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A persistent imbalance in HO_x and NO_x photochemistry of the upper troposphere driven by deep tropical convection

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Abstract. Convection in the tropics turns over the upper troposphere at rates (0.08 d⁻¹) comparable to photochemical processes controlling the absolute abundance of HO_x (OH + HO₂) and the abundance of NO_x (NO + NO₂) relative to HNO₃. Here we identify convection of boundary-layer CH₃OOH as a primary source of HO_x to the upper troposphere. Turnover of NO_x leads to NO/HNO₃ ratios much higher than predicted for local photochemical steady-state. Through convective transport the upper troposphere is more photochemically active in producing O₃, an important greenhouse gas.

Introduction

Deep convection in the tropics moves air from the marine and continental boundary layers rapidly to the upper troposphere [Emanuel, 1994]. Convective (anisotropic) plumes as diagnosed from a general circulation model were built into early chemistry-transport models [CTMs] [Russell and Lerner, 1981]. Such convective transports have been recognized as being important to tropospheric chemistry [Gidel, 1983; Chatfield and Crutzen, 1984; Ehhalt et al., 1992; Liu et al., 1997] through the transport of ozone and its precursors [Pickering et al., 1992; Jacob et al., 1993]. These works have shown the importance of convective transport in determining the upper tropospheric composition for relatively long-lived tracers such as radon or ozone [e.g., Liu et al., 1984; Jacob et al., 1997]. This paper focuses on the ability of convective transport to control even the rapid photochemical balance of HO_x (OH + HO₂) and NO_x (NO + NO₂) in the upper troposphere. Deep convection in the tropics flushes the upper tropical troposphere, brings in fresh sources of NO (e.g., from soils, combustion, lightning) and HO, reservoirs (H₂O₂, CH₃OOH, CH₂O), drives the photochemical balance away from local photochemical steady-state (LPSS), and increases the net production of ozone (O₃) in the upper troposphere. Specifically, we predict that convection of boundary-layer CH_3OOH is a major source of HO_x and O_3 in the upper troposphere.

Convective mass fluxes on a global average are not readily measurable, even from meteorological analyses; and we adopt the convection statistics from the GISS general circulation model, version II-prime, which includes a significantly improved convection scheme [DelGenio and Yao, 1992; Rind and Lerner, 1996]. Figure 1 summarizes the deep, non-

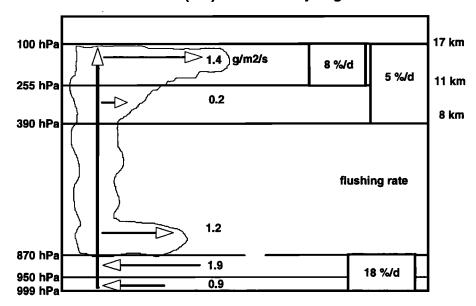
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Paper number 97GL03027. 0094-8534/97/97GL-03027\$05.00 entraining convective flux over the equatorial region $(12^{\circ}\text{S} - 12^{\circ}\text{N})$ for May through August. The sigma-levels of the GISS GCM are shown along with the flux of air into and out-of each layer in g m⁻² s⁻¹. Although these rates are equatorial averages, similar values apply up to 30°N in summer. The effective turnover rates for each level are shown on the right: e.g., the lowest layers (999-870 hPa) are vented at a rate of 18% per day and the uppermost level from 11 to 17 km altitude (100-255 hPa) is turned over at a rate of 8% per day.

Convection of Tracers

What does boundary-layer air bring to the upper troposphere? Cumulus transport from the surface to the 11-17 km region involves condensation of more than 99% of the water vapor and hence removal of a large fraction of soluble species such as HNO₃, H₂O₂, and aerosols from uplifted air. To balance this source, uniform removal of species in the 11-17 km region occurs through convective turnover (i.e., net subsidence). What chemical species will be impacted by such turnover? Water vapor is controlled by convection but is not predictable in this framework. The long-lived gases like CH₄ and CO have tropospheric distributions determined by largescale transport outside of the tropical troposphere and cannot be predicted within a model of vertical turnover. Likewise, Oa in this 11-17 km region is controlled in part by transport from other regions (e.g., the stratosphere and other latitudes) not just from exchange with the boundary layer. Thus we fix the concentrations of these slowly varying chemicals by observation. The NO₂ family (NO, NO₂, NO₃, HONO, HNO₃, HNO₄, N₂O₅) and the HO₄ family (OH, HO₂, H₂O₂, CH₃OOH, CH₃OO, CH_2O , HONO, HO_2NO_2), however, are built up and destroyed in a matter of days; and thus their partitioning and absolute abundance may be readily impacted by convective turnover.

We expect that NO_y injected into the upper troposphere by convection will be primarily in the form of NO_x because HNO₃ will be rained out. Thus, loss of NO_y in the upper tropical troposphere from convective turnover is assumed to be balanced by a fresh source of NO_x (e.g., lightning or surface emissions). The HO_y family is made photochemically from H₂O and CH₄. Observations in the tropics show rapid decline with altitude in the concentrations of H₂O₂, CH₃OOH, and CH₂O, following the decline of H₂O [*Heikes et al.*, 1996; *Jacob et al.*, 1996]. Concentrations of these species, which are the main components of the HO_y family and the main reservoirs of HO_x within this family, are typically one order-ofmagnitude less in the upper troposphere than in the lower troposphere (Table 1). Convective pumping can thus provide a large source of HO_x to the upper troposphere. Both CH₃O-



GISS II'(4x5) 12S-12N May-Aug

Figure 1. Convective transport of boundary layer air to the equatorial upper troposphere $(12^{\circ}S-12^{\circ}N)$ in the GISS II-prime general circulation model during May-June-July-August. Zonally averaged, upward convective fluxes (g m⁻² s⁻¹) are shown. These are balanced by large-scale subsidence (not shown). Middle tropospheric GCM layers are not shown. The mean turnover rates (% d⁻¹) for air as a result of deep convection and subsidence are indicated for each blocked region.

OH and CH₂O have sufficiently low Henry's Law solubilities [*Betterton and Hoffmann*, 1988; *Lind and Kok*, 1994] that they should reach the upper troposphere without significant scavenging by convective precipitation. *Chatfield and Crutzen* [1984] have argued for the potential importance of H_2O_2 convection, yet H_2O_2 is highly soluble and a large fraction should be rained out. In our analysis we assume a scavenging efficiency of 75% for H_2O_2 in deep, wet convection.

An instructive model of the upper tropical troposphere (11-17 km) is built here as a single box (~14 km) that is ventilated by convective plumes and large-scale subsidence. For the HO_x reservoirs convection induces a net source proportional to the difference between the mean boundary-layer and uppertroposphere mixing ratios. Based on observations from the TRACE-A and PEM-West aircraft observations over the tropical Atlantic and tropical western Pacific, respectively [*Gregory and Scott*, 1995; *Davis et al.*, 1996; *Heikes et al.*, 1996; *Jacob et al.*, 1996], we estimate sources to the upper troposphere of 50-90 pptv d⁻¹ for CH₃OOH, 0-45 pptv d⁻¹ for H₂O₂, and 15 pptv d⁻¹ for CH₂O (Table 1). Although H₂O₂ is highly soluble, recent observations show some enhancements in convective outflows in the upper troposphere [*Lee et al.*, 1997], consistent with our adopted partial scavenging.

Perturbations to HO_x, NO_x, and O₃ Tendency

In Table 1 we estimate the impact of these additional HO_x sources at 14 km by calculating HO_x yields (molecule of HO_x produced per reservoir molecule destroyed) from the two peroxides and formaldehyde, multiplying by the convective source, and then comparing with the known HO_x sources (pptv d⁻¹) from oxidation of water vapor by O(¹D) and from photolysis of acetone (CH₃C(O)CH₃) [*McKeen et al.*, 1997]. H₂O at 42 ppmv and acetone at 300 pptv [*Singh et al.*, 1995] supply comparable sources. Convective injection of CH₃OOH can double the source from water plus acetone. The source from H₂O₂ would be even larger, but 75% scavenging leaves it just

comparable to water and acetone. The source from CH_2O is insignificant.

With this representative box-model of the upper tropical troposphere, we calculate the impact of convective pumping

Table 1. HO_x Precursors in the Upper Tropical Troposphere

Tropospheric	S _{HOy} ^b pptv/d	Yield ^c v/v	S _{нох} ^d pptv/d		
CH ₃ OOH, pptv					
TRACE-A	1200	60	90	~1.4	125
PEM-WEST	820	200	50		70
H_2O_2 , pptv					
TRACE-A	2800	150	45	~1.4	65
PEM-WEST	1100	240	3		4
CH ₂ O, pptv					
TRACE-A	200	<40	15	~0.7	10
H ₂ O, ppmv		42			50
CH ₃ C(O)CH ₃ , pptv		300			85

^a Concentrations of peroxides/formaldehyde based on tropical aircraft campaigns TRACE-A [Heikes et al., 1996; Jacob et al., 1996] and PEM-West A/B [B G. Heikes reported by Gregory and Scott, 1995]. Data are averages of lower (0-4 km or marine boundary layer) and upper troposphere (8-12 km).

^b Source of peroxides/formaldehyde in upper troposphere based on convective turnover of 0.08 d⁻¹ (Fig. 1). H_2O_2 is soluble and scavenged (75%) from wet convective updrafts; negligible scavenging is expected for CH₂OOH and CH₂O (much lower solubilities).

^c Mean yield of HO_x per peroxide/formaldehyde molecule in the upper troposphere. Yields are 24-hour averages for high HO_x conditions at 14 km (CNV/standard with $S_{HOy} = 150$ in Table 2), including removal by convective turnover (0.08 d⁻¹).

^d Source of HO_x in the upper troposphere (24-hr average) is the product of S_{HOy} and HO_x-yield columns (peroxides/formaldehyde) or is modeled (water and acetone).

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on NO_v and HO_v partitioning using a series of sensitivity studies. As defined in Table 2, the model adopts typical conditions for 14 km altitude in the tropics. NO mixing ratios of 50 pptv are typical in the tropical upper troposphere (e.g., Figure 11 of Carroll et al., [1992]). We constrain the 24-hour diel cycle to be in steady state with 50 pptv NO at noon by adjusting NO_v for local photochemical steady state (LPSS) or by specifying a NO source (S_{NO}) for convective turnover (CNV). For LPSS HNO₃ builds up to 70 pptv and OH to 0.31 pptv resulting in a NO/HNO₃ ratio of 0.72. With convective turnover (CNV), S_{NO} equal to 5.90 pptv d⁻¹ is needed; the OH levels are essentially unchanged; but the HNO₃ levels drop almost a factor of 3 increasing the NO/HNO3 ratio to 1.88. (At 12 km, this ratio shifts by a similar factor from 0.43 (LPSS) to 1.04 (CNV).) These larger ratios are in much better agreement with observations in the tropics [Davis et al., 1996; Jacob et al., 1996]. The lifetime for NO_x conversion to HNO₃ ranges from 7 to 15 days for the cases in Table 2, and thus a convective turnover time of 12.5 days significantly perturbs the LPSS. Ehhalt et al.'s [1992] convective model study of midlatitude NO_x indicated that NO/NO_y ratios in the upper troposphere were far from steady state (i.e., their Figure 13).

The addition of a convective source of CH₃OOH (S_{HOy} = 90 pptv d⁻¹) boosts noontime OH by 20% and reduces the NO/-HNO₃ ratio to 1.42 (still a factor of 2 greater than LPSS). The further addition of other HO_y reservoirs (S_{HOy} = 150 pptv d⁻¹ = 90 pptv d⁻¹ CH₃OOH + 45 pptv d⁻¹ H₂O₂ + 15 pptv d⁻¹ CH₂O) increases OH another 13% with similar change in NO/HNO₃. Without acetone the impact of convective pumping of CH₃O-OH is more pronounced and OH increases by 50%. At twice these NO levels, 100 pptv, the HO_x balance shifts to more OH and less HO₂ with slightly smaller NO/HNO₃ ratios; however, the relative impact of convective HO_y is similar to the standard case with 50 pptv NO.

Ozone production for a given NO concentration is proportional to HO₂ concentration, and the net O₃ tendency (ppb d⁻¹) increases substantially when HO_y reservoirs are convectively pumped to the upper troposphere as shown in Table 2. Because the chemical time scale for O₃ change in the upper troposphere is over a month-long compared to the turnover time-we can use the instantaneous tendency multiplied by the turnover time (12.5 d) to estimate the incremental buildup. At 50 pptv NO and without acetone, the local photochemistry would accumulate an additional 8 ppbv O₃ above background levels (as compared without NO). With acetone the buildup is 11 ppbv, and with convective pumping of HO_v reservoirs the increase could be as much as 16 ppbv. At 100 pptv NO the ozone increases are not twice as large since HO₂ falls with increasing NO, but the ozone buildup could be as much as 24 ppbv! For all of the CNV cases in Table 2 the added effect of convecting HO_v reservoirs is about 5 ppbv additional ozone in the tropical upper troposphere as compared with a model that did not include convection of the HO_x precursors.

Discussion

In summary, convective pumping of the upper tropical troposphere at rates predicted by general circulation models will lead to a persistent chemical imbalance. The shift of NO_y partitioning from LPSS is driven by convective turnover (i.e., removal of NO_y species and replacement by NO), but the HO_x levels and production of ozone are controlled by the convective sources of CH₃OOH and possibly H₂O₂. There is clear evidence from measurements during the STRAT campaign [*Wennberg et al.*, 1997; *Jaeglé et al.*, 1997] that OH levels are often—but not always—much higher than can be explained by LPSS and are consistent with elevated levels of H₂O₂ and CH₃OOH (not measured on STRAT).

What could be wrong with this model assessment? First, we looked only at the mean altitude (14 km) in the upper tropics. This level is just above the TRACE and PEM-West flight altitudes and at the lower range of ER-2 data on HO_x [*Wennberg et al.*, 1997]. The impact of convective pumping is diluted as we go to lower altitudes: flushing rates are not so

Chemical Model	S _{NO} pptv/d	S _{ноу} pptv/d	NO pptv	NO₂ pptv	HNO3 pptv	HNO₄ pptv	NO/ HNO ₃	OH pptv	HO ₂ pptv	dO3/dt ppbv/d
LPSS:	0	0	50	5.4	70	19	0.72	0.31	8.3	+0.94
standard 6	5.90	0	50	5.4	27	16	1.88	0.30	7.9	+0.90
	6.95	90	50	5.9	35	20	1.42	0.36	10.0	+1.15
	7.45	150	50	6.2	40	21	1.25	0.40	10.9	+1.24
CNV: no acetone	4.70	0	50	4.6	17	12	2.91	0.21	5.5	+0.61
	6.25	90	50	5.4	30	18	1.70	0.32	8.5	+0.96
	6.82	150	50	5.7	35	19	1.44	0.36	9.6	+1.08
CNV: 2 x NO	11.4	0	100	9.8	64	18	1.58	0.43	6.5	+1.40
	13.2	90	100	10.7	81	22	1.24	0.52	8.0	+1.78
	14.1	150	100	11.0	91	23	1.11	0.57	8.7	+1.95

Table 2. HO_x levels and NO_x/NO_y balance in Upper Troposphere (noontime mixing ratios).

Tropical atmosphere, equinoctial conditions at 14 km (156 hPa, 211 K, $H_2O = 42$ ppmv (80% RH), $O_3 = 60$ ppbv, $CH_4 = 1700$ ppbv, CO = 100 ppbv, $CH_3C(O)CH_3 = 300$ pptv, no aerosols, no PAN, no non-methane hydrocarbons other than acetone and methane oxidation products, overhead ozone column = 236 DU, surface albedo = 0.10). Photochemical box-model is a tropospheric version of Prather and Jaffe [1990; updated to JPL-94, DeMore et al., 1994] calculating diel cycles for O(³P), O(¹D), H, OH, HO₂, H₂O₂, CH₃, CH₃OO, CH₃OO, CH₃OO, CH₂OO, NO, NO₂, NO₃, N₂O₅, HNO₃, HO₂NO₂, and HONO, plus the average net photochemical tendency of ozone, dO₃/dt. Acetone photochemistry is taken from McKeen et al. [1997]. LPSS denotes local photochemical steady state (i.e., no convective "removal" of any species); CNV denotes convective turnover (removal) of species at 0.08 d⁻¹. The source of NO (S_{NO}, e.g., lightning, surface emissions) is chosen to maintain 50 or 100 pptv NO at noon. The HO₂ convective sources are 0 (none), 90 (pptv d⁻¹ CH₃OOH), or 150 (90 pptv d⁻¹ CH₃OOH + 45 pptv d⁻¹ H₂O₂ + 15 pptv d⁻¹ CH₂O). Additional cases without acetone and with twice the NO are included.

rapid, and local photochemistry is more active and less susceptible to convective turnover. The global importance of convective pumping of peroxides and formaldehyde must be integrated with a 3-D chemical transport model. Second, convective outflow from the top of cumulus towers will shear into laminae and may remain chemically isolated for days before mixing with the background atmosphere. It is possible that HO_y precursors may be more rapidly destroyed in these concentrated plumes; however, *Jaeglé et al.*, [1997] have shown that the elevated HO_x levels in these convective plumes will take a week or more to decay in the upper troposphere because of recycling within the HO_y family. Thus, the approximation here of the upper troposphere as a well mixed box may be a reasonable simulation of the mean state but, of course, is not adequate for comparison with observations.

How would this convective transport of HO_y change our predictions of tropospheric O₃ increases from aircraft and biomass burning? Convective transport of NO and HO_x precursors is necessary in tropospheric chemistry models. The added source of HO_x to the upper tropical troposphere makes it more likely that ozone production there is limited by the supply of NO_x [e.g., *Brasseur et al.*, 1996]. Through such transports, the upper troposphere is more photochemically active and plays a greater role in controlling ozone, an important, anthropogenically perturbed, greenhouse gas.

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