

1 **Origin of springtime ozone enhancements in the lower**
2 **troposphere over Beijing: In situ measurements and model**
3 **analysis**

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6 **Abstract.** Ozone (O₃) concentrations in the lower troposphere (LT) over Beijing have
7 significantly increased over the past two decades as a result of rapid industrialization in China,
8 with important implications for regional air quality and photochemistry of the background
9 troposphere. We characterize the vertical distribution of lower-tropospheric (0-6km) O₃ over
10 Beijing using observations from 16 ozonesonde soundings made during a field campaign in
11 April-May 2005 and MOZAIC (Measurement of Ozone and Water Vapor by Airbus In-Service
12 Aircraft) aircraft measurements over 13 days in the same period. We focus on the origin of LT
13 O₃ enhancements observed over Beijing, particularly in May. We use a global 3-D chemistry
14 and transport model (GEOS-Chem CTM) driven by assimilated meteorological fields to
15 examine the transport pathways for O₃ pollution, and quantify the sources contributing to O₃
16 and its enhancements in the springtime LT over Beijing. Output from the Global Modeling
17 Initiative (GMI) CTM is also used. High O₃ concentrations (up to 94.7 ppbv) were frequently
18 observed at the altitude of ~1.5-2km. The CTMs captured the timing of the occurrences but
19 significantly underestimated their magnitude. GEOS-Chem simulations and a case study
20 showed that O₃ produced in the Asian troposphere (especially from Asian anthropogenic
21 pollution) made major contributions to the observed O₃ enhancements. Contributions from
22 anthropogenic pollution in the European and North American troposphere were reduced during
23 these events, in contrast with days without O₃ enhancements, when contributions from Europe
24 and North America were substantial. The O₃ enhancements typically occurred under southerly
25 wind and warmer conditions. It is suggested that an earlier onset of the Asian summer
26 monsoon would cause more O₃ enhancement events in the lower troposphere over the North
27 China Plain in late spring and early summer.

1

2 **1 Introduction**

3 Tropospheric ozone (O_3) is an effective greenhouse gas, especially in the upper
4 troposphere (UT) (Lacis et al., 1990). It is also the primary source of hydroxyl radicals (OH)
5 that determine the oxidizing capacity of the atmosphere (Thompson, 1992). As an air
6 pollutant near the surface, it has a detrimental effect on both vegetation and human health.
7 Tropospheric O_3 has two sources - photochemical oxidation of hydrocarbons and carbon
8 monoxide (CO) by OH radicals in the presence of oxides of nitrogen ($NO_x = NO + NO_2$), and
9 downward transport from the stratosphere. Its precursors (NO_x , hydrocarbons, CO) are
10 generated by fossil fuel combustion, industrial processes, biomass burning, vegetation,
11 microbial activity in soils, and lightning.

12 Ozone concentrations have significantly increased in the lower troposphere (LT) across
13 China (Chan et al., 2003; Ding et al., 2008; Wang et al., 2009) over the past decades as a
14 result of increasing anthropogenic precursor emissions (Richter et al., 2005). Elevated O_3
15 levels not only lead to degradation of local and regional air quality (Wang et al., 2006; Wang
16 et al. 2008; Lin et al., 2008), but also have significant implications for chemical environment
17 and air quality in downwind regions (e.g., Hudman et al., 2004; Lin et al., 2012, 2014). Via
18 deep convection or strong warm conveyor belts, Asian pollutants can be lifted up into the
19 upper troposphere and transported to the North Pacific and North America (Jaffe et al., 1999;
20 Liu et al., 2002, 2003; Liang et al., 2004; Cooper et al., 2010). This transpacific transport is
21 most efficient in spring when cold fronts frequently occur and strong westerlies prevail in the
22 upper troposphere over East Asia (Liu et al., 2003; Liang et al., 2004). Note, however, that
23 stratospheric intrusions also maximize at mid-latitudes in spring. Ozonesonde measurements
24 in western North America between $40^\circ N$ and $55^\circ N$ in April-May 2006 showed that
25 stratospheric influences can be comparable to impacts of Asian transport (Doughty et al.,
26 2011; Moody et al., 2012). Studies of the sources and variability of LT O_3 over China have
27 also emphasized the roles of biomass burning emissions (Liu et al., 1999; Fu et al., 2007; Lin
28 et al., 2009), biogenic emissions (Fu et al., 2007), and the impact of the Asian monsoon

1 system (Liu et al., 2002; Lin et al., 2009).

2 Located in northern China and with a population of over 19 million, Beijing is one of the
3 world's largest cities and facing a severe problem of O₃ pollution. Ozone measurements over
4 Beijing, derived from MOZAIC (Measurement of Ozone and Water Vapor by Airbus
5 In-Service Aircraft) aircraft data from 1995 to 2005, showed that O₃ in the LT has increased
6 by 2% annually and ~4% during May-July in contrast to flat or negative trends of other
7 mega-cities at a similar latitude (Tokyo, New York, and Paris), and also exhibited higher
8 daytime O₃ concentrations than these cities (Ding et al., 2008). Wang et al. (2012) reported a
9 summertime increase rate of 3.4%yr⁻¹ in the lower-tropospheric (0-3km) partial O₃ column
10 over Beijing based on ozonesonde measurements from 2002 to 2012. In addition to the
11 long-term positive trend, O₃ over Beijing often experiences high-concentration episodes at
12 ground level. Wang et al. (2006) reported that in 13 out of 39 days of surface observations
13 at an elevated site (280 meters asl) in northern Beijing during June-July 2005, ambient O₃
14 levels exceeded 120 ppbv and had a 1-hr maximum level of 286 ppbv. The IASI (Infrared
15 Atmospheric Sounding Interferometer) observed O₃ concentrations in the LT (3km) over
16 Beijing up to 10 ppbv higher than the values for the 40-50°N latitude band climatology, which
17 is more representative of background O₃ (Dufour et al., 2010). Dufour et al. reported that the
18 lower-tropospheric partial (0-6km) column O₃ in Beijing shows a sharp increase in late spring
19 with a maximum in May.

20 High ground-level O₃ in Beijing is caused not only by local anthropogenic emissions but
21 also by regional and long-range transport. As reported by Streets et al. (2007), 35-60% of O₃
22 during high-O₃ episodes at Beijing Olympic Stadium originated from sources outside Beijing.
23 Back-trajectory analysis by Ding et al. (2008) indicated that elevated O₃ levels in the
24 boundary layer over Beijing during May-July were mostly related to emissions from the
25 North China Plain. However, past investigations of the sources and transport of
26 lower-tropospheric O₃ in Beijing have mostly involved categorizing wind directions or
27 calculating back trajectories, techniques that do not allow its various sources to be quantified.
28 In addition, previous studies were mainly based on surface measurements, which are not

1 adequate for a full understanding of processes that control the vertical distribution and
2 variability of lower-tropospheric O₃ in Beijing.

3 To characterize the distribution and variability and quantify the sources of springtime
4 lower-tropospheric O₃ in Beijing, we analyze O₃ vertical profiles measured during an
5 ozonesonde sounding campaign, as well as aircraft measurements made by MOZAIC
6 program. We show that O₃ enhancements in the LT over Beijing were frequently observed by
7 ozonesondes during April-May 2005. Such O₃ enhancements during some of those days were
8 also captured by the MOZAIC aircraft. We apply the GEOS-Chem chemistry and transport
9 model (CTM), driven by assimilated winds, to quantify the sources contributing to these O₃
10 enhancements over Beijing and examine the corresponding pollution transport pathways in
11 East China. By tagging O₃ originating in different source regions and conducting sensitivity
12 simulations, we show that these O₃ enhancements were mainly due to Asian anthropogenic
13 pollution, while the impact of the European and North American emissions were significantly
14 smaller. We find that the high O₃ episodes occurred mostly under southerly wind conditions.
15 We also evaluate the Global Modeling Initiative (GMI) CTM simulations with observations,
16 and show that current global models significantly underestimated the magnitude of these O₃
17 enhancements.

18 This paper is structured as follows. The ozonesonde and aircraft measurements, as well as
19 GEOS-Chem and GMI CTM are briefly described in Section 2. We describe the
20 characteristics of the distribution and variability of springtime lower-tropospheric O₃ in
21 Beijing from ozonesonde observations and MOZAIC aircraft measurements in Section 3. The
22 model performance in reproducing the observed characteristics is examined in Section 4. The
23 model analysis and case study of various sources of lower-tropospheric O₃ enhancements are
24 presented in Section 5, followed by summary and conclusions in Section 6.

25

26 **2 Data and methods**

27 **2.1 Ozonesonde and aircraft measurements**

1 We use two sets of in-situ O₃ vertical profiles over Beijing obtained during April-May
2 2005: One from the Transport of Air Pollutants and Tropospheric Ozone over China
3 (TAPTO-China) (Chan et al., 2007; Zhang et al., 2012) ozonesonde campaign, and the other
4 from the MOZAIC aircraft program (Marenco et al., 1998). The concurrent availability of
5 these two data sets provides an excellent opportunity for cross-validation.

6 TAPTO-China was an intensive ozonesonde sounding campaign over China, conducted at
7 five locations across southern China in the spring of 2004 (Zhang et al., 2012) and four
8 locations across northern China in the spring of 2005. The main objective of TAPTO-China
9 was to investigate the mechanisms controlling the spatio-temporal distribution, variability,
10 and sources of springtime tropospheric O₃ over China and its surrounding regions. Figure 1
11 shows the locations of the four ozonesonde stations in northern China during the second
12 phase of TAPTO-China (April-May 2005): Xining (36.43°N, 101.45°E), Beijing (39.80°N,
13 116.18°E), Longfengshan (44.44°N, 127.36°E), and Aletai (47.73°N, 88.08°E). In this study,
14 we use the ozonesonde sounding data obtained at the Beijing station (34 meters asl), which is
15 located in the suburban Daxin district of southeastern Beijing. Sixteen ENSCI-ECC
16 ozonesonde (with Vaisala RS 80 radiosonde) soundings in total were performed at this station
17 during April 11 – May 15, 2005, with one sounding every 2-3 days on average. These sondes
18 were launched at 13:30 local time, and the air was sampled every 15s. Pollution at the station
19 is expected to be heavier than the average in the city because it is located downwind of
20 Beijing. All raw ozonesonde data were averaged into 100m bins.

21 The MOZAIC program was initiated in 1993 to collect experimental data of O₃ and water
22 vapor obtained by five long-range commercial airlines flying all over the world. Its goal was
23 to provide a large database for studies of atmospheric chemical and physical processes in
24 order to improve chemistry and transport models (Marenco et al., 1998). Dual-beam UV
25 absorption analyzers (Model 49-103 from Thermo Environment Instruments) were installed
26 onboard the aircraft to measure O₃, and were calibrated in the laboratory every 6-12 months
27 with an overall precision of +/- (2ppb + 2%) (Thouret et al., 1998; Thouret et al., 2006).
28 Tropospheric O₃ measurements were routinely conducted during the ascents and descents of

1 flights nearby 50 cities frequented by MOZAIC operation (Marenco et al., 1998), including
2 Beijing. More information about the MOZAIC program can be found on its website
3 (<http://www.iagos.fr/web/rubrique36.htm>). The Beijing Capital International Airport is
4 located about 25 km southeast of the urban Beijing area, and is surrounded by the mountains
5 to the west, north, and northeast (Ding et al., 2008). MOZAIC obtained vertical O₃ profiles in
6 Beijing from March 1995 through March 2006. For April-May 2005, 13 profiles are available.
7 The raw data were sampled every 4s (~30m) vertically and averaged into 150m bins.

8

9 **2.2 CTM simulations**

10 GEOS-Chem is a global 3-D model of tropospheric chemistry driven by assimilated
11 meteorological observations from the Goddard Earth Observing System (GEOS) of the
12 NASA Global Modeling and Assimilation Office (GMAO). The use of assimilated
13 meteorological data to drive the model makes it an ideal tool for explaining the factors
14 governing observed constituent distributions for a specific year. The description and
15 evaluation of GEOS-Chem as applied to tropospheric O₃-NO_x-hydrocarbon chemistry was
16 first presented by Bey et al. (2001b), and a description of the coupled oxidant-aerosol
17 simulation was given by Park et al. (2004). The reader is referred to the Appendix for a brief
18 description of other aspects of the model, including the emissions used. Here, we use
19 GEOS-Chem version v9-01-02 (<http://www.geos-chem.org>) driven by two generations of
20 GEOS assimilated meteorological fields, GEOS-4 (Bloom et al., 2005) and GEOS-5
21 (Rienecker et al., 2008) with a degraded horizontal resolution (2°×2.5°). The two sets of
22 meteorological input data allow for examination of the sensitivity of model results to
23 uncertainties in our characterization of the April/May 2005 meteorology. While GEOS-Chem
24 is the major modeling analysis tool we use, we also use outputs from simulations made with
25 GMI CTM (<http://gmi.gsfc.nasa.gov>) (e.g., Strahan et al., 2007; Duncan et al., 2007;
26 Considine et al., 2008; Allen et al., 2010) to take into account the uncertainty in model
27 simulations. GMI CTM combines both tropospheric and stratospheric chemical mechanisms.
28 GMI simulations are driven by the GEOS-4 and MERRA (i.e., GEOS-5.2.0) meteorological

1 data sets ($2^\circ \times 2.5^\circ$).

2 We use GEOS-Chem to investigate the contributions to the LT O_3 in Beijing from six
3 source regions: troposphere of Asia, Africa, Europe, North America, the stratosphere, and the
4 rest of the world. Figure 2 shows the tropospheric O_3 source regions defined in the model for
5 tagged O_3 simulations. Ozone produced in each of these source regions is transported
6 separately in the model, and removed by chemical loss and dry deposition at the same
7 frequencies as those for total O_3 . The sum of all tagged O_3 tracers is equivalent to the O_3
8 concentration from the standard full-chemistry simulation (Wang et al., 1998). This approach
9 was previously applied to a number of investigations (e.g., Liu et al., 2002; Liu et al., 2009;
10 Zhang et al., 2012). However, it is important to note that tagged O_3 by source regions does
11 not represent the sensitivity of tropospheric O_3 to emissions in those regions. This is because
12 O_3 precursors themselves can be transported out of their source regions and can therefore
13 contribute to O_3 production elsewhere.

14 We therefore also conduct sensitivity simulations to examine the effect of various
15 emission types on tropospheric O_3 over Beijing. In these simulations, emissions from Asian
16 fossil fuel, biomass burning, European fossil fuel, North American fossil fuel, and lightning
17 NO are individually shut off to quantify their contributions to O_3 . Simulations were
18 conducted from August 2004 to May 2005 with the first eight months being used for
19 initialization.

20 Spring in East Asia is a meteorological transition season when the winter monsoon
21 retreats and summer monsoon gradually marches northward. Figure 3 shows the average
22 wind vectors in the LT (~ 870 hPa) during April-May 2005. Superimposed colors indicate the
23 model average O_3 mixing ratios. The circulation patterns and O_3 distributions in the two
24 simulations with GEOS-4 and GEOS-5 show similar features. In East China, the
25 northwesterly and southwesterly winds converge around 30° - 40° N (North China Plain),
26 flanked by the western Pacific subtropical high to the east. In this convergence zone, surface
27 pollutants can be readily lifted out of the boundary layer and transported to the western
28 Pacific by westerly winds in the free troposphere (Bey et al., 2001a; Liu et al., 2003). Beijing

1 is located in the northern part of the North China Plain, where northwesterly winds prevail
2 near the surface in spring. However, as the Siberian High weakens and the East Asia summer
3 monsoon develops towards late spring, incursions of warmer tropical air from the south
4 become more frequent and vigorous, especially in May (Ding and Chan, 2005), putting
5 Beijing under the influence of southerly air masses.

6

7 **3 Lower-tropospheric O₃ in Beijing as observed by ozonesonde and aircraft**

8 In this section, we examine the distribution and variability of springtime
9 lower-tropospheric O₃ in Beijing using ozonesonde and MOZAIC aircraft measurements for
10 April-May 2005. Measurements were made by both platforms on four days: May 1, 3, 11,
11 and 15. The vertical distributions of O₃ in the LT in the two data sets are consistent on each of
12 these four days. This is illustrated in Figure 4 (panel a) with the four-day average profile. The
13 consistency indicates that both ozonesonde and MOZAIC measurements well captured
14 tropospheric O₃ concentrations over Beijing.

15 Figure 4 (panels b and c) shows the mean vertical distribution of O₃ below 6km as
16 calculated from the April/May ozonesonde and aircraft data in comparison with model
17 simulations. Model results will be discussed later in Section 4. The average O₃ distribution
18 observed in the LT over Beijing ranged from 44 to 67 ppbv with a minimum near the surface
19 and an enhancement at ~1.5km. Ozone concentrations remained fairly constant (~65ppbv)
20 above ~1.5km. This LT enhancement in the vertical O₃ distribution over Beijing is consistent
21 with the MOZAIC climatology (1995-2005) where O₃ concentrations peak below 2km in
22 May-July, but the peak in the latter was located at a somewhat lower altitude (~1.0km) (Ding
23 et al., 2008).

24 The low average O₃ concentration observed near the surface (below 1km) over Beijing
25 (Fig. 4bc) reflects the frequent low O₃ concentrations below 1km seen in the individual sonde
26 or aircraft profiles (Fig. 5). The minimum LT O₃ concentration seen in the ozonesonde
27 observations was a value of 0.2 ppbv at 0.3km on May 13; on this day, O₃ mixing ratios were

1 lower than 2ppbv up to 0.6km. Low-O₃ episodes were also observed near the surface on Apr
2 17, April 23, April 29, and May 9. These low O₃ mixing ratios are likely due to the chemical
3 titration by high NO_x concentrations, a common characteristic in urban areas (e.g., Chan, et
4 al., 1998). Backward trajectory calculations (not shown) suggest that cleaner air masses
5 originating from the east may also contribute to the low O₃ concentrations seen here.

6 The O₃ concentrations (~65 ppbv) at ~1.5 km in the average profile reflects O₃
7 enhancements (> 70 ppbv) frequently observed in individual profiles during April-May, 2005.
8 Enhanced O₃ mixing ratios were observed below 4km in 15 out of total 25 days with
9 observations: April 7, April 13, April 21, April 23, April 27, April 29, May 1, May 3, May 11,
10 May 12, May 13, May 15, May 18, May 24, and May 29 (Fig. 5). Of these 15 days, 11 days
11 (i.e., all except April 7, April 21, May 1, and May 13) saw enhanced O₃ mixing ratios at
12 ~1.5km over Beijing. Relatively large O₃ enhancements at this altitude were mostly observed
13 in late April and May, such as April 29, May 3, May 11, May 12, May 15, May 24, and May 29.
14 The maximum O₃ concentration observed in the LT was 95 ppbv at ~1.4km on May 3 during
15 the ozonesonde sounding campaign, and 131 ppbv at ~2.3km on May 12 as observed by
16 MOZAIC aircraft. Ozone enhancements on May 3, May 11, and May 15 were observed
17 simultaneously by ozonesonde and MOZAIC aircraft.

18 These aforementioned springtime O₃ enhancements are likely to be due to regional
19 photochemical pollution. Recent studies indicate that transport of pollutants from surrounding
20 regions have an important influence on air quality in Beijing during spring (Zhang et al. 2006;
21 An et al., 2007). A regional model simulation of an air pollution episode in Beijing during
22 April 3-7, 2005 by An et al. (2007) showed that non-Beijing sources contributed about 39%
23 to PM_{2.5} and 60% to PM₁₀ concentrations in Beijing. Lin et al. (2008) showed that the North
24 China Plain contributed 19.2 ppbv to the surface O₃ at a rural site north of Beijing
25 (Shangdianzi, one of the regional Global Atmosphere Watch stations in China) in spring.
26 Nevertheless, intercontinental transport may also contribute to these O₃ enhancements. We
27 will address this issue in Section 5.

28 These springtime O₃ enhancements over Beijing are also likely related to favorable

1 meteorological conditions. LT temperature inversions were observed in sonde profiles over
2 Beijing on April 11, April 23, April 27, April 29, May 1, May 3, May 9, May 13, and May 15
3 (not shown). Particularly, strong inversions were found at ~1.5km on April 29 and May 3,
4 when relatively large O₃ enhancements were seen at the same altitude. When such inversions
5 are present, vertical mixing is suppressed, trapping O₃ and its precursors below the inversion.
6 This is similar to the elevated levels of O₃ previously detected above the base of temperature
7 inversions in and nearby the similarly polluted Los Angeles Basin (Lea, 1968; Edinger, 1973;
8 Blumenthal et al., 1978).

9 The LT over Beijing is near the boundary between regions of southwesterly (southerly)
10 and northwesterly winds during spring (Fig. 3). The transition of winter-to-summer monsoon
11 during this period has an important impact on the transport of O₃ in the LT. Trajectory
12 classifications over Beijing during May-July, as shown by Ding et al. (2008), revealed that
13 the O₃ concentrations in the air masses from the south are 10-15ppbv higher than those from
14 the north below 2km, and the difference was largest at 1km. By comparing surface O₃
15 concentrations observed at Shangdianzi under southwest (SW) and northeast (NE) wind
16 conditions, Lin et al. (2008) showed that the average O₃ concentrations corresponding to the
17 SW wind directions were higher than those of NE wind directions in spring, and the
18 difference was over 20ppbv in May. We will illustrate such influences of meteorological
19 conditions on the LT O₃ with a case study to be presented in Section 5.

20

21 **4 Model simulations of lower-tropospheric O₃ over Beijing**

22 In this section, we present model simulations of LT O₃ over Beijing in comparison with in
23 situ (ozonesonde and aircraft) measurements. Because the elevation of Beijing in the model is
24 290 meters asl, which is higher than the actual elevation (160 meters asl), there is a small gap
25 below 290 meters where O₃ is not simulated. Figure 4bc shows the model-observation
26 comparison of the average vertical distribution of O₃ in the LT during April-May 2005.
27 Results from both GEOS-Chem (driven by the GEOS-4 and GEOS-5 meteorological fields)

1 and GMI (driven by the GEOS-4 and MERRA meteorological fields) models are shown.
2 Figure 5 shows the time-height cross-sections of the LT O₃ mixing ratios (ppbv), as observed
3 by ozonesonde and aircraft and simulated by GEOS-Chem during this period.

4 The simulated mean vertical distributions of O₃ are similar to the observations (Fig. 4bc).
5 The GEOS-Chem/GEOS-4 model agrees with the observations near 3-4.5km, but
6 underestimates the observations by 2 ppbv between ~1-2.5km and overestimates O₃ by
7 1.7-7.7ppbv below 1km and by 1.3-6.7ppbv above 4.5km, with a large bias of ~8ppbv near
8 the surface (Fig. 4b). The GEOS-Chem/GEOS-5 simulated O₃ is in good agreement with
9 observation above 2.5km but too low by up to 6ppbv at ~ 1-1.5km compared to observations
10 (Fig. 4c). Both simulations showed negative biases around 1.5km, with the
11 GEOS-Chem/GEOS-4 values in slightly better agreement. Both simulations fail to reproduce
12 the magnitude of the daily LT O₃ enhancements over Beijing, as discussed further below.

13 The GMI model simulations driven by GEOS-4 and MERRA meteorological fields
14 shown in Figure 4(bc) better reproduced than GEOS-Chem the observed values at ~0.5km.
15 Above ~2.5km, the GMI and GEOS-Chem simulations driven by the GEOS-4 meteorology
16 are consistent. Near 1.5km, however, GMI/GEOS-4 has a larger negative bias than
17 GEOS-Chem (Fig. 4b). The GMI/MERRA model consistently underestimates O₃
18 observations below 4.5km, with the largest bias near 1.5km (~10ppbv) and larger biases than
19 those of GEOS-Chem/GEOS-5 (Fig. 4c).

20 Both GEOS-Chem/GEOS-4 and GEOS-Chem/GEOS-5 simulations capture the
21 large-scale temporal (day-to-day) variability in the vertical distribution of O₃ seen in the
22 ozonesonde and aircraft measurements (Fig. 5). They well simulate the O₃ enhancement
23 event at ~1.5km on May 3, which is the largest observed by both ozonesonde and MOZAIC
24 aircraft at this altitude during this period. The timing of O₃ enhancements, especially those
25 observed in late April and May, is reasonably captured. However, the model is missing the
26 April 23rd enhancement and the April 27th event is shifted to April 29th in the model. Overall,
27 the model underestimates the magnitude of those O₃ enhancements. Also, both simulations
28 fail to reproduce the observed low-O₃ episodes near the surface, where the O₃ concentrations

1 are largely overestimated. Model simulations at higher horizontal resolutions that better
2 resolve the chemical titration of O₃ by excessive NO_x may help address this discrepancy.

3 The distribution and variability of model relative humidity (RH) are generally similar to
4 those observed by ozonesondes (not shown), suggesting that convective transport and
5 large-scale ascending and descending motions in the study region are reasonably represented
6 in the GEOS-4 and GEOS-5 meteorology. GMI/GEOS-4 and GMI/MERRA simulations also
7 captured the observed large-scale variability in O₃ and timing of O₃ enhancements (not
8 shown).

9

10 **5 Sources of springtime O₃ enhancements in the lower troposphere over** 11 **Beijing**

12 In this section we quantify the relative contributions to the LT O₃ over Beijing of different
13 source types and source regions in the GEOS-Chem model. We focus on model simulations
14 driven by GEOS-4 but also discuss GEOS-Chem/GEOS-5 results where necessary. The
15 relative contributions allow us to better understand the factors and processes contributing to
16 the observed O₃ enhancements and distributions in the LT, and therefore may provide insights
17 into the model limitations in the representation of chemical, physical, and dynamical
18 processes. Figure 6 shows the major sources of the LT O₃ over Beijing during April-May
19 2005 as a function of date and altitude, as simulated by GEOS-Chem/GEOS-4. The plots
20 show model results for tagged O₃ tracers transported from the stratosphere and those
21 produced in the Asian, African, European, and North American troposphere. Figure 7 presents
22 the changes (decreases) in the LT O₃ concentrations over Beijing when Asian, European,
23 North American fossil fuel emissions, global biomass burning emissions, or lightning NO_x
24 emissions were turned off, respectively, in GEOS-Chem/GEOS-4 and GEOS-Chem/GEOS-5,
25 relative to their standard simulations. Shown in Figure 8 are the time series of temperature,
26 total tagged O₃, and tagged O₃ tracers concentrations in the LT (~878hPa or 840-915hPa in
27 the model) over Beijing, as simulated by GEOS-Chem/GEOS-4. These figures provide a

1 context for most of the discussions below.

2

3 **5.1 Contributions to O₃ in the LT over Beijing of different source regions and** 4 **emission types**

5 Ozone produced within Asia made a major contribution to the LT O₃ over Beijing during
6 April-May 2005. The Asian troposphere contributed ~10-46.6ppbv (~17-66%) in early-mid
7 April and ~9-81ppbv (~15-88%) in late April and May (Fig. 6, top panels). The contribution
8 was significantly higher in May than in April. This is consistent with the earlier result that
9 relatively large enhancements of O₃, which were observed by ozonesonde and aircraft and
10 captured in model simulations, mostly occurred in late April and May. On the dates of these
11 O₃ enhancement events (e.g., April 29, May 3, May 13, and May 15), LT O₃ was
12 predominantly produced within Asia (~60-79.4ppbv, or ~81%-88%). A modeling study by
13 Sudo and Akimoto (2007) also suggested that LT O₃ in Japan and coastal China regions
14 during TRACE-P (spring 2001) was mainly produced within Asia and mostly in the planetary
15 boundary layer.

16 The aforementioned relatively large enhancements of O₃ were largely due to Asian fossil
17 fuel emissions. When Asian fossil fuel emissions were turned off, the LT O₃ concentrations
18 over Beijing decreased by ~3.1-21.3ppbv in the GEOS-Chem/GEOS-4 simulation and by
19 ~3.0-25.3ppbv in the GEOS-Chem/GEOS-5 simulation in early-mid April, and decreased by
20 ~2.2-42.4ppbv and ~3.0-37.8ppbv, respectively, in late April and May (Fig. 7, top panels).
21 The impact of Asian fossil fuel emissions was stronger in late April and May, especially
22 during those days with large enhancements of O₃. Without Asian fossil fuel emissions, the LT
23 O₃ reduced by ~30-40 ppbv on April 29, May 3, May 13, and May 15. To understand the
24 influence of fossil fuel emissions (or O₃ produced) in the sub-regions within Asia on the LT
25 O₃ over Beijing, additional sensitivity or tagged O₃ simulations with refined emission (or O₃
26 source) regions would be required. Nevertheless, the case study to be presented in the
27 following section will provide insights into the effect of regional pollution transport in this

1 regard.

2 Stratospheric contributions to the LT O₃ over Beijing during April-May 2005 were
3 significant (Fig. 6). They were ~6.0-13.0ppbv (~8.5-20.6%) in April, and ~1.6-19.8ppbv
4 (~2.1~23.8%) in May, and increased with altitude. On average, stratospheric contributions
5 were larger in April (~7.6ppbv) than in May (~5.7ppbv). At the time of occurrences of the
6 aforementioned O₃ enhancement events, stratospheric contributions were significantly
7 reduced below ~3km (~2ppbv, ~2%). The relative magnitude of the contributions of O₃
8 produced within the African troposphere was lower than that of the stratospheric
9 contributions (Fig. 6). The African troposphere contributed ~2.4-16.5ppbv (~3-28%) O₃ in
10 April and ~0.9-10.6ppbv (~1-13%) O₃ in May.

11 The impact of biomass burning emissions on the LT O₃ over Beijing during this period
12 was relatively small. When biomass burning emissions are turned off in GEOS-Chem, O₃
13 concentrations decrease by ~1±0.5ppbv in April and by ~2±1ppbv in May, with a maximum
14 decrease of ~6.7ppbv on April 7 (Fig. 7). When lightning NO_x emissions are turned off, the
15 LT O₃ concentrations fall by ~1.3-9.1 ppbv in the GEOS-Chem/GEOS-4 simulation and by
16 ~1.5-14.5ppbv in the GEOS-Chem/GEOS-5 simulation in April; in May, they decrease by
17 ~0.3-14.3ppbv and by ~0.5-21.3ppbv in May, respectively (Fig. 7). The larger impact of
18 lightning NO_x emissions in May reflects the seasonal increase in continental deep convection,
19 which results in more frequent lightning. Relatively small effects (~3±1ppbv) were seen at
20 ~1.5km, with an effect of ~0.9±0.1ppbv O₃ at the time of large enhancements of O₃.

21 The European and North American source regions and their anthropogenic emissions have
22 important impacts on LT O₃ over Beijing. Europe contributed ~2-16.7ppbv (~3-29.4%) of O₃ in
23 April and ~2.5-20.8ppbv (~3-29.9%) in May (Fig. 6). The contributions to LT O₃ below 4km
24 were larger in April. For these large enhancements of O₃, the contributions from Europe were
25 significantly reduced. Similarly, North America contributed ~2.9-16.6 ppbv (~3.9-26.5%) in
26 April and ~2.5-20.3 ppbv (3.2-26.1%) in May, with much smaller contributions during O₃
27 enhancement events (Fig. 6). When European fossil fuel emissions were turned off, the LT O₃
28 concentrations over Beijing decreased by ~1.3-10 ppbv in April and ~1-8 ppbv in May (Fig. 7).

1 The decreases were ~1-6 ppbv in April and ~0.6-6 ppbv in May when North American fossil
2 fuel emissions were turned off. Again, the impacts of European and North American fossil fuel
3 emissions were minimal (<~1ppbv) during the events of large enhancements of O₃.

4 Figure 8 shows the time series of total O₃, tagged O₃, and temperature in the LT (~878 hPa,
5 ~1.5km) over Beijing in GEOS-Chem/GEOS4. Occurrences of these O₃ enhancements were
6 accompanied by significantly increased contributions of O₃ produced in the Asian
7 troposphere and often associated with warm air masses. On the days with relatively large
8 observed O₃ enhancements (April 29, May 3, May13, and May 15), the contributions of O₃
9 from the Asian troposphere were 62.1ppbv (77.4%), 76.0ppbv (87.0%), 79.4ppbv (86.4%),
10 and 64.0ppbv (87.2%), respectively. By contrast, at the time of these events, the contributions
11 from Europe and North America were largely reduced. Also, compared to the more prominent
12 contributions from the Europe (~11.6ppbv) and North America (~11.6ppbv) in early April,
13 they were relatively smaller in late April and May, at an average of ~8.2ppbv and ~8.0ppbv,
14 respectively.

15 As Beijing is located at mid-latitudes in East Asia (40°N), air masses originating from
16 Europe and North America arrived as a result of large-scale subsidence associated with the
17 Siberian anticyclone. Previous studies have shown that European anthropogenic emissions
18 contribute significantly to the Asian outflow in the LT at latitudes north of 35°N (Bey et al.,
19 2001a; Liu et al., 2003). As the Siberian high gradually weakened in spring and its center
20 shifted westward, air masses from these regions had a reduced influence. Meanwhile, the
21 western Pacific subtropical high developed and its center marched northwestward. As a result,
22 the northward transport of warmer air masses from South China and along the Asian Pacific
23 rim became more vigorous. An examination of the GEOS-4 and GEOS-5 meteorological
24 fields shows that Beijing was mostly under the influence of southwesterly flow on the days
25 with observed ozone enhancements. This is consistent with the stronger influence of Asian
26 sources and more frequent occurrences of large O₃ enhancements in late April and May.

27

1 **5.2 Ozone enhancements in the lower troposphere: A case study**

2 In order to better understand the transport pathways for O₃ pollution and the vertical extent
3 of O₃ enhancements over Beijing, we examined the largest O₃ enhancement observed by both
4 TAPTO-China ozonesonde and MOZAIC aircraft during April-May 2005. Figure 9 shows the
5 vertical profiles of O₃ over Beijing from TAPTO ozonesonde and MOZAIC aircraft
6 measurements in comparison with those simulated by GEOS-Chem/GEOS-4 and
7 GMI/GEOS-4 on May 3, 2005. Also shown are observed RH, temperature, and O₃ sources as
8 determined by GEOS-Chem tagged O₃ and sensitivity simulations.

9 Ozonesonde and aircraft measurements of O₃ (0-6km) agree within ~2% on average and
10 show similar structures in their vertical distributions. The ozone mixing ratio was lowest near
11 the surface and increased with altitude below ~1.5km where it reached a maximum (94.7ppbv
12 and 90ppbv in ozonesonde and aircraft measurements, respectively), and then decreased with
13 altitude from ~1.5km to ~4km. The rapid increase of O₃ concentrations from ~1km up to
14 ~1.5km was accompanied by a temperature inversion observed by ozonesonde. This
15 temperature inversion inhibited the vertical mixing and transport of the air, trapping the air
16 mass containing high levels of O₃ (and its precursors) at this level. The presence of the
17 inversion also suggests that the high O₃ at ~1.5km was not transported from the local boundary
18 layer via vertical mixing. Rather, backward trajectory calculations using the NOAA HYSPLIT
19 model (Draxler and Rolph, 2014; Rolph, 2014) show that the air mass was transported
20 downward from a higher altitude (~3km) and stayed at about 1.4km for two days before
21 arriving at the 1.4km level over Beijing (Fig. 10).

22 The relatively low O₃ below 1km was likely due to chemical titration by local fresh NO_x
23 emissions. The 5-day backward trajectory arriving at 150m over Beijing indicated that the air
24 mass stayed near the surface during the days prior to its arrival (Fig. 10), providing optimal
25 conditions for chemical titration.

26 The GEOS-Chem/GEOS-4 simulation shows an enhancement of O₃ at ~1.5km on May 3rd,
27 but significantly underestimates its magnitude by ~10-15ppbv (Fig. 9). This is partly attributed

1 to the inability of a large-scale model to reproduce the local temperature inversion (not shown).
2 The simulation reasonably reproduced the observations above 2.5km, but overestimated the
3 observations (by ~5-10ppbv) below 1km, presumably because chemical titration was not well
4 represented and there is too much vertical mixing due to lack of a temperature inversion in the
5 model. The GMI/GEOS-4 simulation was better reproducing the relatively low O₃
6 concentrations near the surface. However, it fails to capture the O₃ enhancements at ~1.5km.
7 The LT O₃ concentrations simulated by GMI/GEOS-4 are much lower than the observations,
8 with the largest discrepancy (~26.9ppbv) at ~1.5km.

9 Model simulations suggest that this LT O₃ enhancement over Beijing was largely due to
10 Asian fossil fuel emissions. Without Asian fossil fuel emissions in the GEOS-Chem/GEOS4
11 model, the simulated O₃ concentration in the LT decrease by ~30% (Fig. 9). The impact of the
12 Asian fossil fuel emissions is largest (~30ppbv, 40%) at ~1.5km where LT O₃ concentrations
13 reached a maximum. In addition, tagged O₃ simulations showed that 79.6% of O₃ at ~1.5km
14 originated from the Asian troposphere (not shown). When lightning NO_x emissions were
15 suppressed, the decreases of the LT O₃ over Beijing increased with altitude, with the smallest
16 decreases (~1.2ppbv, ~1.7%) below ~1.5km. Similarly, the contributions of stratospheric O₃
17 increased with altitude, with a small contribution (~2.9ppbv, ~4%) at ~1.5km where the largest
18 enhancement of O₃ occurred. Therefore, this LT O₃ enhancement was mainly due to the
19 regional anthropogenic pollution within Asia.

20 The GEOS4 assimilated meteorological data driving the GEOS-Chem model indicate that
21 strong southwesterly winds prevailed over Beijing in the LT on May 2-3 (Fig. 11, Fig. 12).
22 Meanwhile, a low-pressure center in the LT at (~43°-53°N, 120°-140°E) put the area north of
23 Beijing under the influence of northwesterly winds. The southwesterly and northwesterly
24 winds met just north of Beijing at around 43°N, forming a convergence zone. As part of the
25 western Pacific subtropical high developing around 15°-30°N, strong southwesterly winds
26 over southern and eastern China could have readily swept the pollutants in its pathway into
27 Beijing. Indeed, an area of high CO (>200ppbv) was located to the southwest of the North
28 China Plain on May 2-3 at 878hPa. The air mass stayed in this high CO area for a couple of

1 days before arriving at 1.4km over Beijing (Fig. 10), where the O₃ enhancement was observed
2 by both sonde and aircraft, as well as simulated by the model. By contrast, the air mass arriving
3 at 2.4km came straight from the west where air was cleaner and thus had significantly lower O₃.
4 The high CO area was largest near the surface and became smaller with altitude. High CO
5 concentrations were seen in the model simulations up to ~797hPa. No high-CO plumes were
6 found at ~704hPa over East Asia on May 2-3 in the model (not shown). By May 3, Beijing was
7 at the center of the high O₃ area (>72ppbv) in the LT (797hPa and 878hPa, Fig. 12) on May 3.
8 The O₃ concentrations were also relatively lower (~68±4ppbv) near the surface (942hPa) and at
9 a higher altitude (704hPa).

10

11 **6 Summary and conclusions**

12 We have characterized the vertical distribution of lower-tropospheric O₃ over Beijing
13 using observations from 16 ozonesonde soundings made during the TAPTO-China field
14 campaign in April-May 2005, as well as MOZAIC aircraft ascending and descending profiles
15 over 13 days in this period. A particular focus was placed on the origin of O₃ enhancements in
16 the lower troposphere (LT, 0-6km). We used a global 3-D chemistry and transport model
17 (GEOS-Chem CTM) driven by assimilated meteorological fields from the NASA Goddard
18 Earth Observing System (GEOS-4 and GEOS-5) to interpret these characteristics and
19 quantify the sources contributing to O₃ and its enhancements in the springtime LT over
20 Beijing. We also used the output of the Global Modeling Initiative (GMI) CTM for
21 comparison with O₃ observations.

22 The average observed profile of O₃ mixing ratio in the LT over Beijing during April-May,
23 2005 ranged from ~44 to 67ppbv with an enhancement at the altitude of ~1.5km and a
24 relatively low abundance near the surface. The relatively high average O₃ concentrations at
25 ~1.5 km were due to frequently observed elevated O₃ levels (up to 94.7 ppbv in soundings
26 and 130.3ppbv in MOZAIC aircraft measurements). Such enhancements were observed at
27 this altitude in 15 out of 25 days with observations during this period. Ozone enhancements

1 were more frequently observed by ozonesonde in late April and May relative to early and
2 mid- April. This relates to northward transport of pollution in East China to the LT over
3 Beijing due to weakening of the Siberian high and the onset of the Asian summer monsoon. It
4 also suggests that an earlier onset of the Asian summer monsoon would cause more O₃
5 enhancement events in the LT over the North China Plain in late spring and early summer.

6 The GEOS-Chem model driven by GEOS-4 and GEOS-5 assimilated meteorological
7 fields adequately reproduced the average vertical distribution of LT O₃ and captured the
8 timing of the observed O₃ enhancement events over Beijing during April-May 2005, but both
9 simulations underestimated the magnitude of these enhancements. On the other hand,
10 GEOS-Chem overestimated the observed low O₃ concentrations near the surface. The GMI
11 model driven by GEOS-4 and MERRA better resolved the average O₃ concentrations near the
12 surface, but was less successful in reproducing the enhancement of average O₃ concentrations
13 at ~1.5km. Nevertheless, GMI did capture the timing of the major O₃ enhancement events
14 observed. Both GEOS-Chem and GMI were successful in reproducing temporal fluctuations
15 of observed O₃ because they are driven by assimilated meteorological fields. The fact that
16 they did not capture the surface low or the 1.5km peak likely resulted from a combination of
17 inability to represent the chemical regime at the surface (i.e., NO_x-driven titration) due to low
18 spatial resolution, and overly vigorous vertical transport (i.e., lack of a temperature inversion
19 at the altitude of ~1.5km).

20 We investigated the sources contributing to the LT O₃ enhancements observed over
21 Beijing during April-May 2005 by tagging O₃ produced in different source regions in the
22 GEOS-Chem/GEOS-4 model and by conducting model sensitivity calculations. We found
23 that these O₃ enhancements were predominantly attributed to O₃ produced within Asia,
24 especially for relatively large enhancements (~81~88%). For the large enhancements, the O₃
25 concentrations at ~1.5km were reduced by ~30-40ppbv when Asian fossil fuel emissions
26 were suppressed within the model. Contributions of O₃ from outside Asia were relatively
27 small during these O₃ events. However, long-range transport of O₃ (and its precursors) from
28 Europe and North America has important impacts on LT O₃ over Beijing during non-event

1 periods, especially in April. The two alternating regimes of transport reflect the springtime
2 transition from winter to summer monsoon in East Asia.

3 A case study of the O₃ enhancements at ~1.5km observed on May 3, 2005 showed that the
4 event was largely attributed to Asian fossil fuel emissions (34%). Backward trajectory
5 calculations suggested that the air mass stayed in the LT to the southwest of Beijing for a
6 couple of days before arriving at ~1.4km over Beijing. Elevated CO levels were found in the
7 model results on May 2nd and 3rd in the area where the air mass remained before reaching
8 Beijing. The model simulations showed that Beijing was at the center of the high O₃ area in
9 the LT (~878hPa to 797hPa) by May 3, with prevailing strong southwesterly winds that swept
10 O₃ and its precursors downwind to Beijing.

11 We find that the ozonesonde and aircraft observations of springtime O₃ in the LT over
12 Beijing are qualitatively consistent with the current understanding of tropospheric chemistry
13 and transport as represented by the GEOS-Chem model. Using the same model driven by
14 different meteorological fields (GEOS-4 and GEOS-5) does not alter our conclusion.
15 However, current global models (e.g., GEOS-Chem and GMI) have difficulty in
16 quantitatively reproducing the observed enhancements and depletions of the LT O₃ over
17 Beijing. Model simulations at higher resolutions would better resolve regional meteorology
18 and transport with respect to the topography in the North China Plain, and chemical
19 transformation such as the titration of O₃ by NO. Models could also be further evaluated by
20 increasing satellite observations as well as multi-year ozonesonde (Wang et al., 2012) and
21 aircraft measurements (Ding et al., 2008). Such efforts would improve our quantitative
22 understanding of the origin of tropospheric O₃ and elevated O₃ events over the North China
23 Plain, allowing a better projection of regional O₃ pollution and its global impact.

24

25 **Appendix A: GEOS-Chem CTM**

26 An earlier version of the GEOS-Chem model that we applied to the analysis of
27 ozonesonde O₃ observations was described in the appendix of Zhang et al. (2012). A similar

1 description is included here for completeness, but for version v9-01-02 and with a different
2 configuration. We drive the GEOS-Chem model with the GEOS-4 and GEOS-5 assimilated
3 meteorological observations from the Goddard Earth Observing System (GEOS) of the
4 NASA Global Modeling and Assimilation Office (GMAO). The original description and
5 evaluation of GEOS-Chem as applied to tropospheric O₃-NO_x-VOC chemistry was presented
6 by Bey et al. (2001a) and a description of the coupled oxidant-aerosol simulation was given
7 by Park et al. (2004). A number of previous studies have applied the model to tropospheric O₃
8 in various regions of the world, including the Asian and western Pacific (e.g., Bey et al.,
9 2001b; Liu et al., 2002), the Middle East (e.g., Li et al., 2001; Liu et al., 2009), the United
10 States (e.g., Fiore et al., 2002; Zhang et al., 2008; Hudman et al., 2009), the Atlantic (e.g., Li
11 et al., 2002), and the tropics (e.g., Martin et al., 2002; Nassar et al., 2009; Zhang et al., 2011).

12 The temporal resolution of the GEOS-4 and GEOS-5 meteorological data is 6 hours (3
13 hours for surface variables and mixing depth). GEOS-4 has a native resolution of 1° latitude
14 by 1.25° longitude with 55 vertical levels between surface and 0.01hPa and 8 vertical levels
15 between 0-6km. GEOS-5 has a higher native resolution of 0.5° latitude by 0.667° longitude
16 with 72 levels in the vertical and 23 vertical levels between 0-6km. For computational
17 expediency, horizontal resolutions are degraded to 2° latitude by 2.5° longitude for input to
18 GEOS-Chem. In addition, vertical levels above 50hPa (GEOS-4) or 80hPa (GEOS-5) are
19 merged to retain 30 (GEOS-4) or 47 (GEOS-5) vertical levels in total. A major difference
20 between GEOS-4 and GEOS-5 is the parameterization scheme for convection. GEOS-4 uses
21 the parameterization scheme of Zhang and McFarlane (1995) and Hack (1994) for deep
22 convection and shallow convection, respectively. Convection in GEOS-5 is based on the
23 relaxed Arakawa-Schubert parameterization scheme (Moorthi and Suarez, 1992). Previous
24 model simulations of ²²²Rn (Zhang et al., 2011) and CO (Liu et al., 2010) indicate that
25 tropical deep convection is significantly deeper in GEOS-4 than in GEOS-5. GEOS-Chem
26 assumes rapid vertical mixing within the mixing layers diagnosed by GEOS.

27 The GEOS-Chem model includes 87 chemical species and transports 43 chemical tracers
28 to describe tropospheric O₃-NO_x-VOCs-aerosol chemistry. Anthropogenic emissions are

1 based on the Global Emission Inventory Activity (GEIA) (Benkovitz et al., 1996),
2 overwritten with NO_x, CO and SO_x from the Emission Database for Global Atmospheric
3 Research (EDGAR) inventory (Olivier and Berdowski, 2001) and from various regional
4 emissions inventories as described by Nassar et al. (2009). Anthropogenic emissions in Asia
5 are from the Streets 2000 inventory (Streets et al., 2003), with anthropogenic CO emissions in
6 China updated by the Streets 2001 inventory (Streets et al., 2006). These base inventory
7 emissions are scaled to our 2005 simulation year, following van Donkelaar et al. (2008). The
8 2005 anthropogenic emission for Asia (0–60°N, 65–150°E) is 10.1 Tg N/yr for NO_x and 271.9
9 Tg/yr for CO. Biofuel emissions follow Yevich and Logan (2003). Biogenic VOCs emissions
10 are based on the Model of Emissions of Gases and Aerosol from Nature (MEGAN) inventory
11 (Guenther et al., 2006). Biomass burning emissions are based on the Global Fire Emissions
12 Database version 2 (GFEDv2), which resolves interannual variability (van der Werf et al.,
13 2006). The monthly GFEDv2 emissions were resampled to an 8-day time step using MODIS
14 fire hot spots (Giglio et al., 2003; Nassar et al., 2009).

15 Lightning NO emissions in GEOS-Chem are calculated locally in deep convection events
16 with the scheme of Price and Rind (1992) that links flash rates to convective cloud top
17 heights. The spatial distribution of lightning averaged over 11 years in the model is
18 constrained to match the climatological (11-year) satellite observations of lightning flash
19 rates from the Optical Transient Detector / Lightning Imaging Sensor (OTD-LIS) High
20 Resolution Monthly Climatology (HRMC v2.2) product by applying a local monthly
21 rescaling factor (Sauvage et al., 2007; Nassaret al., 2009). The interannual variability of the
22 lightning NO_x emissions as represented by the model is retained, with approximately 6 Tg N
23 yr⁻¹ released globally (Sauvage et al., 2007; Nassar et al., 2009). The vertical distribution of
24 lightning NO_x emissions follows Pickering et al. (1998), with most of NO_x in the upper
25 troposphere (55–75% above 8 km). The model uses the linearized stratospheric O₃ chemistry
26 scheme (Linoz) of McLinden et al. (2000). Liu et al. (2015) previously suggested that Linoz
27 in a CTM driven with the GEOS-4 and GEOS-5 assimilated meteorological fields yields
28 reasonable impacts of cross-tropopause transport on the lower troposphere.

1

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21

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1 **Figure Captions**

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3 Figure 1. Locations of Beijing (39.8°N, 116.18°E) and three other ozonesonde stations in
4 north China during the second phase of the TAPTO-China campaign in April-May 2005.
5 Surface topography is shown as color image.

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7 Figure 2. Tropospheric O₃ source regions for tagged O₃ simulations.

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9 Figure 3. GEOS-4 (left panels) and GEOS-5 (right panels) horizontal wind vectors near the
10 surface (lower panels) and ~870hPa (upper panels) in East Asia during April-May 2005. Also
11 shown as a color image are the O₃ concentrations (ppbv) simulated by GEOS-Chem driven
12 with GEOS-4 and GEOS-5 meteorological data sets. Values are averages over April-May.
13 White dots denote the locations of four ozonesonde stations (see Figure 1).

14

15 Figure 4. a) Mean vertical profiles of O₃ mixing ratios (ppbv) over Beijing averaged over four
16 days (May 1, May 3, May 11, and May 15) when both ozonesonde (black solid line) and
17 MOZAIC aircraft (red dashed line) measurements were conducted. b) Mean vertical profiles
18 of O₃ mixing ratios observed by ozonesonde and MOZAIC aircraft during April-May 2005
19 (solid black line), in comparison with GEOS-Chem (blue dashed line) and GMI (orange
20 dotted line) simulations driven by the GEOS-4 meteorological fields. Daily model output was
21 sampled at the time and location of ozonesonde and aircraft measurements. c) Same as b),
22 except that GEOS-Chem and GMI were driven by the GEOS-5 and MERRA meteorological
23 fields, respectively.

24

25 Figure 5. Time-height cross-sections of lower-tropospheric O₃ mixing ratios (ppbv), as
26 observed by ozonesonde and MOZAIC aircraft in comparison with GEOS-Chem simulations

1 driven by the GEOS-4 and GEOS-5 meteorological fields, at Beijing during April-May 2005.
2 Model daily outputs are sampled in the gridbox nearest to Beijing for the dates (vertical lines)
3 of ozonesonde soundings.

4

5 Figure 6. Major sources contributing to O₃ (0-6km) over Beijing, as simulated by
6 GEOS-Chem driven by the GEOS-4 meteorological fields during April-May, 2005. The plots
7 show time-height cross-sections of concentrations (ppbv, left panels) and percentages (%,
8 right panels) of tagged O₃ produced in Asian, African, European and North American
9 troposphere, as well as O₃ transported from the stratosphere. Model daily outputs are sampled
10 at the location and dates (vertical lines) of ozonesonde soundings and/or aircraft
11 measurements. Note the different color scales on color bars.

12

13 Figure 7. Decreases in the lower-tropospheric O₃ concentrations (ppbv), as simulated by
14 GEOS-Chem driven by the GEOS-4 (left panels) and GEOS-5 (right panels) meteorological
15 fields, when Asian, European, North American fossil fuel emissions, biomass burning
16 emissions, or lightning NO_x emissions were suppressed, respectively, relative to their
17 standard simulations for April-May, 2005. Note the different scales on color bars. Colors are
18 saturated when values are out of range.

19

20 Figure 8. Timeseries of O₃ concentrations (ppbv, red line) and temperature (black line) at 878
21 hPa over Beijing in the GEOS-Chem model driven by the GEOS-4 meteorological fields.
22 Also shown in the panel are simulated concentrations (ppbv) of tagged O₃ produced in the
23 Asian (AS, grey line), African (AF, purple line), European (EU, orange line), and North
24 American (NA, blue line) troposphere, and O₃ transported from the stratosphere (Strat, green
25 line). Vertical lines indicate dates with ozonesonde soundings and/or aircraft measurements.

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1 Figure 9. Vertical profiles of O₃ mixing ratios (ppbv) over Beijing from ozonesonde (black
2 solid line) and MOZAIC aircraft (blue solid line) measurements on May 3, 2005, in
3 comparison with those simulated by GEOS-Chem/GEOS-4 (green dashed line) and
4 GMI/GEOS-4 (blue dotted line). Sonde-observed RH (%) and temperature (°C) are shown as
5 red solid line and purple solid line, respectively. Decreases in O₃ concentrations (ppbv) when
6 Asian fossil fuel or lightning NO_x emissions were suppressed, relative to the standard
7 simulation, are shown as orange and purple dot-dashed lines, respectively. O₃ transported
8 down from the stratosphere (ppbv) is shown as pink dot-dashed line.

9

10 Figure 10. Five-day back trajectories arriving at the altitudes of 150m (green line), 1400m
11 (blue line), and 2400m (red line), respectively, over Beijing at 1400LT on May 3, 2005. AGL
12 denotes the altitudes above ground level. The ozonesonde station is 34m asl.

13

14 Figure 11. Average CO concentrations (ppbv, left panels) and O₃ concentrations (ppbv, right
15 panels) in the lower troposphere (797hPa, top panels; 878hPa, middle panels; 942 bottom
16 panels) over East Asia on May 2, 2005, as simulated by GEOS-Chem driven by the GEOS-4
17 meteorological fields. Dots denote the locations of four ozonesonde stations shown in Figure
18 1. Arrows are wind vectors. Note the different arrow scales for wind vectors at different
19 levels.

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21 Figure 12. Same as Figure 11, but for May 3, 2005.

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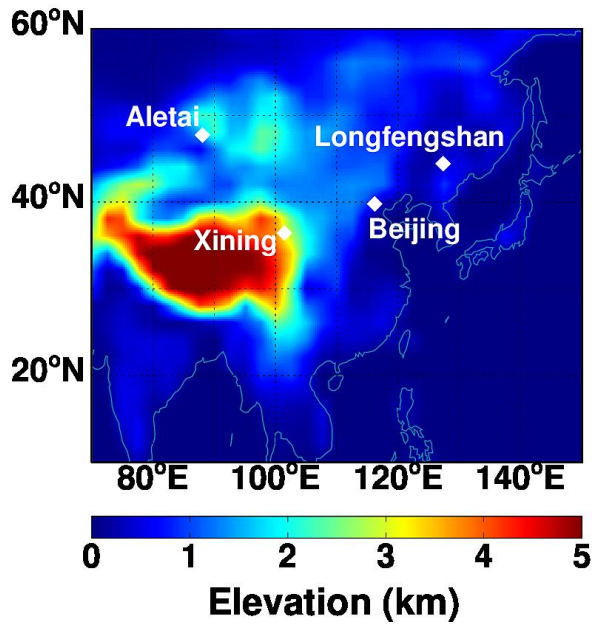
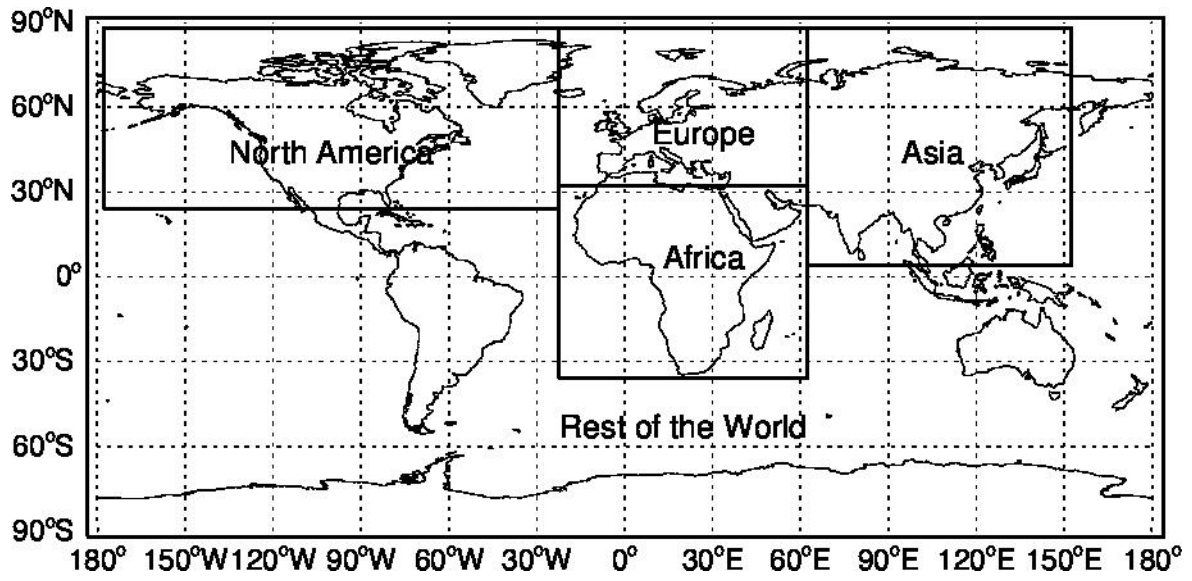


Figure 1. Locations of Beijing (39.8°N, 116.18°E) and three other ozonesonde stations in north China during the second phase of the TAPTO-China campaign in April-May 2005. Surface topography is shown as color image.

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Figure 2. Tropospheric O₃ source regions for tagged O₃ simulations.

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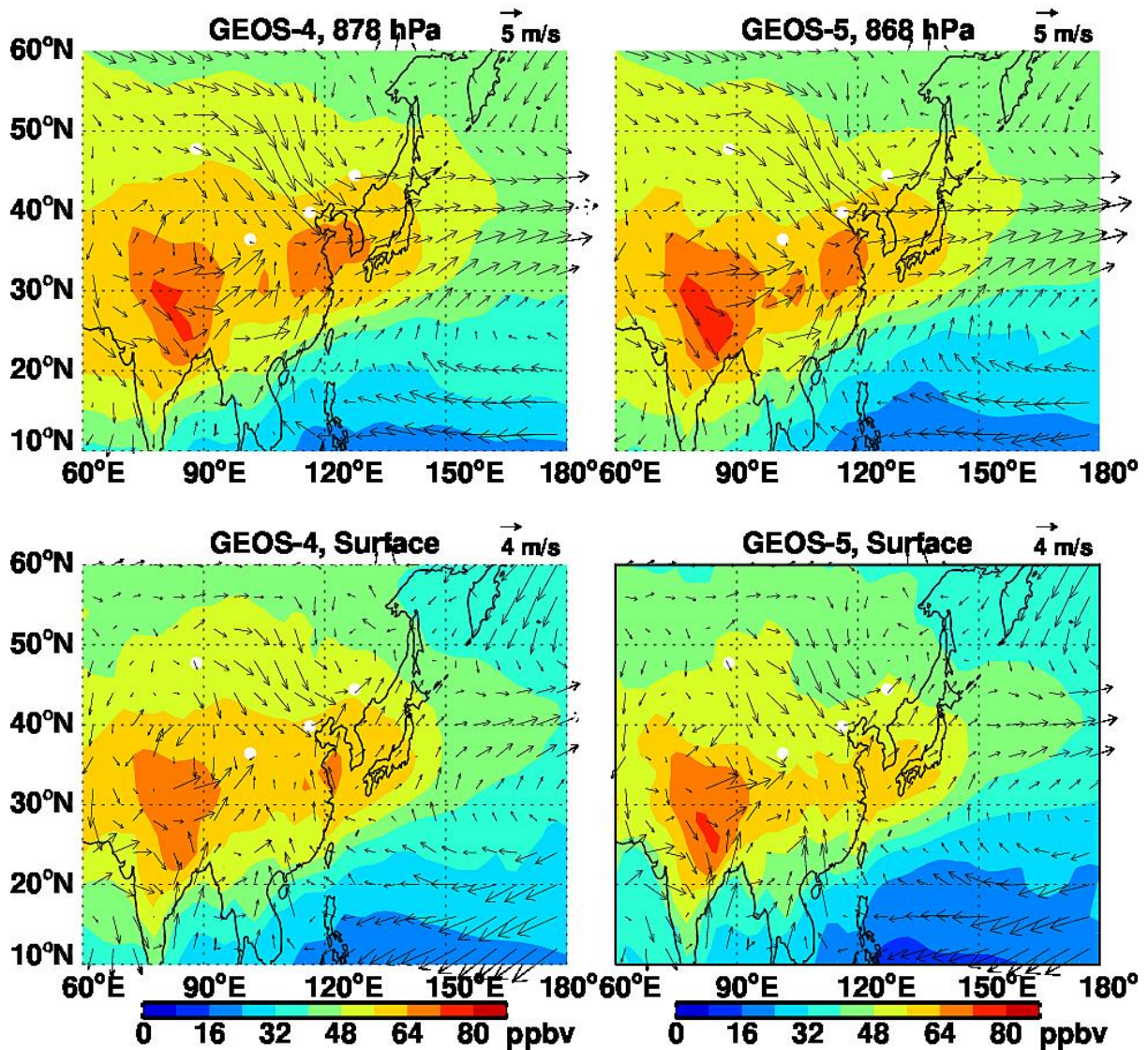
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GEOS-Chem, April-May



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4 Figure 3. GEOS-4 (left panels) and GEOS-5 (right panels) horizontal wind vectors near the
5 surface (lower panels) and ~870hPa (upper panels) in East Asia during April-May 2005. Also
6 shown as a color image are the O₃ concentrations (ppbv) simulated by GEOS-Chem driven
7 with GEOS-4 and GEOS-5 meteorological data sets. Values are averages over April-May.
8 White dots denote the locations of four ozonesonde stations (see Figure 1).

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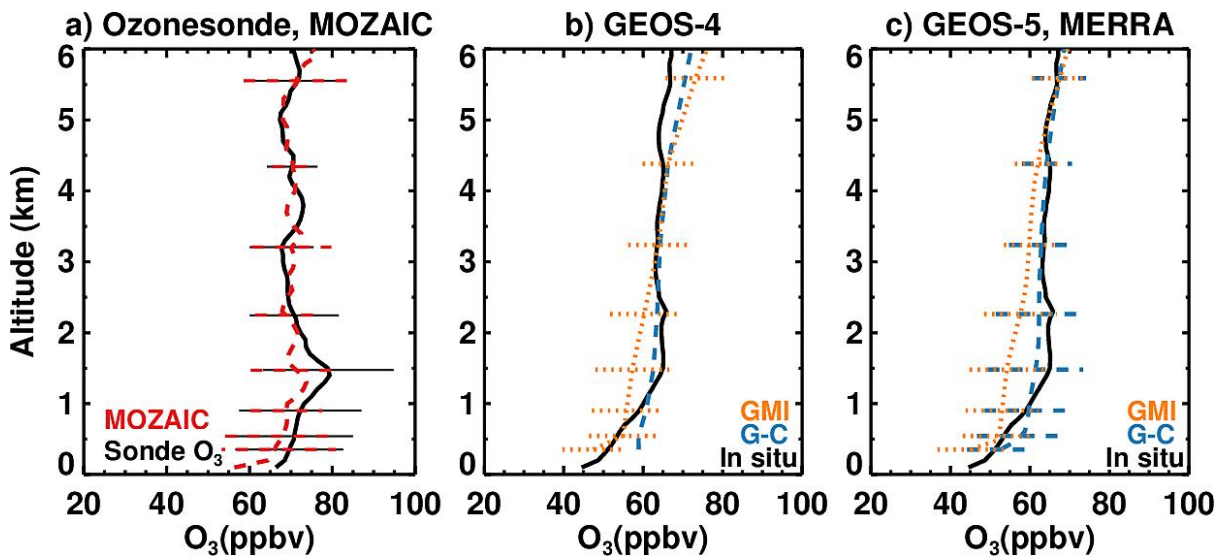
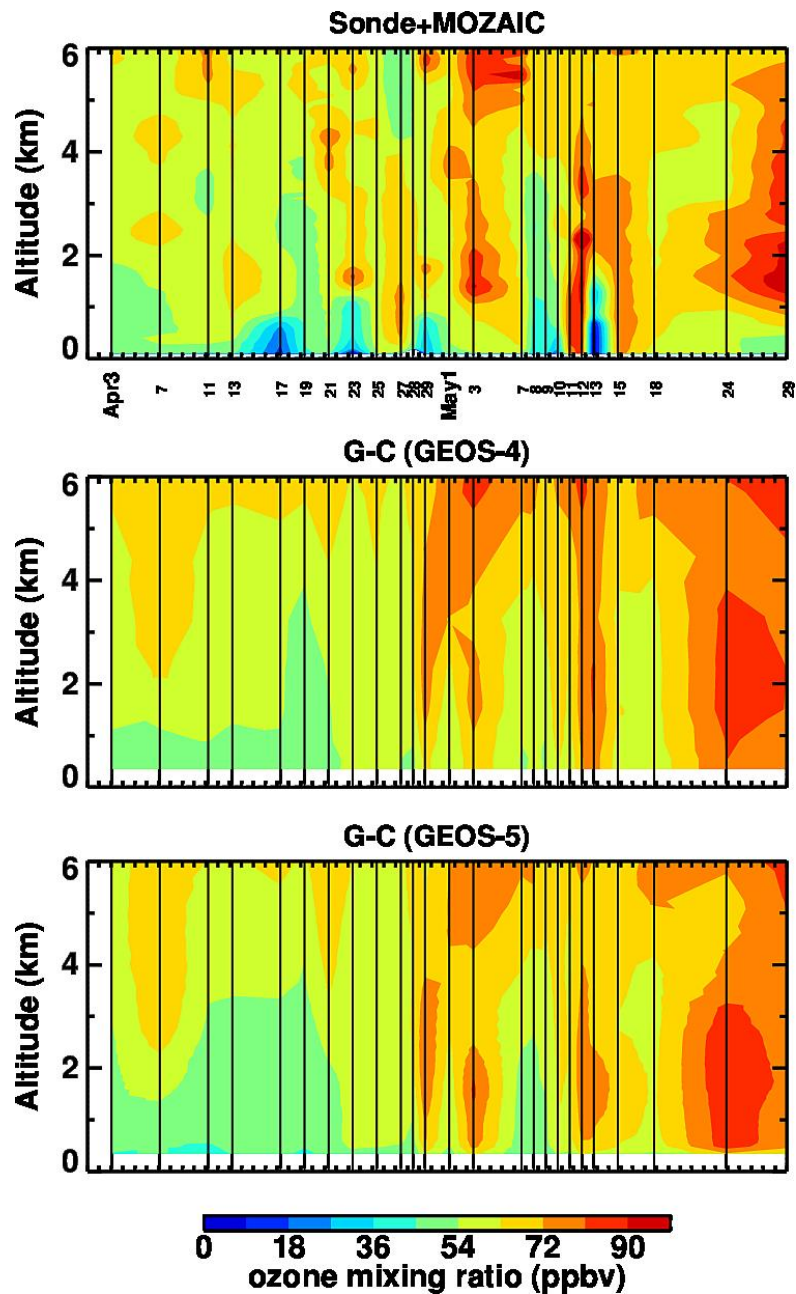


Figure 4. a) Mean vertical profiles of O₃ mixing ratios (ppbv) over Beijing averaged over four days (May 1, May 3, May 11, and May 15) when both ozonesonde (black solid line) and MOZAIC aircraft (red dashed line) measurements were conducted. b) Mean vertical profiles of O₃ mixing ratios observed by ozonesonde and MOZAIC aircraft during April-May 2005 (solid black line), in comparison with GEOS-Chem (blue dashed line) and GMI (orange dotted line) simulations driven by the GEOS-4 meteorological fields. Daily model output was sampled at the time and location of ozonesonde and aircraft measurements. c) Same as b), except that GEOS-Chem and GMI were driven by the GEOS-5 and MERRA meteorological fields, respectively.

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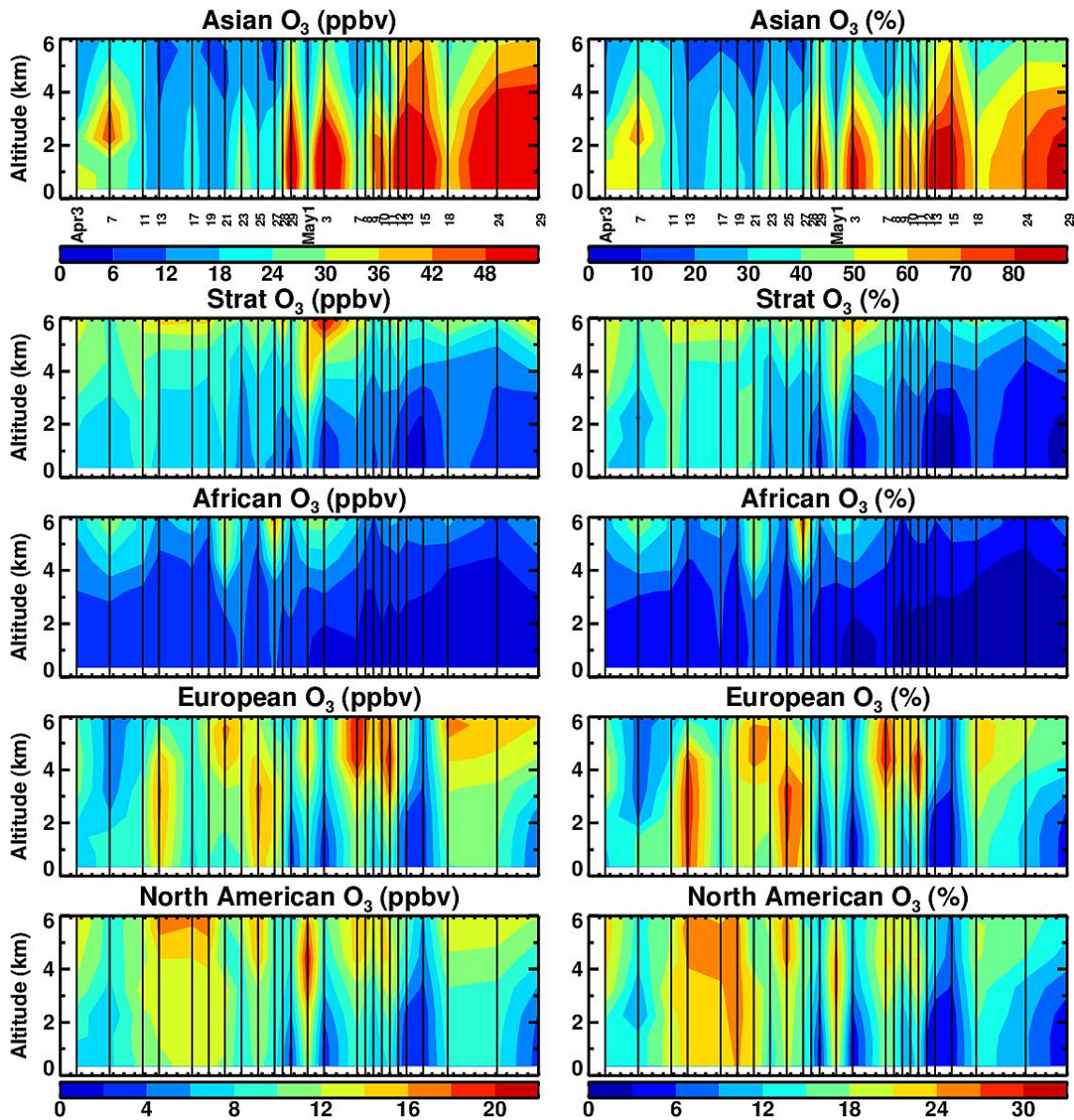


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3 Figure 5. Time-height cross-sections of lower-tropospheric O₃ mixing ratios (ppbv), as
4 observed by ozonesonde and MOZAIC aircraft in comparison with GEOS-Chem simulations
5 driven by the GEOS-4 and GEOS-5 meteorological fields, at Beijing during April-May 2005.
6 Model daily outputs are sampled in the gridbox nearest to Beijing for the dates (vertical lines)
7 of ozonesonde soundings.

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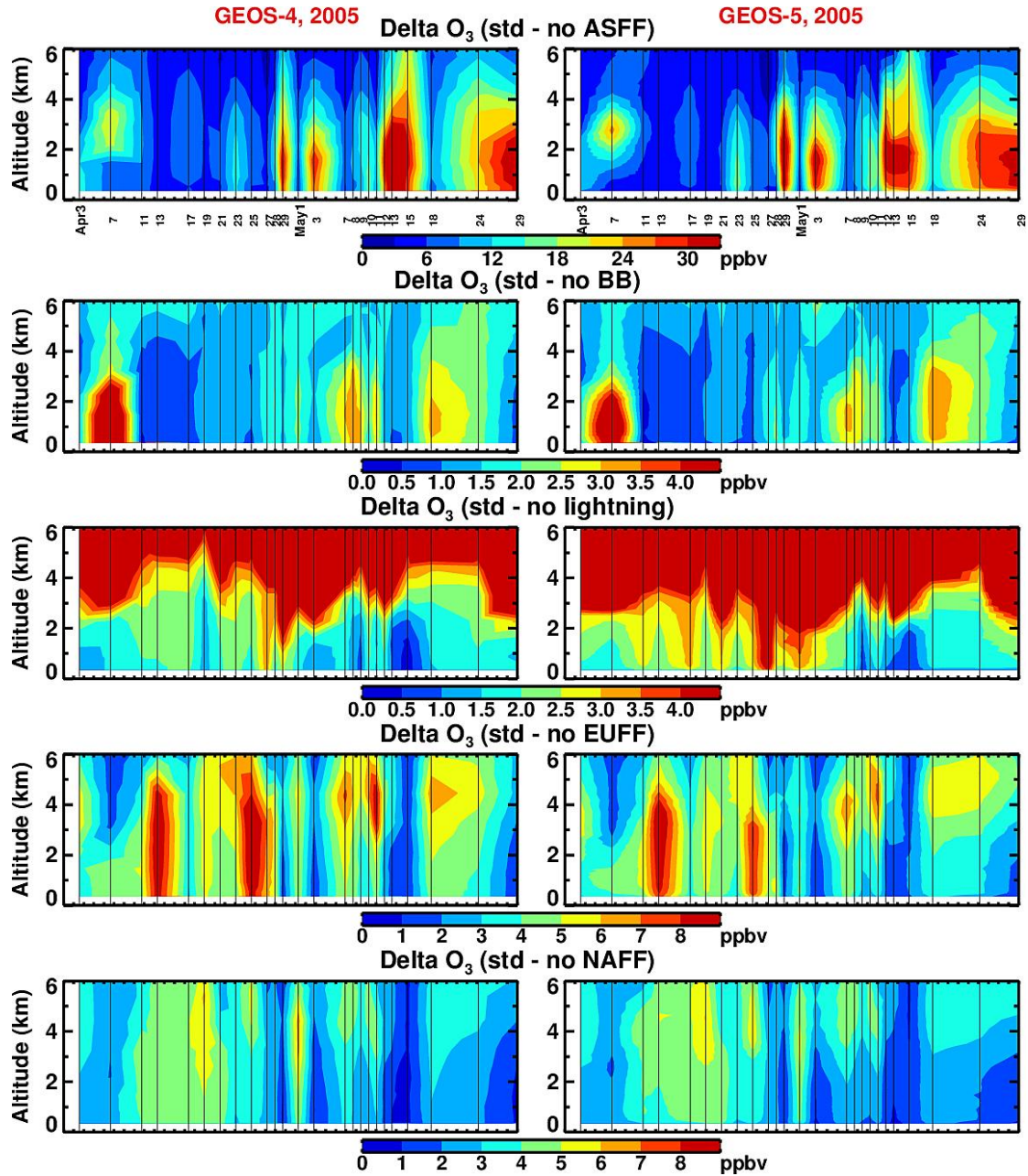


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4 Figure 6. Major sources contributing to O₃ (0-6km) over Beijing, as simulated by
5 GEOS-Chem driven by the GEOS-4 meteorological fields during April-May, 2005. The plots
6 show time-height cross-sections of concentrations (ppbv, left panels) and percentages (%
7 right panels) of tagged O₃ produced in Asian, African, European and North American
8 troposphere, as well as O₃ transported from the stratosphere. Model daily outputs are sampled
9 at the location and dates (vertical lines) of ozonesonde soundings and/or aircraft
10 measurements. Note the different color scales on color bars.

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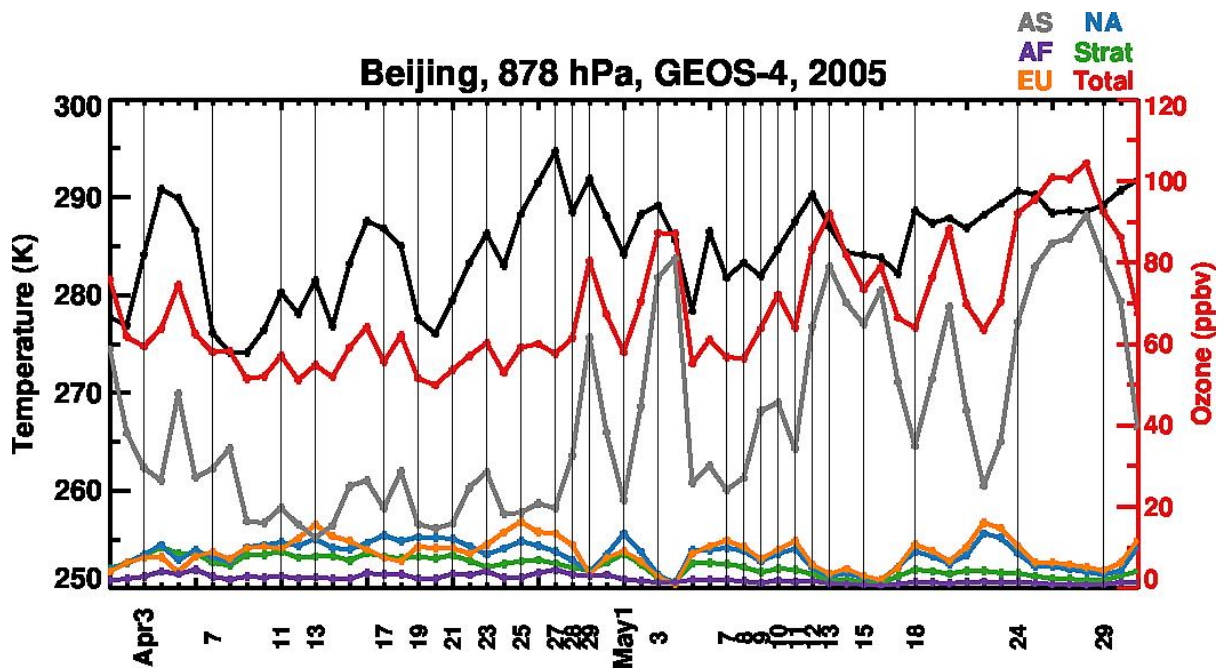


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3 Figure 7. Decreases in the lower-tropospheric O₃ concentrations (ppbv), as simulated by
4 GEOS-Chem driven by the GEOS-4 (left panels) and GEOS-5 (right panels) meteorological
5 fields, when Asian, European, North American fossil fuel emissions, biomass burning
6 emissions, or lightning NO_x emissions were suppressed, respectively, relative to their
7 standard simulations for April-May, 2005. Note the different scales on color bars. Colors are
8 saturated when values are out of range.

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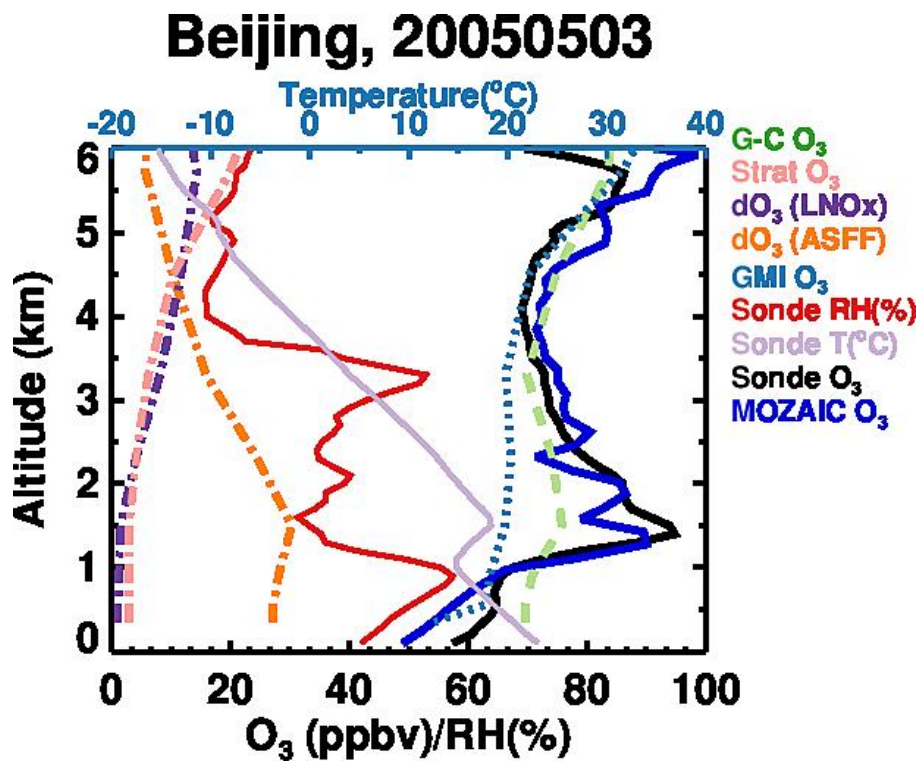
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Figure 8. Timeseries of O₃ concentrations (ppbv, red line) and temperature (black line) at 878 hPa over Beijing in the GEOS-Chem model driven by the GEOS-4 meteorological fields. Also shown in the panel are simulated concentrations (ppbv) of tagged O₃ produced in the Asian (AS, grey line), African (AF, purple line), European (EU, orange line), and North American (NA, blue line) troposphere, and O₃ transported from the stratosphere (Strat, green line). Vertical lines indicate dates with ozonesonde soundings and/or aircraft measurements.

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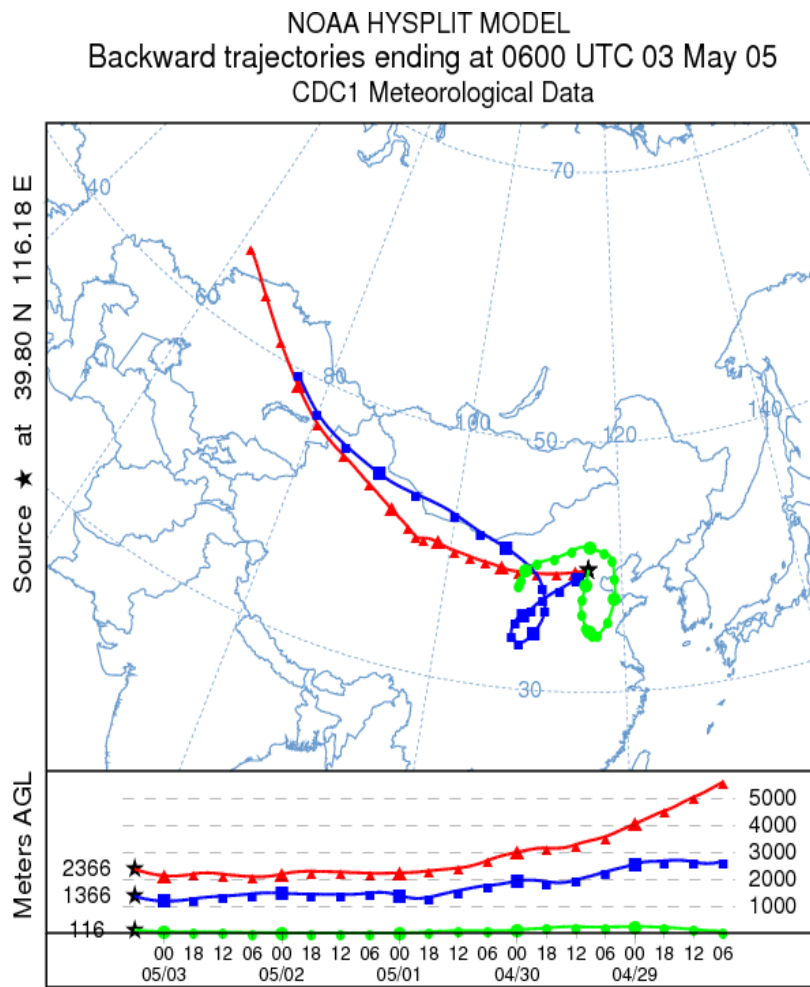
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4 Figure 9. Vertical profiles of O₃ mixing ratios (ppbv) over Beijing from ozonesonde (black
5 solid line) and MOZAIC aircraft (blue solid line) measurements on May 3, 2005, in
6 comparison with those simulated by GEOS-Chem/GEOS-4 (green dashed line) and
7 GMI/GEOS-4 (blue dotted line). Sonde-observed RH (%) and temperature (°C) are shown as
8 red solid line and purple solid line, respectively. Decreases in O₃ concentrations (ppbv) when
9 Asian fossil fuel or lightning NO_x emissions were suppressed, relative to the standard
10 simulation, are shown as orange and purple dot-dashed lines, respectively. O₃ transported
11 down from the stratosphere (ppbv) is shown as pink dot-dashed line.

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5 Figure 10. Five-day back trajectories arriving at the altitudes of 150m (green line), 1400m
 6 (blue line), and 2400m (red line), respectively, over Beijing at 1400LT on May 3, 2005. AGL
 7 denotes the altitudes above ground level. The ozonesonde station is 34m asl.

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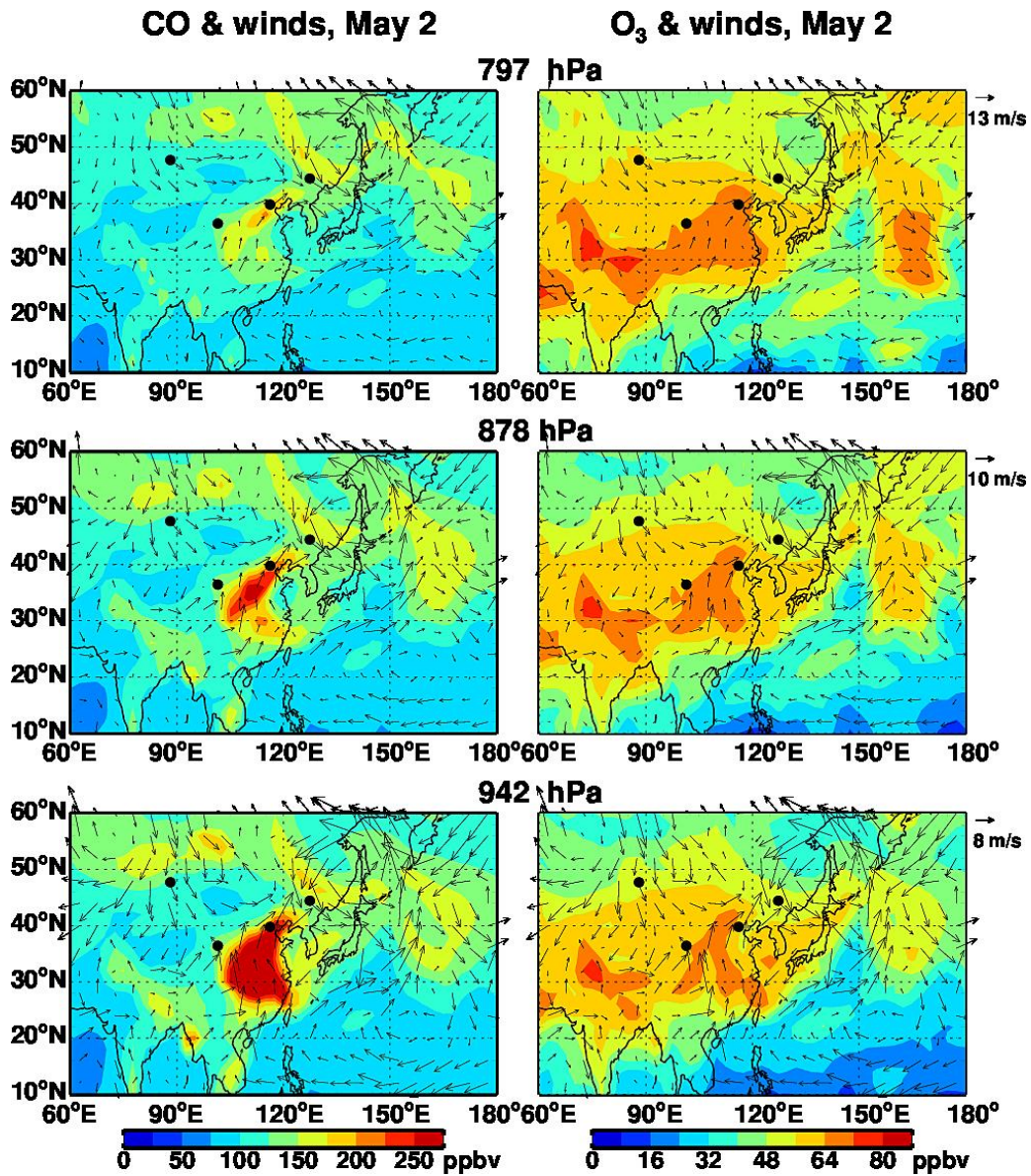
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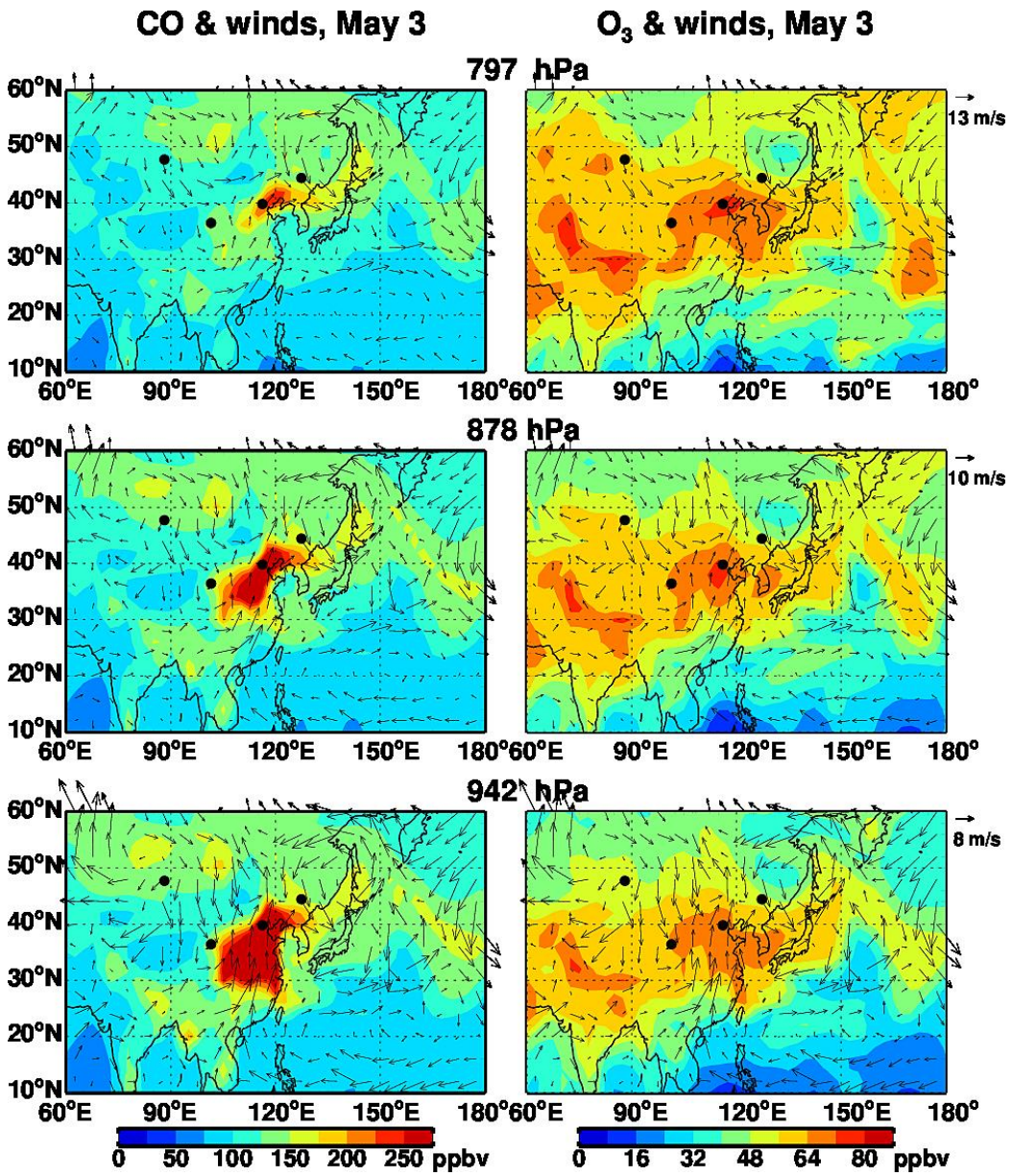
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4 Figure 11. Average CO concentrations (ppbv, left panels) and O₃ concentrations (ppbv, right
5 panels) in the lower troposphere (797hPa, top panels; 878hPa, middle panels; 942
6 panels) over East Asia on May 2, 2005, as simulated by GEOS-Chem driven by the GEOS-4
7 meteorological fields. Dots denote the locations of four ozonesonde stations shown in Figure
8 1. Arrows are wind vectors. Note the different arrow scales for wind vectors at different
9 levels.

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Figure 12. Same as Figure 11, but for May 3, 2005.