seasonal effects of both steady and labile fluorescence and non-fluorescence CDOM
427 components as a result of increased rainfall and algal blooms which affect the DOC
428 concentration (Henderson et al., 2009). Component 3 of the CDOM fluorescence can

429 be used to detect water pollution (Baker et al., 2004). A weak relationship ($R^2 = 0.42$)
430 (Fig. 7d) was found between DOC and component 3 from the decay of plants through
431 microbial activity or the pollution from human and animal wastes.

432 The most important finding for the water samples collected at different seasons
433 from the Songnen Plain is a significant relationship ($R^2 = 0.931$) between salinity and
434 DOC (Fig. 7e), which implies that a prolonged sunshine duration can result in an
435 evapo-condensed DOC concentration. Different from the findings by Yamashita et al.
436 (2008) for ocean water, this study did not find obvious correlation between salinity
437 and EEM-PARAFAC extracted components with the exception of C3 ($R^2 = 0.469$)
438 (Table 4 and Fig. 7d). It was because that with the sunshine duration hours increasing,
439 the photo-degradation and microbial activities become stronger, leading to a more
440 efficient transformation of labile fluorescence CDOM into non-fluorescence CDOM
441 component (Song et al., 2013).

442

443 **Table 4. Correlation coefficients (R) and significance levels (p) of the linear relationships**
444 **between CDOM absorption, DOC, salinity and fluorescent components.**

445

446 **Figure 7. Relationships between CDOM absorption coefficient $a(350)$ with a) $F_{max}(C1)$, b)**
447 **with $F_{max}(C2)$, c) peak $F_{max}(C1)$ versus $F_{max}(C2)$, d) peak $F_{max}(C3)$ versus DOC, e) Salinity**
448 **versus DOC, f) Salinity versus $F_{max}(C3)$.**

449

450 **4 Conclusions**

451 In this study, the application of EEM-PARAFAC to characterize four fluorescent
452 components under seasonal variation in CDOM was presented with 67 water samples

453 collected from June 2013 to April 2014 in the semi-arid region of the Songnen Plain.
454 Two humic-like and the protein-like components were identified using PARAFAC
455 model. The average fluorescence intensity of the four components differed under
456 seasonal variation from June 2013 to April 2014. The highest C1 1.02 nm^{-1} was
457 presented in February 2014 due to the condensed CDOM caused by ice formation in
458 winter. Especially in summer when quantities of rainfall take place and in winter
459 when water is frozen, the fluorescence intensity is dominated by tyrosine-like
460 component in rain and ice-melt water. Component 1 and 2 exhibited strong linear
461 correlation ($R^2 = 0.633$). There were significantly positive linear relationships
462 between F_{max} and CDOM absorption coefficient $a(254)$ ($R^2 = 0.72, 0.46, p < 0.01$),
463 $a(280)$ ($R^2 = 0.77, 0.47, p < 0.01$), $a(350)$ ($R^2 = 0.76, 0.78, p < 0.01$) for two
464 humic-like components (C1 and C2), respectively. A weak relationship ($R^2 = 0.42$)
465 was found between DOC and component 3 from the decay of plants through
466 microbial activity or the pollution from human and animal wastes. Most importantly, a
467 significant relationship ($R^2 = 0.931$) was found between salinity and DOC. However,
468 almost no obvious correlation was found between salinity and EEM-PARAFAC
469 extracted components except C3 ($R^2 = 0.469$), though the correlation was not as
470 strong as with DOC concentration.

471

472 **Acknowledgements**

473 The research was jointly supported by the “One Hundred Talents” program from

474 Chinese Academy of Sciences and the National Natural Science Foundation of China
475 (No. 41171293). The authors thank Zhi Ding, Ying Guan, Lei Liu and Ming Wang for
476 their persistent assistance with both field sampling and laboratory analysis.

477

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649 Table 1. Mean value of water quality parameters from June 2013 to April 2014. Turb
650 denotes water turbidity; N denotes sampling numbers.

651

Sampling season	pH	Salinity (PSU)	Turb (NTU)	N
Jun.2013	8.54	0.40	166.20 ± 108.73	15
Aug.2013	8.63	0.37	63.13 ± 31.21	13
Feb.2014	8.35	0.70	21.33 ± 15.87	17
Apr.2014	8.67	0.43	22.24 ± 16.42	22
All	8.55	0.48	62.18 ± 79.07	67

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674 Table 2. Positions of the fluorescence maximum peaks of the four components
 675 identified by PARAFAC modeling in the present study compared with those
 676 previously identified. Secondary excitation maxima is given in brackets.

677

Component No	Ex _{max} (nm)	Em _{max} (nm)	Description and source	Components (Coble) and (Zhang)	Components (Stedmon and Markager)
C1	230 (300)	425	Marine humic-like (phytoplankton degradation)	M	6
C2	255 (350)	460	Terrstrialhumic-like	A and C	1 and 4
C3	225 (290)	360	Autochthonous tryptophan-like	T	
C4	220 (275)	320	Autochthonous tyrosine-like	B	8

678 Fluorescence peaks were named as Components (Coble) and (Zhang) by Coble et al. (1996, 1998) and Zhang et al.
 679 (2010, 2011), while as Components (Stedmon and Markager) by Stedmon and Markager (2005).

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697 Table 3. Mean values of DOC concentration and CDOM absorption coefficients
 698 groups at different seasons. S_R : the slope ratio of $S_{275-295nm} : S_{350-400nm}$.

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Sampling season	a(254) m ⁻¹	a(280) m ⁻¹	a(350) m ⁻¹	S_R	DOC mg L ⁻¹	N
Jun.2013	38.39±9.23	25.98±6.38	5.73±1.68	1.29±0.16	31.84±14.67	15
Aug.2013	29.71±4.73	19.36±2.91	5.82±0.81	0.96±0.22	32.83±14.78	13
Feb.2014	52.88±18.13	34.62±11.54	6.36±2.17	1.18±0.11	55.04±20.00	17
Apr.2014	34.43±11.38	22.45±7.36	4.17±1.49	1.32±0.13	30.86±10.91	22
All	39.08±14.73	25.73±9.58	5.40±1.84	1.21±0.20	37.60±18.05	67

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719 Table 4. Correlation coefficients (R) and significance levels (p) of the linear
 720 relationships between CDOM absorption, DOC, salinity and fluorescent components.

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	a(254)	a(280)	a(350)	DOC	Salinity	C1	C2	C3	C4
DOC	0.711**	0.646**	0.294*	1.000**					
Salinity	0.650**	0.579**	0.159	0.965**	1.000**				
C1	0.850**	0.875**	0.873**	0.496**	0.383**	1.000**			
C2	0.677**	0.686**	0.885**	0.414**	0.270*	0.796**	1.000**		
C3	0.452**	0.417**	0.134	0.648**	0.685**	0.267*	0.103	1.000**	
C4	-0.040	-0.016	0.078	-0.101	0.135	0.084	0.069	0.225	1.000**

722 ** $p < 0.01$ level ; * $p < 0.05$ level.

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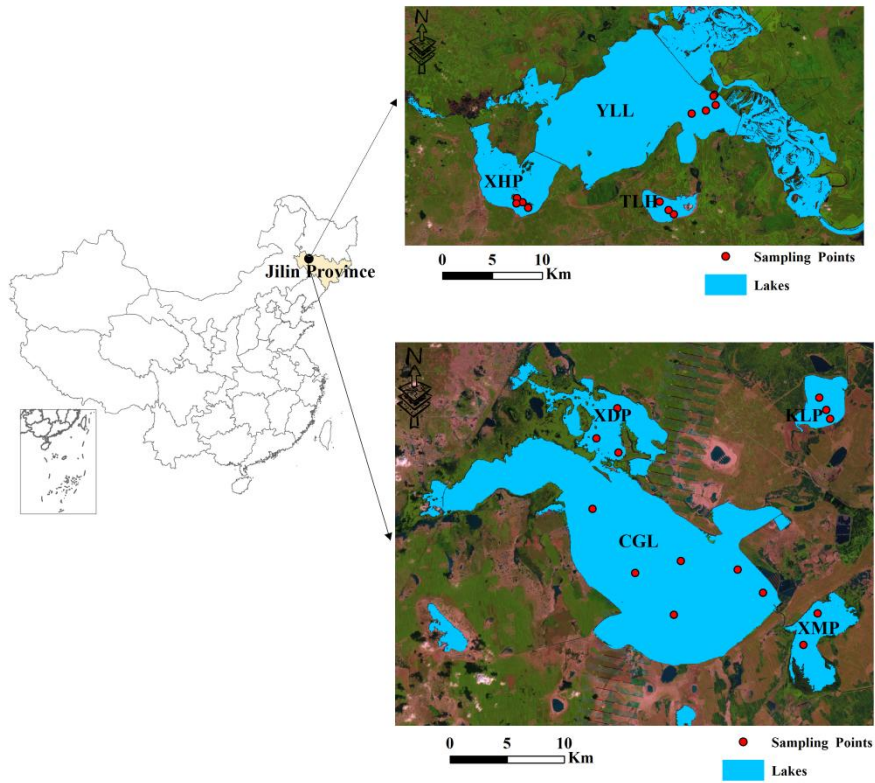
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735 Figure 1. Locations of the water sampling sites for 7 lakes in the western part of Jilin

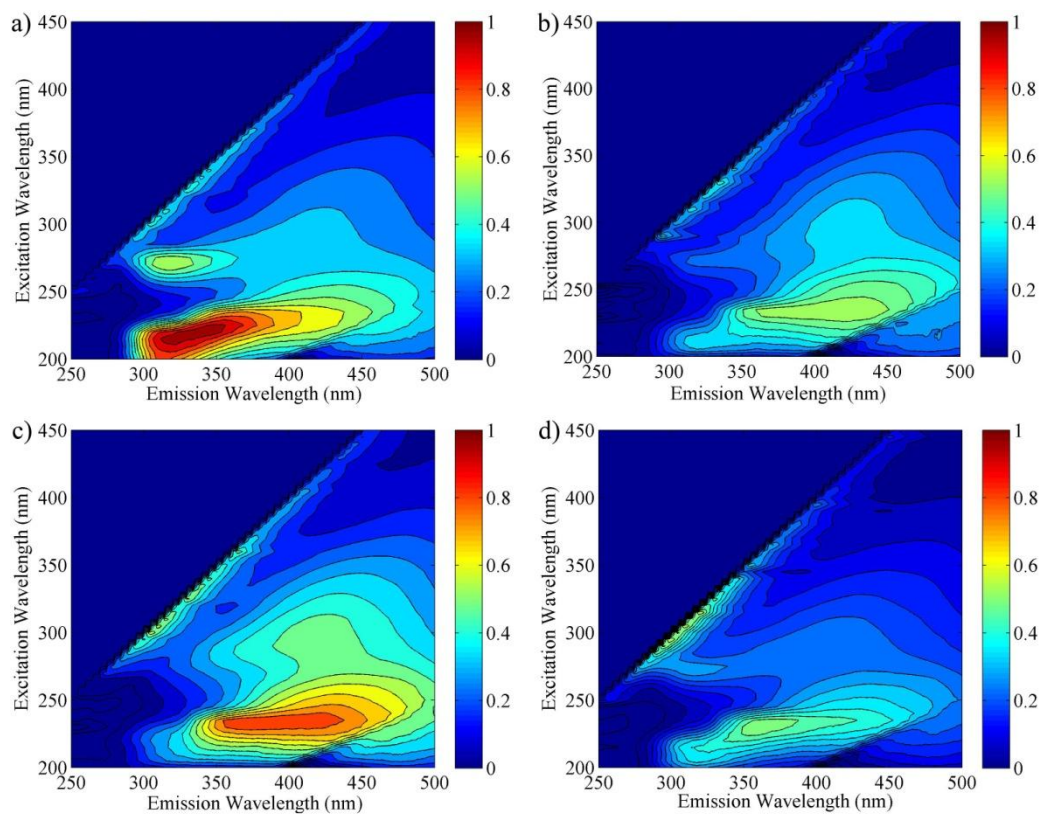
736 province, Northeast China.

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743 Figure 2. Examples of EEMs for one water sample from Xindianpao Lake in the

744 western part of Jilin province at different seasons a) June 2013; b) August 2013; c)

745 February 2014; d) April 2014 (Fluorescence is in Raman unit: nm^{-1}).

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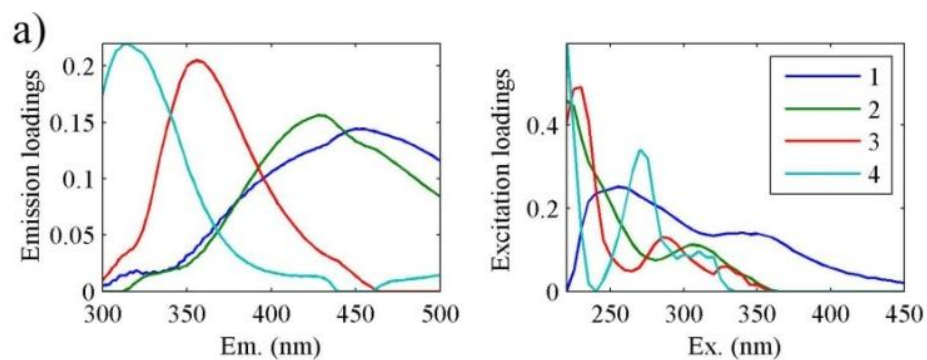
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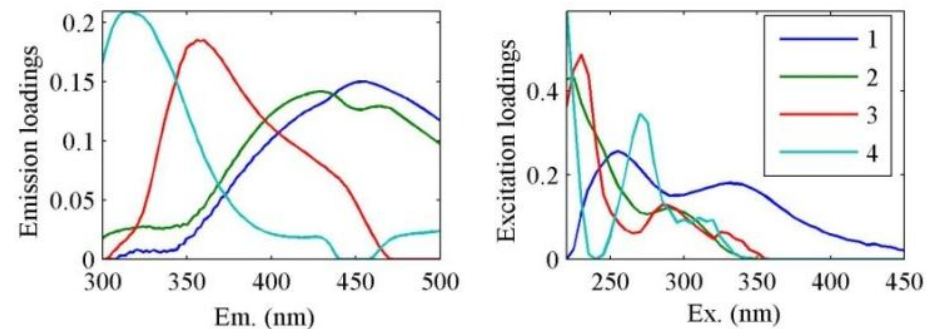
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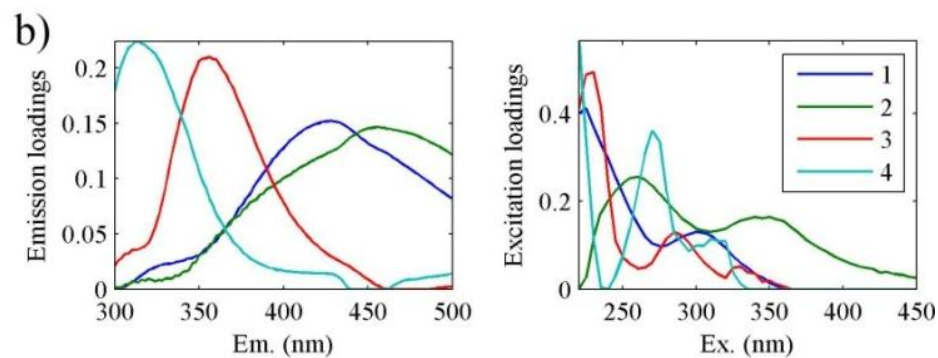
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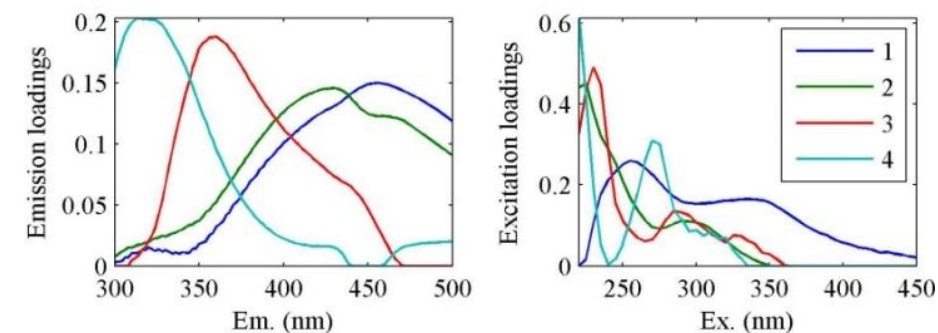
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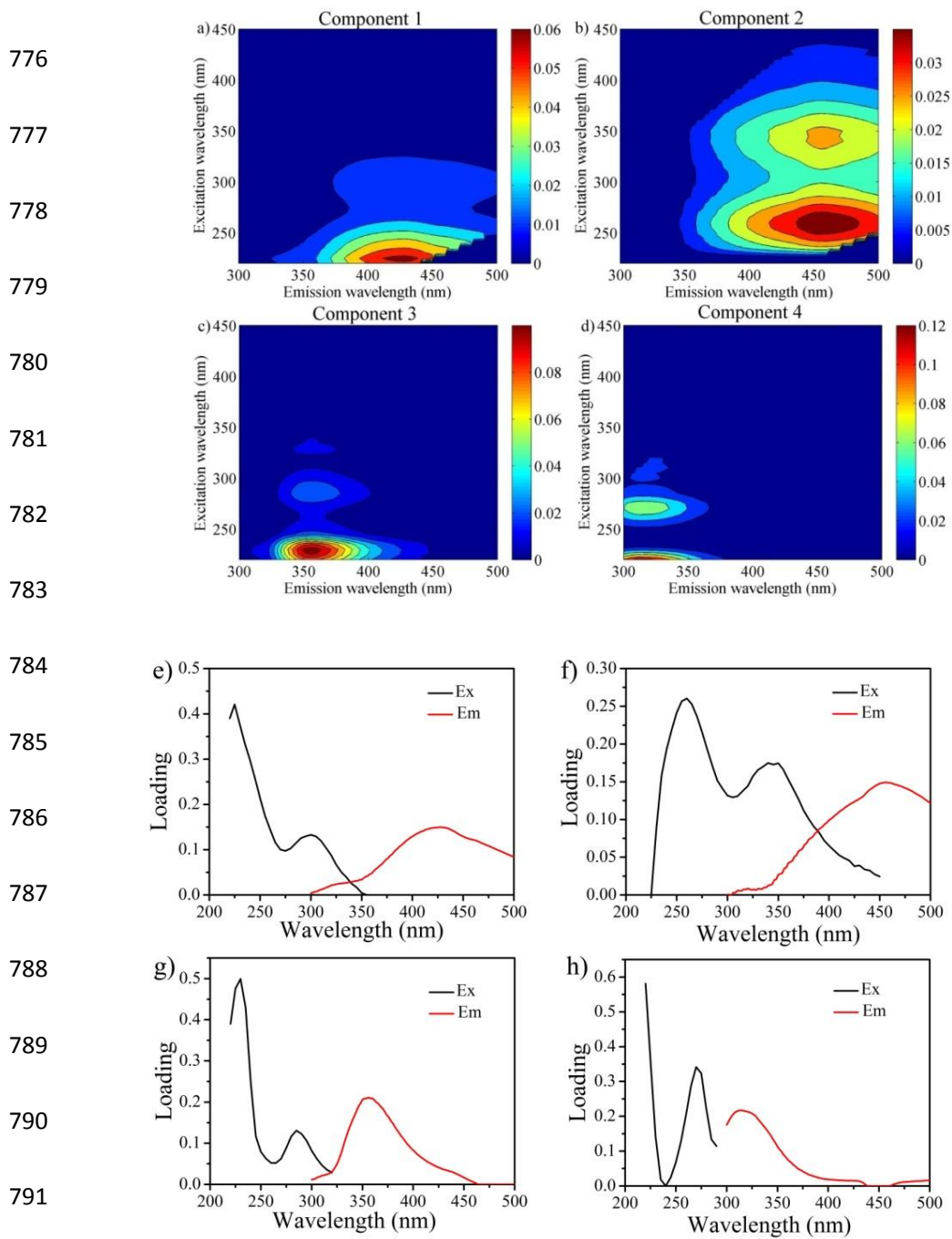


772 Figure 3. Results from split-half analysis (1-2 top a); 3-4 down b)) in PARAFAC

773 models. The plots represent spectral shapes of the excitation and emission loadings

774 from the two halves (1-2; 3-4 split -half analysis) modeling.

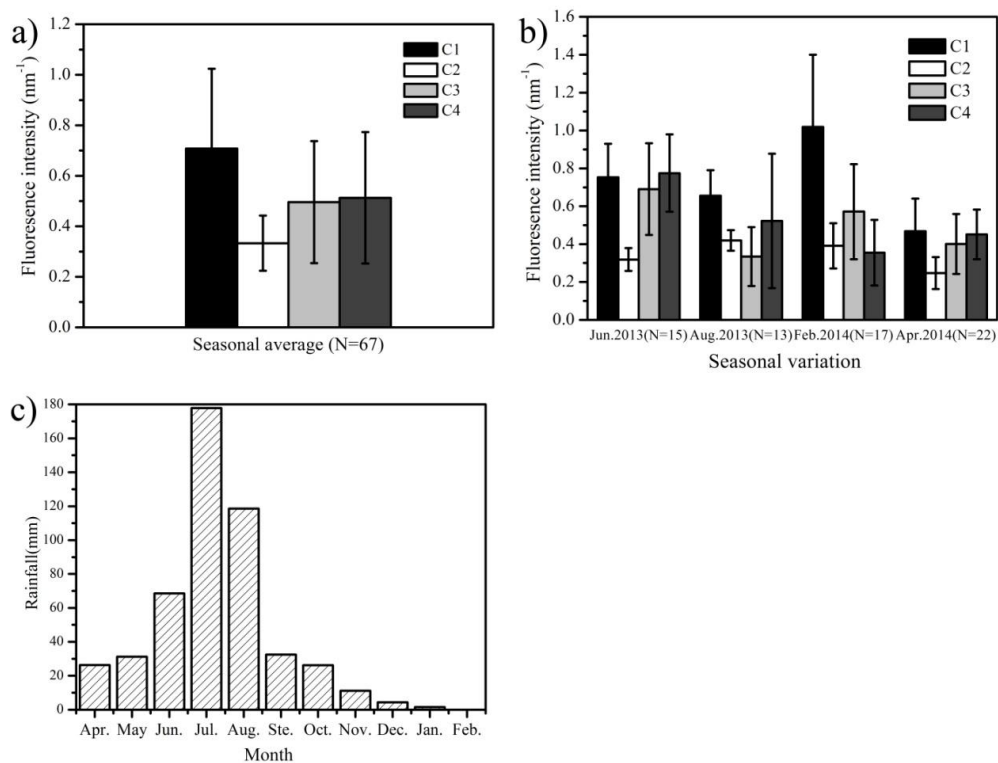
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793 Figure 4. The PARAFAC model output shows the contour plots of the four
 794 PARAFAC fluorescent components (a-d) and excitation (black) and emission (red)
 795 loadings (e-h) of each component. Fluorescence is in Raman units: nm^{-1} .

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799 Figure 5. a) Seasonal average of F_{max} for EEM-PARAFAC components (C1, C2, C3
 800 and C4) for lakes in the western part of Jilin province; b) Seasonal variation of the
 801 four EEM-PARAFAC components at different seasons; c) Monthly variation of
 802 rainfall for the lakes in western part of Jilin province from April 2013 to February
 803 2014. The error bar represents standard deviations.

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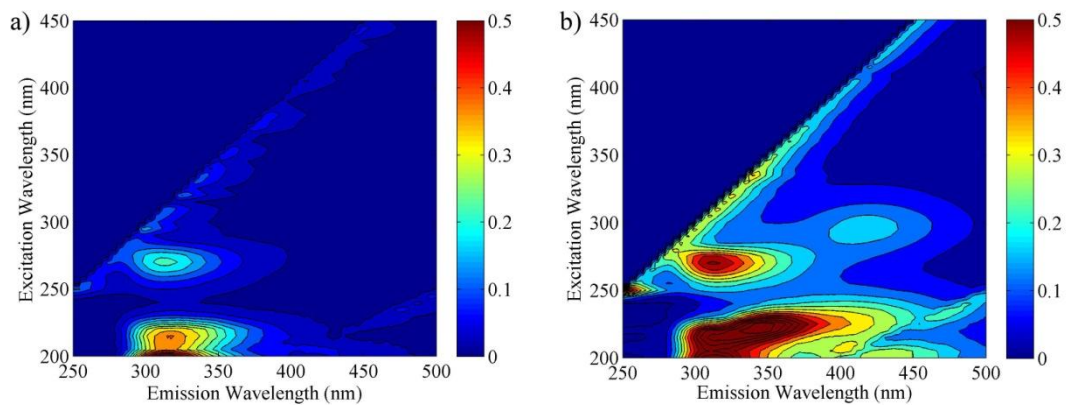
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813 Figure 6. Representative examples of EEMs for a) lake ice-melt water sample, and b)
814 rainwater CDOM in the western part of Jilin province (Raman: nm^{-1}).

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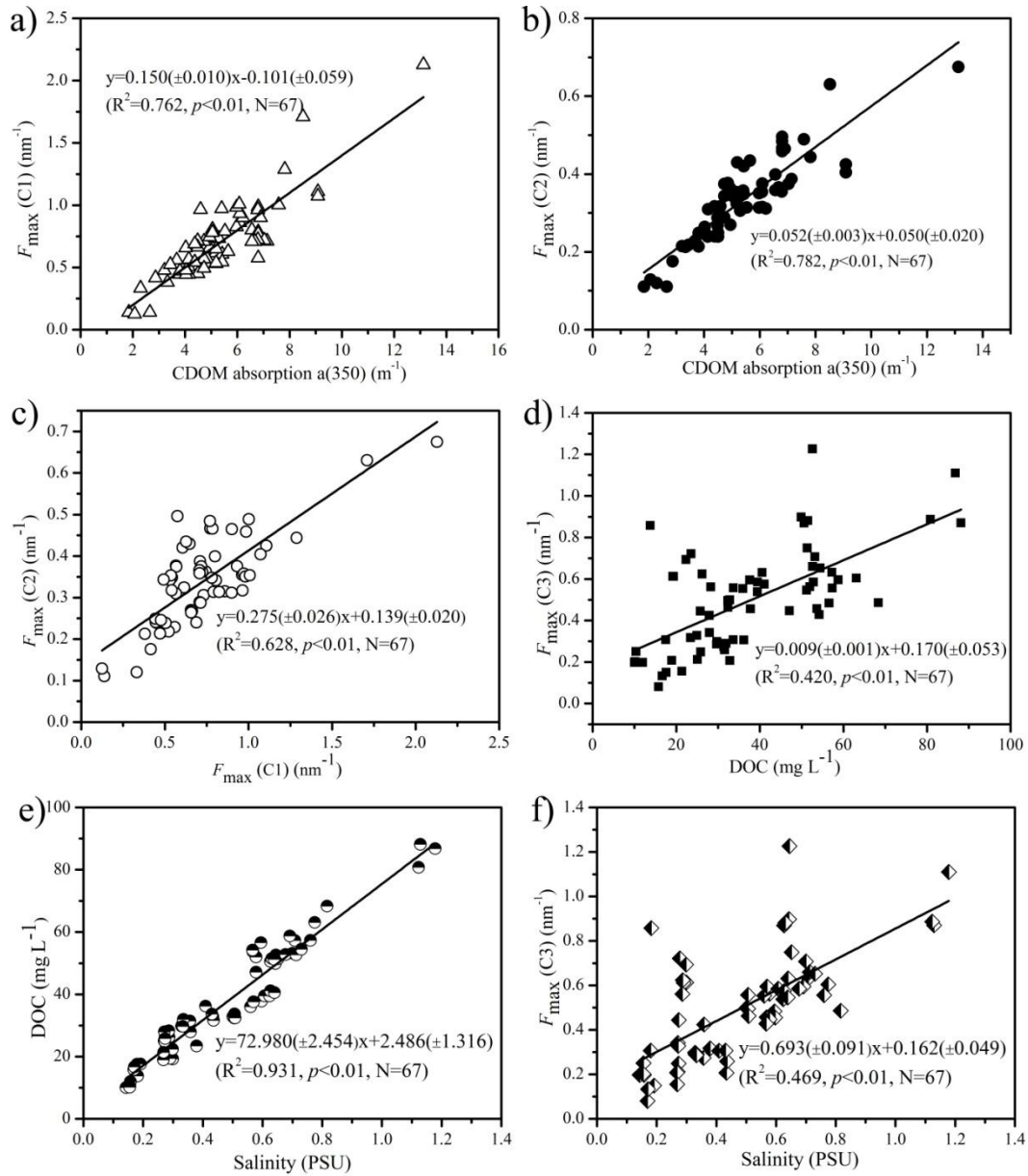
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832 Figure 7. Relationships between CDOM absorption coefficient $a(350)$ with a)

833 $F_{max}(C1)$, b) with $F_{max}(C2)$, c) peak $F_{max}(C1)$ versus $F_{max}(C2)$, d) peak $F_{max}(C3)$

834 versus DOC, e) Salinity versus DOC, f) Salinity versus $F_{max}(C3)$.

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