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# Analysis of accurate $^{13}\text{C}$ and $^{18}\text{O}$ isotope measurements of $\text{CO}_2$ in CARIBIC aircraft air samples from the tropical troposphere, and the upper troposphere/lowermost stratosphere

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## Abstract

The project CARIBIC (<http://caribic-atmospheric.com>) aims to study atmospheric chemistry and transport by regularly measuring many compounds in the free troposphere (FT) and the upper troposphere/lowermost stratosphere (UT/LMS) by using passenger aircraft. Here CO<sub>2</sub> concentrations and highly accurate isotope results are presented in detail together with supporting trace gas data. 509 CARIBIC-2 samples (highest precision and accuracy  $\delta^{13}\text{C}(\text{CO}_2)$  and  $\delta^{18}\text{O}(\text{CO}_2)$  data) from June 2007 until March 2009, together with CARIBIC-1 samples (flights between November 1999 and April 2002, 350 samples in total, 270 for NH, mostly  $\delta^{13}\text{C}(\text{CO}_2)$  data) give a fairly extensive, unique data set for the NH free troposphere and the UT/LMS region. To compare data from different years a de-trending is applied. In the UT/LMS region  $\delta^{13}\text{C}(\text{CO}_2)$ ,  $\delta^{18}\text{O}(\text{CO}_2)$  and CO<sub>2</sub> are found to correlate well with stratospheric tracers, in particular N<sub>2</sub>O. These correlations are in good agreement with current understanding of stratospheric circulation.  $\delta^{18}\text{O}(\text{CO}_2)$  appears to be a useful, hitherto unused, tracer of atmospheric transport in the UT/LMS region. By filtering out the LMS data (based on N<sub>2</sub>O distribution), the isotope variations for the free and upper troposphere are obtained. These show however little latitudinal gradient, if any, and are in good agreement with the data of selected NOAA stations in NH tropics. Correlations between  $\delta^{13}\text{C}(\text{CO}_2)$  and CO<sub>2</sub> are observed both within single flight(s) covering long distances and for certain seasons. The overall variability in de-trended  $\delta^{13}\text{C}(\text{CO}_2)$  and CO<sub>2</sub> for CARIBIC-1 and CARIBIC-2 are similar and basically agree with each other, which also underscores the high quality of measurement. Based on all correlations, we discuss that CO<sub>2</sub> distribution in the NH FT and UT (at CARIBIC flight routes) is regulated by uplift and pole-wards transport of tropical air up to approximately 50° N. The main reasons for variability of signals in FT and UT (which is larger for the high spatial resolution sampling during CARIBIC-2) is mixing of different tropospheric air masses affected by CO<sub>2</sub> sources and sinks. The effect of stratospheric flux appears to be limited. All in all it is demonstrated that CARIBIC produced new important and reliable data sets for little

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explored regions of the atmosphere. A logical next step will be global scale modeling of  $^{13}\text{C}$  and especially  $^{18}\text{O}$ , which is linked to the hydrological cycle.

## 1 Introduction

The global cycle of  $\text{CO}_2$  is of extraordinary complexity and importance. The atmospheric  $\text{CO}_2$  reservoir is coupled to those of the oceans, soils, and vegetation and is increasingly burdened by emissions from the combustion of fossil fuel, while at the same time global temperatures increase concomitant with profound changes in vegetation, soils and oceans. Since the extensive paper by Callendar (1938) that already dealt with several aspects of the  $\text{CO}_2$  cycle including climate effects, many more publications treat nearly all aspects of understanding all the complexities of the  $\text{CO}_2$  cycle in even greater detail.

Large numbers of observations of  $\text{CO}_2$  concentrations at land based stations and by using ship, aircraft and satellites are made with the goal to tackle the problem of sufficiently thoroughly understanding and quantifying the large fluxes between the atmosphere and the other reservoirs. The need for large numbers of measurements of atmospheric  $\text{CO}_2$  is exemplified by for instance the Carbon America Program (<http://www.nacarbon.org/nacp/>) that involves numerous projects with a vast increase in the number of in situ measurements also by using towers and aircraft to take vertical profiles. Besides concentration measurements, flux measurements are carried out, other trace gases are used as proxies of fossil fuel derived  $\text{CO}_2$  (Levin et al., 2008), the  $\text{O}_2/\text{N}_2$  ratio is measured (Bender et al., 2005), and isotope measurements are conducted. These comprise  $^{14}\text{CO}_2$  measurements (Levin and Karstens, 2007; Turnbull et al., 2006) and stable isotope measurements.

Source and sink processes are accompanied by stable isotope fractionation which induces isotope variations in atmospheric  $\text{CO}_2$ . Isotope measurement thus may give information about source and sink processes. The first measurements of atmospheric  $\text{CO}_2$  and  $^{13}\text{C}(\text{CO}_2)$  date from before 1960 (Keeling, 1961). The dominant signals con-

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tained in the major isotope ratios (i.e. disregarding  $^{17}\text{O}$  and clumped isotope signals) are that the  $^{13}\text{C}/^{12}\text{C}$  ratio is dominated by photosynthesis, respiration and burning whereas the  $^{18}\text{O}/^{16}\text{O}$  ratio is strongly affected by isotope exchange with water, predominantly leaf and soil water. For instance, the large carbon sink of the terrestrial biosphere in the Northern Hemisphere (NH) was confirmed by analyses of gradients in  $^{13}\text{C}(\text{CO}_2)$  (Ciais et al., 1995). For  $^{13}\text{C}(\text{CO}_2)$  even an “Isolandscape” is available (Bowen et al., 2009) constructed by smoothening and interpolation many such data (Dlugokencky et al., 1994; Masarie and Tans, 1995). A recent paper by Rayner et al. (2008) reports on inverse modeling using  $^{13}\text{C}(\text{CO}_2)$  and  $\text{CO}_2$  mixing ratios, and communicates that model improvements and large  $^{13}\text{C}$  data sets hold promise here. However,  $^{18}\text{O}$  data have not been generated and used to the same degree by far, and contain different, perhaps more convoluted information that, however, ought to be fully understood and may hold useful applications (Still et al, 2009).

When endeavoring to estimate  $\text{CO}_2$  fluxes and transport mixing with confidence, the number of atmospheric observations available worldwide appears still to be limited for crucial regions. Based on data of  $\text{CO}_2$  observational networks Patra and co-authors (Patra and Maksyutov, 2002; Patra et al., 2003) concluded on the need to extend the network by optimally located stations in continental South America, Africa and Asia. One of the contributions to help to close the gap is to use aircraft observation platforms (13th\_WMO/IAEA\_Meeting, Expert Group Recommendations). In fact, Bischof and Bolin already in 1966 reported (Bischof and Bolin, 1966) on aircraft based  $\text{CO}_2$  measurements.

CARIBIC (Civil Aircraft for the Regular Investigation of the atmosphere Based on an Instrument Container, www.caribic-atmospheric.com) uses a specially modified passenger aircraft that on a monthly basis conducts long distance measurement flights using an automated laboratory for real time measurements of trace gases and aerosol and even their sampling. Although CARIBIC basically is an atmospheric chemistry project,  $\text{CO}_2$  measurements are part of its large measurement package.  $\text{CO}_2$  is used as a tracer that helps to identify air masses, but in view of its great importance these

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measurements have their own weight to help to tackle the “CO<sub>2</sub> problem”.

CO<sub>2</sub> measurements in CARIBIC were and still are to a large degree based on the analysis of air samples, although an in situ analyzer for CO<sub>2</sub> is tested in CARIBIC 2. Having air samples available, it is a logical step to conduct stable isotope measurements. Why? First, the overall project represents a significant technological, logistical and scientific effort. As such, the optimization of the scientific payload and its use is essential. Second, to our knowledge there are no other large scale, high accuracy systematic CO<sub>2</sub> isotope measurements in the free troposphere and UT/LS. Conversely, it is also evident that air samples collected at large distances from sources and sinks mostly in background air require high quality analyses.

Therefore we measured, and here present and discuss in detail the results of accurate and precise CARIBIC CO<sub>2</sub> isotope analyses of a wide range of representative air masses in chiefly the Northern Hemisphere. To generalize this information and to organize the CARIBIC data set, a method is sought that groups the data according to air mass chemical composition and origin (meteorological regime). Because the use of isotopic information is rather sporadic and the type of platform not used on a large scale either, our account is more extensive than for more common topics. In the following we first give basic information about the CARIBIC platform, followed by details about the mixing and isotope ratio measurements and their quality. Second, we show how the time series spanning 1997–2008 can be de-trended after which we explain which air masses are sampled and, third, apply tracer-tracer correlations to demonstrate the effect of UT/LMS mixing by optimal usage of chemical stratospheric tracers. Fourth, we discuss the data of the free tropical troposphere and UT region followed by a comparison of the CARIBIC time series with the extensive data from NOAA-ESRL.

Finally, we briefly discuss the future data use in models and address aspects of sampling and model resolution as well as the quality of analytical data. CARIBIC-1 and CARIBIC-2 give a good example of different resolution approaches. High resolution sampling helps to study in details various atmospheric effects involved, while lower resolution may be more compatible with the resolution of models. Though the

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present data set is self-consistent, comparing and merging data produced in different laboratories is still a very critical issue.

## 2 Experimental

### 2.1 The CARIBIC observatory

5 CARIBIC (<http://caribic-atmospheric.com>) investigates atmospheric chemistry, transport and composition by measuring many compounds (long and shorter lived trace gases and aerosol) from regions on the globe reached from Europe using an automated laboratory aboard a passenger aircraft. The monthly repeated flights (presently 4 sequential long distance flights) over periods of years, covering large regions while  
10 measuring many species simultaneously provide data sets that are not otherwise available.

The flight tracks, dates and sampling locations are shown in Fig. 1. Nearly all information obtained is for cruise altitudes, i.e. between 9 and 12 km. (The lowest sampling altitude was  $\sim 7$  km.) From such altitudes little regular detailed isotope information is available. Each long distance flight covers a wide range of meteorological  
15 conditions, opposite to land-based stations. Cruising in the mid-latitude upper troposphere/lowermost stratosphere and the tropical troposphere means that sampling is remote from CO<sub>2</sub> sources and sinks. However, convection and the larger scale uplift of air masses in weather systems can at times deliver air with a certain surface air affected component at cruising altitude. To give a number,  $\sim 35\%$  of samples analyzed for 2007–2008 were from the UT-LMS at extra-tropical mid-latitudes. An inventory of air masses probed by CARIBIC-2, based on cluster analyses is given by Köppe  
20 et al. (2009). Schuck et al. (2009) present all CO<sub>2</sub> and other greenhouse gas data, whereas an overview for CARIBIC-1 is given by Zahn et al. (2002).

25 CARIBIC-1 operated from late 1997 until April 2002, using a Boeing 767 sampling on routes to and from the Maldives, Sri Lanka, Southern Africa, and the Caribbean.

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Here each month 12 large air samples of nominally ~340 L STP were taken during one flight leg (Brenninkmeijer et al., 1999). Each air sample represented a flight distance of ~250 km. An initial overview of CARIBIC-1 isotope data was given at 14th CO<sub>2</sub> experts meeting in Helsinki, 2007 (Assonov et al., 2007), whereas details of isotope measurements and calibration are published in Assonov et al. (2009b).

CARIBIC-2 started its operation early 2005 based on an Airbus A340-600 from Lufthansa Airlines equipped with a sophisticated air inlet system carrying a totally new container (1.5 ton) with a multitude of analyzers (Brenninkmeijer et al., 2007). Here 28 samples are taken during 2 of the 4 monthly flight legs using glass flasks. In this case of normal sample size, resolution is higher with each sample representing only ~15 km distance. Details of the sampling system and procedure are given by Schuck et al. (2009). Like in CARIBIC-1 both sampling and all (online) measurements during the flights are fully automated with air sampling being done at fixed time intervals fairly evenly spread along the flight track.

The sampling system, the number of samples, and the mass spectrometry for CARIBIC-2 are superior to that of CARIBIC-1, although even these data prove to be of high quality. Details of isotope measurements and calibration are published in Assonov et al. (2009a). CARIBIC-2, for April 2007 – March 2009 (which is the subset used for CO<sub>2</sub> isotope analyses), represents the latitudes 14 to 55° N covered by some flights to North America, but mostly the Philippines and India.

## 2.2 Concentration and isotope measurements

The CO<sub>2</sub> mixing ratios were obtained using gas chromatography with simultaneous measurement of CH<sub>4</sub>, N<sub>2</sub>O and SF<sub>6</sub>. The analytical procedure and performance for CARIBIC-2 are given in detail by Schuck et al. (2009). The precision and total combined uncertainty for CO<sub>2</sub> are about 0.15 and 0.20 ppm respectively. For CARIBIC-1 no account has been published. Based on the assessment of many years performance of the analytical instruments, we assign precision and total combined uncertainty of 0.20 and 0.25 ppm to the CARIBIC-1 CO<sub>2</sub> concentration measurements. CO<sub>2</sub> concentration

measurements are traced back to the WMO X2007 scale for CO<sub>2</sub>-in-air by using NOAA ESRL standards.

All isotope data are on the VPDB-CO<sub>2</sub> scale (linked to NBS-19-CO<sub>2</sub>) by using the <sup>17</sup>O correction after Assonov and Brenninkmeijer (2003) which is currently being officially recommended (13th\_WMO/IAEA\_Meeting; Brand et al., 2009). The NOAA-ESRL data produced using the <sup>17</sup>O correction by Alison et al. (1995), are corrected by us for the differences between the algorithms [Assonov – Allison] which can be approximated by

$$\Delta^{13}\text{C}(\text{CO}_2) = -[0.0031 \cdot \delta^{18}\text{O}(\text{CO}_2) + 0.030].$$

The CO<sub>2</sub> isotope analyses for CARIBIC-1 and CARIBIC-2 differ in many aspects, namely the aircraft sampling system, sample size, mass spectrometry and correction procedures; details are given by Assonov et al. (2009a, 2009b). CARIBIC-1 samples were analyzed at MPI-C, Mainz; CARIBIC-2 samples at JRC-IRMM, Belgium. In both cases proper calibration was confirmed by excellent agreement with NIST RMs CO<sub>2</sub> and Narcis-CO<sub>2</sub>. For CARIBIC-2, an inter-comparison with MPI-BGC demonstrated a small, consistent scale discrepancy in  $\delta^{13}\text{C}(\text{CO}_2)$  of  $-0.04\%$  (data obtained at IRMM and MPI-BGC use the Assonov' <sup>17</sup>O correction algorithm) and  $\delta^{18}\text{O}(\text{CO}_2)$  of  $-0.06\%$  (details are given by Assonov et al., 2009a). This is much less than the variability discussed in the present paper, and less than inter-laboratory scale discrepancies recently published (e.g. Levin et al., 2007). 28 samples from a flight in March 2009 we also analyzed at MPI-BGC by using the same method as we used at JRC-IRMM; the data obtained at MPI-BGC are corrected for the inter-laboratory scale discrepancy observed.

Typical total uncertainties of the CARIBIC-1 and CARIBIC-2 CO<sub>2</sub> data are given in Table 1. Though the uncertainty for our isotope data (propagated to the primary scale) exceeds the inter-laboratory comparability targets set at 0.01‰ for  $\delta^{13}\text{C}(\text{CO}_2)$  and 0.05‰ for  $\delta^{18}\text{O}(\text{CO}_2)$  (13th\_WMO/IAEA\_Meeting, Expert Group Recommendations), the values appear to be to one of the best achieved values to date.

Isotope exchange between CO<sub>2</sub> and traces of H<sub>2</sub>O is a known problem that leads

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to artifacts of more negative  $\delta^{18}\text{O}(\text{CO}_2)$  values. In CARIBIC-1 where stainless steel canisters of 20 liter at  $\sim 17$  bar were used the data showed the problem of exchange. This improved in time, but persisted for some cylinders. The CARIBIC-1 data used are filtered according to negative  $\delta^{18}\text{O}(\text{CO}_2)$  deviations (Assonov et al., 2009b). As the remaining  $\delta^{18}\text{O}(\text{CO}_2)$  results still might have been affected to a small but undefined degree, the CARIBIC-1  $\delta^{18}\text{O}(\text{CO}_2)$  are used qualitatively only.

In CARIBIC-2 2.7 liter glass flasks at  $\sim 4$  bar are used and no effects of  $^{18}\text{O}$  exchange between  $\text{CO}_2$  and  $\text{H}_2\text{O}$  were detected. Only two samples were suspect and their data rejected. Independent proof of absence of isotope exchange in glass flasks under aircraft conditions would require tests for which the means were not available. The frequency distribution of the values obtained, and the literature on the use of glass flasks given the fact that air at cruise altitude is very dry, render credibility to the assumption that no exchange in excess of measurement error has occurred. Moreover, several longer term storage tests showed only small  $\delta^{18}\text{O}(\text{CO}_2)$  shifts.

### 3 Observational data

#### 3.1 Overview of meteorology and trace gas measurements: Aspects specific for civil aircraft sampling with an overview of GHG data

CARIBIC data are gathered at different latitudes and longitudes within a narrow range of altitudes. One single flight covers a wide range of meteorological regimes such as mid-tropospheric air in the tropics or upper tropospheric air and lower stratospheric air in mid- and high-latitudes. The flight tracks are depicted in Fig. 1. The cruise altitude during a single flight usually increases with fuel burnt, and typically ranges from 9 to 12 km. The mean/typical pressure altitude for CARIBIC 1 (Boeing 767) was  $266 \pm 25$  hPa (Median and 1StDev). For CARIBIC -2 (Airbus A340-600) this was  $237 \pm 33$  hPa for the period considered. Most CARIBIC instruments operate only at pressure altitudes of 500 hPa or less (higher altitude) to avoid contamination of the

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sensitive analytical systems and thus little vertical profile information is available on this basis.

At mid-latitudes, flights always cross the tropopause and lowermost stratospheric air is frequently sampled. In such instances older air is probed implying that CO<sub>2</sub> mixing ratios are shifted backwards in time. At lower latitudes where the tropopause is higher, free sub-tropical and tropical air is encountered. We note that the return flights start initially at lower altitudes and reach over Europe deeper into the LMS. During the return flights meteorological conditions are usually similar to those of the outward bound flights, so that GHG and other profiles of forward and return flights nearly mimic each other. Relevant meteorological parameters (5 day back trajectories, potential vorticity cross sections along the flights etc.) for all CARIBIC flights are available at the KMNI web-site ([http://www.knmi.nl/samenw/campaign\\_support/CARIBIC/](http://www.knmi.nl/samenw/campaign_support/CARIBIC/)). An example of meteorological parameters, and chemical tracers by CARIBIC-1 is given in Zahn et al. (2002).

Many other trace gases are measured on the air samples, but here we discuss, next to CO<sub>2</sub>,  $\delta^{13}\text{C}(\text{CO}_2)$  and  $\delta^{18}\text{O}(\text{CO}_2)$ , where applicable, only other main greenhouse gases namely CH<sub>4</sub>, N<sub>2</sub>O and SF<sub>6</sub>. The 2 upper panels in Fig. 2 give the 4 scatter plots for CARIBIC-2 against O<sub>3</sub> for which the latter data from continuous recording were integrated over the sampling intervals. For the other greenhouse gases namely CO<sub>2</sub>, CH<sub>4</sub>, N<sub>2</sub>O and SF<sub>6</sub> one can discern mixing trends towards LMS air (high O<sub>3</sub>) with a large variability for UT and FT air masses (O<sub>3</sub> values typically below 100 ppb). For N<sub>2</sub>O tropospheric variability is lowest. For SF<sub>6</sub> the relative uncertainty is lowest, but the scatter for tropospheric samples is mostly due to the effect of its localized sources. CH<sub>4</sub> for that reason also shows tropospheric scatter, but otherwise shows a compact mixing line. CO<sub>2</sub> concentrations demonstrate the largest variability for UT and FT air masses mainly due to its seasonal cycle and its increasing trend. The variability propagates into the lowermost stratosphere while being continuously attenuated by ongoing mixing with LMS air.

Below we aim to demonstrate how CO<sub>2</sub> isotope data reflect the two dimensions of

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variability, namely in UT and FT air masses and in the mixing trend towards LMS air. We also show in Fig. 2 by using sampling interval integrated continuous CO values, the O<sub>3</sub> excess versus the chemical tropopause as defined by Zahn et al. (2004b) and N<sub>2</sub>O versus CO. For discriminating tropospheric and stratospheric samples one can use in principle physical tracers (e.g. PV values) or one of the chemical tracers N<sub>2</sub>O, SF<sub>6</sub>, CH<sub>4</sub> and O<sub>3</sub> (lower panels in Fig. 2). Later in the manuscript we will select the most suitable tracer for this purpose, namely N<sub>2</sub>O.

### 3.2 Data de-trending

For comparing the CARIBIC-1 and CARIBIC-2 CO<sub>2</sub> data which together cover 10 years, with a break of about 5 years, a de-trending is necessary in view of the trends in CO<sub>2</sub>, δ<sup>13</sup>C(CO<sub>2</sub>) and N<sub>2</sub>O. We base the de-trending factors (Table 2) on the NOAA flask data obtained for remote stations in the NH tropics. First, monthly means were used to obtain annual averages, upon which for CO<sub>2</sub> and N<sub>2</sub>O the average slopes of the linear fits are established. In this way all CARIBIC data are de-trended to 01/01/2007.

The de-trending procedure introduces errors which are manifest as deviations from the fit lines (Fig. 3). However, the linear fit for CO<sub>2</sub> captures nearly all of the variance over the years of the interest with deviations between -1 to 0.5 ppm. Therefore higher order fits (Masarie and Tans, 1995) are not applied.

If trends in CO<sub>2</sub> and δ<sup>13</sup>C(CO<sub>2</sub>) are caused by common processes, the δ<sup>13</sup>C(CO<sub>2</sub>) decrease must be consistent with the inferred CO<sub>2</sub> increase. Combination of the δ<sup>13</sup>C(CO<sub>2</sub>) trend (Fig. 3) and the CO<sub>2</sub> increase rate (Table 2) results in an annual δ<sup>13</sup>C(CO<sub>2</sub>) decrease rate. The trends for these remote stations agree well (for MLO and KUM the intercepts of -14.2 and -14.0‰; the trend for MID shows the same slope but some offset). Plotting δ<sup>13</sup>C(CO<sub>2</sub>) vs. year (not shown) gives basically the same slope but this cannot demonstrate a consistency between δ<sup>13</sup>C(CO<sub>2</sub>) and CO<sub>2</sub> increase rates.

Errors for the δ<sup>13</sup>C(CO<sub>2</sub>) de-trending are not easily quantified. First, the annual

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$\delta^{13}\text{C}(\text{CO}_2)$  decrease is nearly of the same magnitude as the long term analytical accuracy. Second, also variability of seasonal circulation patterns (e.g. discussed for  $\text{CO}_2$  at Mauna Loa by Lintner et al., 2006) causes variability in air mass composition and  $\text{CO}_2$  signals at stations. The first estimate of errors may be given by  $\delta^{13}\text{C}(\text{CO}_2)$  deviations relative to the linear fit which are mostly within 0.025‰, with one value deviating by about 0.05‰ (Fig. 3).

The linear fit for  $\text{N}_2\text{O}$  (Fig. 3) captures the change over the years of interest, with 2001 and 2002 showing higher increases, and 1999 a lesser increase. The mean slope of 0.76 ppb/y (Table 2, years 1998 to 2008) appears to agree with values obtained over 1994 to 2006 for several NOAA stations (a range from 0.76 to 0.85), with the global cosine-weighted average of 0.80 (Jiang et al., 2007). Deviations from the linear fit to the NOAA data do not exceed 0.5 ppb (Fig. 3). De-trended monthly means for the stations MLO, KUM, IZO, AZR show nearly identical distributions, with medians of 320.7 ppb and 1 St. Dev. of 0.3 ppb (Fig. 4, upper panel). The distributions are slightly skewed, possibly due to the anomalous increase of  $\text{N}_2\text{O}$  in 2000 and 2001 (Fig. 3, see also Jiang et al., 2007). Here, variability in air mass composition (e.g. Mauna Loa, Lintner et al., 2006) may also play a role. The distribution widths include both seasonal variations and errors introduced by data de-trending. The fact that several stations in the NH tropics have narrow and nearly identical distributions of  $\text{N}_2\text{O}$ , with maximal deviations from the median within 0.9 ppb (3- $\sigma$ ), implies that the  $\text{N}_2\text{O}$  distribution can be used to construct the filter applied to separate FT and UT air from the LMS air discussed in the following.

### 3.3 Use of tracers to distinguish LMS air masses from FT plus UT air masses

In order to analyse the results, the CARIBIC-1 and CARIBIC-2 data are separated in two pools representing (i) tropospheric air, i.e. FT plus UT air masses, and (ii) LMS air and air masses resulting from UT/LMS mixing processes. Because CARIBIC covers different latitudes, altitudes and seasons, and high resolution samples are taken,

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choosing an appropriate separation criterion is not trivial. Particularly the fact that CO<sub>2</sub> is a long lived tracer means that each sample typically contains a mixture of air masses of different history. Back-trajectories of 5 or 8 days as commonly used in CARIBIC chemical studies are not sufficiently informative, whereas prolonged back-tracking of air masses makes little sense in view of uncertainties in transport and mixing. Using modeled potential vorticity (PV) values demonstrates a large scatter (not plotted), with occasionally values of up to 5 PV for air masses which are considered to be tropospheric based on O<sub>3</sub> being below the chemical tropopause and high N<sub>2</sub>O. (Tropospheric air masses are typically considered to have PV from 0 to 2.5, whereas stratospheric air masses have higher values).

A common criterion for separating air masses is based on the aforementioned chemical tropopause. Whereas pure meteorological tropopause definitions (like PV) may not have the required resolution, the chemical tropopause is an operational concept based on gradients of contrasting tracers measured in situ. Using the stratospheric tracer O<sub>3</sub> and the contrasting tropospheric tracer CO (typically giving the characteristic L-shape mixing plots, cf. Fig. 2), Zahn et al. (2004b) introduced an ozone based chemical tropopause with a seasonally varying boundary level of O<sub>3</sub>. Different groups (Pan et al., 2004; Hoor et al., 2004, 2005) also demonstrated that use of chemical tracers and the chemical tropopause is truly informative to describe mixing of air masses of different origin in the UT/LMS region. The applicability of chemical tracers was even proven in case of double thermal tropopause occurrences in the extra-tropics (Pan et al., 2007).

For discrete UT/LMS events of CARIBIC-1 it was shown that  $\delta^{13}\text{C}(\text{CO}_2)$  correlated well with the O<sub>3</sub> excess vs. the chemical tropopause (Assonov et al., 2007). However, due to a limited data set, low sampling resolution and problems with flasks, the same was not shown for different seasons and  $\delta^{18}\text{O}(\text{CO}_2)$ . In particular, O<sub>3</sub> variability and seasonality in LMS may play a role. When aiming to construct a robust filter to separate LMS air masses for the whole data set, the use of O<sub>3</sub> needs to be compared with another suitable candidate, namely N<sub>2</sub>O. An obvious reason to consider N<sub>2</sub>O is that its

lifetime better matches that of  $\text{CO}_2$  than that of  $\text{O}_3$ . At the outset there are some disadvantages associated with the use of  $\text{O}_3$ . i) Stratospheric  $\text{O}_3$  has a seasonal variability due to production changes (e.g. Hegglin and Shepherd, 2007) whereas the long lifetime of  $\text{N}_2\text{O}$  results in a gradual destruction. Indeed,  $\text{N}_2\text{O}$  plotted vs.  $\text{O}_3$  for CARIBIC-2 (Fig. 2, upper panel) shows a clear variability of slopes at higher values; ii) Photochemical production and destruction of  $\text{O}_3$  in the troposphere (Zahn et al., 2002) leads to variability as well. This is visible in Fig. 2 (lower panel,  $\text{O}_3$  vs. CO and histogram) – the peak at  $\text{O}_3$  below the ozone tropopause level is not compact. Some samples having low  $\text{O}_3$  (accordingly classified as UT air) have also low  $\text{N}_2\text{O}$  (not plotted) and must actually be considered to be LMS air. Conversely, some samples with  $\text{O}_3$  in excess of the chemical tropopause level, also have high  $\text{N}_2\text{O}$ , and thus are definitely tropospheric.

In contrast to  $\text{O}_3$ ,  $\text{N}_2\text{O}$  demonstrates a compact and narrow peak at high  $\text{N}_2\text{O}$  (Fig. 2, lower panel) with tailing towards lower values corresponding to the LMS contribution. This as well as the compact distribution of  $\text{N}_2\text{O}$  for stations (Fig. 4) implies that a certain  $\text{N}_2\text{O}$  level may be used as a cut-off providing a robust filter for LMS and LMS-affected air masses. There are compelling reasons to use  $\text{N}_2\text{O}$ . i)  $\text{N}_2\text{O}$  has been successfully used to describe the UT/LMS mixing (Hoor et al., 2004), we cite: "... tropospheric  $\text{N}_2\text{O}$  is well mixed giving a rather constant tropospheric mean value... Its major sink is in the tropical stratosphere where it is destroyed via photolysis and reaction with  $\text{O}(^1\text{D})$ . The long local photochemical lifetime ... leads to much weaker  $\text{N}_2\text{O}$ -gradients at the tropopause than for  $\text{O}_3$ , but makes it ideal to trace stratospheric transport since  $\text{N}_2\text{O}$  is not affected by local photochemistry. ..."; ii)  $\text{CO}_2$  oxygen isotope changes in the stratosphere correlate better with  $\text{N}_2\text{O}$  than with  $\text{O}_3$  (Boering et al., 2004). These authors consider  $\text{N}_2\text{O}$  as tracer giving an effective reaction time for  $\text{CO}_2$  oxygen isotope changes; iii)  $\text{N}_2\text{O}$  data are obtained on the same air samples as used for  $\text{CO}_2$  isotope analysis which excludes any uncertainty related to integration of continuous ozone data over the sampling interval.

Despite  $\text{N}_2\text{O}$  offering advantages, its application has been limited for chiefly two reasons: (i) High precision  $\text{N}_2\text{O}$  measurements, being lab based using flask samples,

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are rare, whereas O<sub>3</sub> data are obtained routinely at high resolution; (ii) the ratio of O<sub>3</sub> variability to precision is about 500 (range 500 ppb, precision 1 ppb), whereas the ratio for N<sub>2</sub>O is only about 80 (range 25 ppb, precision 0.3 ppb).

When using N<sub>2</sub>O one has to decide on the appropriate cut-off level. The distribution for CARIBIC-2 (de-trended to 01/01/2007) has a distinct peak with the median at 321.3 ppb (Fig. 4, lower panel), CARIBIC-1 data show the same features. Although a cut-off of 320.0 ppb is selected arbitrarily, this is a safe approach - the distance [the peak median minus the cut-off level] being 1.3 ppb slightly exceeds both the half-width of the CARIBIC peak (Fig. 4, lower panel) and also the maximal seasonal variability of N<sub>2</sub>O in the NH tropics (3- $\sigma$  of 0.9 ppb, Fig. 4, upper panel).

Finally we note that we had to use for CARIBIC-1 a slightly higher N<sub>2</sub>O increase rate, actually 0.90 ppb/y instead of 0.76 ppb/y, to have the median in agreement with CARIBIC-2. Furthermore, the N<sub>2</sub>O peak median (FT and UT air) for CARIBIC-2 de-trended data (Fig. 4, lower panel) is higher than the medians ( $\sim$ 320.7 ppb) obtained for background NOAA stations in the NH tropics. This disagreement as well as the higher de-trending factor needed for CARIBIC-1 most likely relates to a small N<sub>2</sub>O scale inconsistency between NOAA and MPI-C Mainz. Addressing this problem is beyond the scope of our paper. (We note that the summer monsoon samples from June-September 2008 might have shifted the distribution to higher N<sub>2</sub>O, by 0.2 to 0.3 ppb.)

## 4 Discussion

### 4.1 CO<sub>2</sub> isotope data for LMS air masses

#### 4.1.1 Examples of flights that sampled LMS air masses

CARIBIC-2 flights (high resolution sampling) crossing LMS air masses have recorded detailed correlations for a range of trace gases (Fig. 5). Such events are well recorded by concomitant CO and O<sub>3</sub> values reflecting UT/LMS mixing (L-shape mixing plots), but

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also by lower  $\text{N}_2\text{O}$ ,  $\text{CH}_4$  and  $\text{SF}_6$  values. At times detailed and clear L-shape mixing plots (similar to the L-shaped plot of  $\text{O}_3$  vs.  $\text{CO}$  plots) are obtained for  $\text{CO}_2$ ,  $\delta^{13}\text{C}(\text{CO}_2)$  and for  $\delta^{18}\text{O}(\text{CO}_2)$ , (the right column in Fig. 5, data given vs.  $\text{N}_2\text{O}$  reversed scale) implying that UT/LMS mixing can be reflected by  $\text{CO}_2$  isotopes. Such correlations due to UT/LMS mixing have been observed for 14 out of 21 flights.

As pointed out, outward bound and corresponding return flights usually cross nearly the same stratospheric structures (folds, intrusions and filaments), resulting in nearly symmetrical PV and GHG profiles. In such cases the UT/LMS mixing lines for  $\text{CO}_2$ ,  $\delta^{13}\text{C}(\text{CO}_2)$  and for  $\delta^{18}\text{O}(\text{CO}_2)$  (or some of the signals) start from the same stratospheric end-member. A large variability in the composition of UT plus FT air masses over a single flight is often observed, implying a variety of air masses taking part in the LMS ventilation and/or the UT air masses mixed-in/transported directly to this region (being close to the stratospheric folds, intrusions and filaments).

By binning CARIBIC-2 flights that probed the UT/LMS in 4 seasons (Fig. 6, only latitudes above  $35^\circ\text{N}$  are plotted), one can observe a similarity of the stratosphere-enriched end-member's composition, with somewhat variable degree of this enrichment (lowest  $\text{N}_2\text{O}$  in different seasons is different), while the variability of the slopes of the mixing trend lines (the L-shape plots) is large. The latter strongly depends on the variability of UT component(s), while also a variable regime of LMS ventilation (e.g. Zahn et al., 2004a) plays a role. We also note that different stratospheric enrichment recorded in different seasons might also be due to variable thickness of the LMS mixing reservoir and variable altitude of the tropopause. (Flight corridors cover a limited range of altitudes.) The  $\text{CO}_2$  and  $\delta^{13}\text{C}(\text{CO}_2)$  plots appear to be nearly perfect mirror images, which is expected because  $\delta^{13}\text{C}(\text{CO}_2)$  vs.  $1/\text{CO}_2$  in the troposphere share source and sink processes.

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## 4.1.2 General picture of UT/LMS mixing

As CARIBIC-2 flight routes cover different regions (Fig. 1), we can conclude that CARIBIC has recorded rather general features of UT/LMS mixing in large parts of the NH. To demonstrate a more general picture of CO<sub>2</sub> isotope distribution in the UT/LMS region and similarity of the stratospheric component over different seasons (note, data coverage for some seasons is limited), we plot the data of all CARIBIC 1 + 2 flights crossing the UT/LMS (Fig. 7). On this plot we separate data for latitudes >35° N affected by UT/LMS mixing and latitudes <35° N which are not affected directly.

Triangle-shaped mixing areas are observed for CO<sub>2</sub>, δ<sup>13</sup>C(CO<sub>2</sub>) and δ<sup>18</sup>O(CO<sub>2</sub>), with CARIBIC-1 and CARIBIC-2 showing the same features. The triangles are formed by seasonally variable signals of UT air masses (Fig. 6). The largest variability of CO<sub>2</sub> and isotope signals is within a narrow range of (high) N<sub>2</sub>O values (Figs. 6, 7) which corresponds to FT and UT air masses. This is both due to seasonal variations and different degrees of mixing of air masses affected by sources and sinks and background air masses as discussed below. The variability in CO<sub>2</sub> and δ<sup>13</sup>C(CO<sub>2</sub>) demonstrated by CARIBIC-2 (high-resolution sampling) is larger than that of CARIBIC-1 whereas the general relationships are very similar, except for δ<sup>18</sup>O(CO<sub>2</sub>) (negative shifts due to exchange in canisters). This agreement exists despite different flight routes (Fig. 1) and different years of observation.

Towards the stratospheric end member (low N<sub>2</sub>O), the variability in all signals diminishes, apparently indicating a single end member mixing ratio (Fig. 7). (All data are de-trended to 01/01/2007). This reflects CO<sub>2</sub> signatures of ascending tropical air (examples are KUM, MLO and MID, Fig. 9, see below) that enters the stratosphere and returns at NH mid-latitudes with some δ<sup>18</sup>O(CO<sub>2</sub>) modifications. In fact, the back-flux of stratospheric air into the UT does not constitute a single component because it consists of a mixture of air masses having had different stratospheric residence times (age distribution) (Hall et al., 1999; Andrews et al., 2001; Engel et al., 2009) with a tailing towards older stratospheric air. The stratospheric circulation also attenuates the

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CO<sub>2</sub> seasonal cycle of ascending air by mixing during transport (Andrews et al., 2001; Strahan et al., 1998). The mean of the age distribution can be approximated by an apparent age, which is defined by decreases of tracers (such as N<sub>2</sub>O, CO<sub>2</sub> and SF<sub>6</sub>) vs. the signals measured in tropospheric air. The highest apparent SF<sub>6</sub> age for stratospheric samples of CARIBIC-1 is up to 2 years (not plotted). Given that the lowest N<sub>2</sub>O values for CARIBIC-1 are about the same as for CARIBIC-2 (Fig. 7), the apparent ages are to be the same.

The stratospheric flux at mid latitudes is first transported to an intermediate reservoir, namely the LMS as recognized by using CO and O<sub>3</sub> correlations (e.g. Zahn et al., 2004b; Hoor et al., 2004; Pan et al., 2004). This mixing reservoir has a variable ventilation regime, with contributions of stratospheric air, UT air and also tropical air masses and exhibits seasonality. There are numerous studies concerning the LMS ventilation (e.g. (Zahn et al., 2004a; Hoor et al., 2005; Pan et al., 2000; Stohl et al., 2003). The range of N<sub>2</sub>O between 295 and 320 ppb (Fig. 7) clearly reflects this complex mixing; the variability is indeed visible for different seasons (Fig. 6).

Next we consider the  $\delta^{18}\text{O}(\text{CO}_2)$  data. Whereas CO<sub>2</sub> and  $\delta^{13}\text{C}(\text{CO}_2)$  are inert tracers in the lower stratosphere,  $\delta^{17}\text{O}(\text{CO}_2)$  and  $\delta^{18}\text{O}(\text{CO}_2)$  are not. CO<sub>2</sub> does exchange oxygen isotopes with O<sub>3</sub> due to photochemical interaction via CO<sub>3</sub>, which results from excited O(<sup>1</sup>D) radicals reacting with CO<sub>2</sub>. The isotopic changes are more clearly correlated with N<sub>2</sub>O compared to O<sub>3</sub> (Boering et al., 2004), this is valid for N<sub>2</sub>O down to 150 ppb. Although the  $^{17}\text{O}(\text{CO}_2)$  increase is closely coupled with  $^{18}\text{O}(\text{CO}_2)$  (Lämmerzahl et al., 2002),  $\Delta^{17}\text{O}(\text{CO}_2)$  is more robust to analytical artifacts and thus better documented. Therefore, to estimate the stratospheric trend (Fig. 7, lower plots), we first use the  $\Delta^{17}\text{O}(\text{CO}_2)$ -N<sub>2</sub>O trend (Boering et al., 2004), and subsequently the  $\Delta^{17}\text{O}(\text{CO}_2)/\Delta^{18}\text{O}(\text{CO}_2)$ -ratio of 1.7 (Lämmerzahl et al., 2002). The  $\delta^{18}\text{O}$ -N<sub>2</sub>O ratio thus constructed characterizes the slope towards low N<sub>2</sub>O, taken as 150 ppb.

For fitting CARIBIC-2 observations, the starting point of the stratospheric  $\delta^{18}\text{O}$ -trend was selected to be  $\sim +0.5\%$ . Overall the CARIBIC-2 data fit the estimated  $\delta^{18}\text{O}(\text{CO}_2)$  trend well (Fig. 7), with negative deviations being expected due to mixing of air masses

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having been in contact with surface. Given that our calibration agrees with NOAA (agreement with NIST RMs and NARCIS CO<sub>2</sub> was demonstrated by Assonov et al., 2009a, b), the value of +0.5‰ corresponds to a significant contribution of equatorial/tropical air transported to the LMS mixing reservoir (the annual mean in NH tropics, e.g. at MLO over 2001 to 2007 gives +0.49‰). The tropical air contributes to the LMS region by air entering the stratosphere where it resides and certain traces age (also leading to <sup>18</sup>O modifications). The (direct) contribution of tropical air to the LMS mixing reservoir via complicated transport is discussed by START group members (e.g. Pan et al., 2009) and would correspond to data points being close to <sup>18</sup>O-trend.

Contribution of SH tropical air (which bears positive  $\delta^{18}\text{O}(\text{CO}_2)$  values, see Fig. 13) to the UT-LMS region in the NH can be excluded on meteorological grounds, and indeed there are only a few positive deviations above the  $\delta^{18}\text{O}(\text{CO}_2)$  trend given by the line on Fig. 7 (right panel, lower plot). The same is demonstrated by CARIBIC-1 showing more positive deviations vs the trend for SH-affected samples (note that positive values of CARIBIC-1 are reliable). Besides high  $\delta^{18}\text{O}(\text{CO}_2)$ , the FT air masses at low latitudes being affected by SH air have lower CO<sub>2</sub> and higher  $\delta^{13}\text{C}(\text{CO}_2)$ . These samples do not contribute to the mixing triangle area (Fig. 7) supporting the  $\delta^{18}\text{O}(\text{CO}_2)$  picture.

CARIBIC-2 demonstrates numerous deviations below the estimated <sup>18</sup>O-trend, thus causing the observed mixing triangle. There is a third component (or components), characterized by high N<sub>2</sub>O combined with  $\delta^{18}\text{O}(\text{CO}_2)$  values below 0.5‰, with variable, mostly low CO<sub>2</sub>. The largest number of samples (highest density of all the triangle areas) appears to have  $\delta^{18}\text{O}(\text{CO}_2) = 0.25\text{‰}$  and low CO<sub>2</sub> with  $\delta^{13}\text{C}(\text{CO}_2)$  values close to its highest values, around -8.2‰ on the de-trended scale (Fig. 7). At a first glance this may be interpreted as air masses taking part in the UT/LMS mixing, affected by the photosynthetic sink and having being in contact with continental surfaces, which results in lower  $\delta^{18}\text{O}(\text{CO}_2)$ . As candidates of transport we can list fast uplifted (up to 15 km altitude) plumes even crossing the tropopause (e.g. Rhee et al., 2005) as well as isentropic mixing/transport of UT air masses into the LMS (Zahn et al., 2004a).

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Clearly, the new  $\delta^{13}\text{C}(\text{CO}_2)$  and  $\delta^{18}\text{O}(\text{CO}_2)$  data appear to reflect air mixing in the free troposphere and UT/LMS region in a similar way as other tracers such as  $\text{CO}_2$ ,  $\text{N}_2\text{O}$  and  $\text{SF}_6$  do. The  $\text{CO}_2$  isotope signals in the UT/LMS mixing region resemble signals of tropical air that entered the stratosphere about 2 year prior, accompanied with systematic modifications of  $\delta^{18}\text{O}(\text{CO}_2)$ .  $\delta^{18}\text{O}(\text{CO}_2)$  appears to be principally a (new) tracer different from other long lived chemical tracers (such as  $\text{CO}_2$ ,  $\text{N}_2\text{O}$ ,  $\text{SF}_6$ ) and also different from  $\delta^{13}\text{C}(\text{CO}_2)$ . In the boundary layer  $\delta^{18}\text{O}(\text{CO}_2)$  has a seasonality and a clear latitudinal gradient. Moreover it has a gradient with lower values over the continent's interior (see below). Absent seems to be however a trend in time. Therefore the distribution of  $\delta^{18}\text{O}(\text{CO}_2)$  in the UT/LMS region can be used as independent information to validate descriptions of global transport and UT/LMS mixing in models. Presently the  $^{18}\text{O}(\text{CO}_2)$  "back flux" from the stratosphere is cited as one important unknown in models (Ciais et al., 2005), although proper isotope photochemistry in global circulation models certainly should be able to address this issue. The new data set provides a mean to validate future models. Finally we note that these systematic features illustrate the successful use of  $\text{N}_2\text{O}$  as a linear tracer of UT/LMS mixing for  $\text{CO}_2$ ,  $\delta^{13}\text{C}(\text{CO}_2)$  and  $\delta^{18}\text{O}(\text{CO}_2)$ . Similar plots using the  $\text{O}_3$  excess relative to the chemical tropopause level (not shown) show more scatter.

## 4.2 Variability in $\text{CO}_2$ and $\delta^{13}\text{C}(\text{CO}_2)$ for FT and UT air masses

### 4.2.1 Latitudinal distribution

For the analysis of tropospheric  $\text{CO}_2$  we use the CARIBIC-2 data set (latitudes between 14 and 55° N) because of 3 reasons, being (i) high-resolution sampling; (ii) the data are less affected by de-trending errors; (iii) high quality  $\delta^{18}\text{O}(\text{CO}_2)$  are available for all samples. LMS air masses have been filtered out using the  $\text{N}_2\text{O}$  data.

The de-trended  $\text{CO}_2$  data demonstrate a surprisingly small gradient over the latitude range 14 to 55° N (Fig. 8). Such was also noticed by analyses of gradients of  $\text{CO}_2$

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seasonality over NH latitudes (10 to 50 ° N, binned in 10° width Schuck et al., 2009). At the surface gradients are caused by especially the large vegetation cover at mid to high latitudes in NH, also resulting in pole-wards increased seasonality (see also surface plots by NOAA (Bowen et al., 2009), also the NOAA web-site). At altitude  
5 however, the outflow of the summer monsoon can play a role, be it with a restricted geographical footprint.

UT and FT  $\delta^{13}\text{C}(\text{CO}_2)$  does not demonstrate a latitudinal gradient, which is anticipated because of the lack of a clear gradient in  $\text{CO}_2$ . This is again in contrast to gradients for surface stations in the NH (plots by NOAA (Bowen et al., 2009), also the  
10 NOAA web-site). However the limited number of isotope data we have, precludes us making a detailed analysis as done for the  $\text{CO}_2$  latitudinal gradient (Schuck et al., 2009) and monsoonal outflow (Schuck et al., 2010).  $\delta^{18}\text{O}(\text{CO}_2)$  does not show a gradient either meaning that influx of the photochemically driven modification of  $\text{CO}_2$  is diluted and too small to have an effect for UT air masses. (Note that LMS air may penetrate  
15 deeply in the troposphere, here we do not aim to evaluate total UT/LMS budget). Some lower  $\delta^{18}\text{O}(\text{CO}_2)$  values at 20 to 30° N and, and to a lesser degree at ~50° N indicate fresh plumes that had undergone surface contact in summer (discussed below). A few elevated values for both  $\delta^{13}\text{C}(\text{CO}_2)$  and  $\delta^{18}\text{O}(\text{CO}_2)$  in the SH and close to the equator can be understood as the  $\text{CO}_2$  cycle in the SH differs from that in the NH with high  
20  $\delta^{18}\text{O}(\text{CO}_2)$  being typical for SH air. The small CARIBIC-1 data set for the SH is also given in Fig. 8 to exemplify typically high SH  $\delta^{18}\text{O}(\text{CO}_2)$  values.

Concerning  $\text{N}_2\text{O}$  the situation is different as it has distinctly lower mixing ratios at high NH latitudes, which is due to the LMS influx of air with lower  $\text{N}_2\text{O}$  mixing ratios (discussed in Sect. 4.2.2). In contrast to  $\text{CO}_2$ ,  $\text{N}_2\text{O}$  seasonality is small and observed variations are mostly due to different air masses crossed, implying this small gradient to be real. Some positive deviations above the main  $\text{N}_2\text{O}$  cluster are due to fresh plumes whereas negative ones may indicate the presence of LMS-affected samples not effectively filtered with  $\text{N}_2\text{O} = 320$  ppb. As stratospheric back flux does take place at these latitudes, such air masses do play a role in a total balance.

Methane (not shown) has a more or less uniform distribution, with high values at about 20 to 30° N due to monsoon plumes (Schuck et al., 2010). The SF<sub>6</sub> data (not shown) show some scatter due to inhomogeneous distributing of sources located in the NH.

Recapitulating, pertinent features of the latitudinal distributions are: (i) the absence of gradients in CO<sub>2</sub>, δ<sup>13</sup>C(CO<sub>2</sub>) and δ<sup>18</sup>O(CO<sub>2</sub>) over latitudes of 14 and 55° N. This is in contrast to the clear latitudinal gradient demonstrated by the NOAA NH surface stations accompanied by increased seasonality (see Fig. 13, see also surface plots by NOAA (Bowen et al., 2009), also the NOAA web-site); (ii) the gradient for N<sub>2</sub>O, with high latitude values lower by ~0.5 ppb.

#### 4.2.2 Effect of LMS CO<sub>2</sub> on the isotopic composition in the FT and UT

The next issue to address is the effect of the stratosphere-troposphere flux on UT air masses. It has been shown (Nevison et al., 2004, 2007) that the stratospheric influence in the NH significantly contributes to seasonal and inter-annual variations of N<sub>2</sub>O and CFC gases with long life times having a strong stratospheric sink. These conclusions are based on surface data, thus an effect at flight altitudes is certainly expected. Although we do not intend to evaluate the total N<sub>2</sub>O balance (the LMS-enriched samples are filtered out), one can give some estimation for the dilution brought about by the LMS influx. The N<sub>2</sub>O latitudinal gradient (Fig. 8), namely lower N<sub>2</sub>O at high NH latitudes implies a contribution of diluted stratospheric air to UT air. We estimate this contribution to be ~2% (latitude gradient of 0.5 ppb and N<sub>2</sub>O range in LMS of 25 ppb).

By using the range of CO<sub>2</sub> signals observed over the UT/LMS mixing regime (Fig. 7), the above estimate may be translated for the CO<sub>2</sub> isotope budget. The 2% influence means up to 0.01‰ of unresolved shifts in δ<sup>18</sup>O(CO<sub>2</sub>), which is well below analytical uncertainty. The effect on δ<sup>13</sup>C(CO<sub>2</sub>) is even lower, within 0.005‰, and cannot be resolved. Because we have no <sup>17</sup>O determination for CO<sub>2</sub>, the unavoidable δ<sup>13</sup>C(CO<sub>2</sub>) analytical artifact/bias arising from stratospheric <sup>17</sup>O(CO<sub>2</sub>) enrichment is about 0.04‰.

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for the most enriched samples ( $\text{N}_2\text{O}$  about 295 ppb) and is diluted to merely 0.001% for the 2% influenced UT-samples. Though these estimations are crude, they show that the stratosphere back flux at high latitudes has negligible effects on  $^{13}\text{C}$  and  $^{18}\text{O}$  isotope signals in the FT and UT.

#### 4.2.3 Comparison of UT and FT $\text{CO}_2$ isotope data with those from tropical NOAA stations and aircraft

Figure 9 gives the seasonal cycles for free and upper tropospheric  $\text{CO}_2$ ,  $\delta^{13}\text{C}(\text{CO}_2)$  and  $\delta^{18}\text{O}(\text{CO}_2)$  as time series with the CARIBIC data binned in three latitude bands. (The 0 to  $20^\circ\text{N}$  band of CARIBIC-2 covers 14 to  $20^\circ\text{N}$ .) CARIBIC  $\text{CO}_2$  and  $\delta^{13}\text{C}(\text{CO}_2)$  data agree well with those from the selected representative stations the NH tropics (MLO, KUM and IZO) and capture the amplitudes and the seasonality. NOAA stations located at higher latitudes and/or on continents show much larger seasonal variability (MHD is shown as example). Though a certain phase shift between  $\text{CO}_2$  data of (marine) boundary layer (selected stations) and signals in FT and UT at the flight altitude can be expected, these aspects are not addressed in this manuscript.

CARIBIC-1 and specifically CARIBIC-2 demonstrate a larger spread of values in each latitude band than results from the aircraft system CONTRAIL (CONTRAIL, 2009) and tropical stations. There may be two separate reasons. For the stations, besides being representative for more homogeneous air masses over the Atlantic, monthly mean values are given. Though CONTRAIL data are based on spot sampling, this project sampled air masses over the Pacific that may have been more homogeneous. CARIBIC sampled air over oceans and continents. Clearly CARIBIC does not demonstrate the strong seasonal amplitudes typical for the NH stations directly affected by continental air masses. Even Mace Head (Fig. 9) which has a limited direct impact of continental air masses compared to truly continental NH stations, demonstrates a much larger seasonal amplitude than CARIBIC.

Regardless the fact that  $\delta^{18}\text{O}(\text{CO}_2)$  is governed by additional processes compared

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to CO<sub>2</sub> and  $\delta^{13}\text{C}(\text{CO}_2)$ , the similarity between CO<sub>2</sub> and  $\delta^{13}\text{C}(\text{CO}_2)$  of CARIBIC and tropical stations implies the same to be expected for  $\delta^{18}\text{O}(\text{CO}_2)$ . We repeat that  $\delta^{18}\text{O}(\text{CO}_2)$  data of CARIBIC-1 demonstrating a large scatter, with variable negative shifts due to CO<sub>2</sub>-water exchange in canisters (Assonov et al., 2009b), are used qualitative only. A few CARIBIC-1 samples exhibit  $\delta^{18}\text{O}(\text{CO}_2)$  values above the trend of the tropical stations. These samples apparently contain SH air where  $\delta^{18}\text{O}(\text{CO}_2)$  values are typically higher than in the NH (Fig. 13, also see below).

The CARIBIC-2  $\delta^{18}\text{O}(\text{CO}_2)$  values mostly agree with those from tropical stations, although some systematic, mostly negative, deviations occur (Fig. 9). They occur chiefly at latitudes of 14 to 30° N (Fig. 8) (some negative deviations occur also at 40 to 50° N). The deviations in autumn-2008 mainly correspond to monsoon outflow crossed during flights to India. Negative deviations arise from air masses that had been in contact with the surface of continents where intensive <sup>18</sup>O exchange with soil and leaf water takes place (Ciais et al., 1997). Such CARIBIC-2 signals are similar to (but more positive than) the data of Mace Head, a station affected both by marine and continental air. With Mace Head being at mid latitudes,  $\delta^{18}\text{O}$  values of precipitation and soil water are lower than in the tropics. Positive  $\delta^{18}\text{O}(\text{CO}_2)$  values of CARIBIC-2 (years 2008 and 2009) of up to 1.0‰ correspond to samples containing SH air which bears more positive  $\delta^{18}\text{O}(\text{CO}_2)$  values (see also Fig. 13) due to the much smaller land cover. Positive values were also observed by CARIBIC-1 close to the equator and in the SH (Fig. 8).

#### 4.2.4 Carbon cycle and isotope signals

To better understand signals observed by CARIBIC, we briefly summarize the carbon cycle. In the troposphere CO<sub>2</sub> concentration and  $\delta^{13}\text{C}(\text{CO}_2)$  reflect the variability, both in time and space, of CO<sub>2</sub> sources and sinks (respiration, photosynthesis, ocean uptake, fossil fuel and biomass burning). As source and sink processes cause isotope fractionation, variations in CO<sub>2</sub> and  $\delta^{13}\text{C}(\text{CO}_2)$  are closely linked and largely in anti-phase. Photosynthesis produces biomass depleted in <sup>13</sup>C with remaining air CO<sub>2</sub>

becoming enriched (e.g. Bowling et al., 2008).

One can presume that respiration, and combustion of fossil fuel and biomass accumulated by photosynthesis will tend to bring air  $\delta^{13}\text{C}(\text{CO}_2)$  back to initial values. This is only partly true because of a disequilibrium effect – recently formed biomass is linked (by overall photosynthesis fractionation) to modern air  $\delta^{13}\text{C}(\text{CO}_2)$  (around -8.3‰), whereas part of respiration and all combustion releases carbon accumulated in the past when  $\delta^{13}\text{C}(\text{CO}_2)$  was higher by up to about 2‰ (Francey et al., 1999).

Anthropogenic effects on the  $\text{CO}_2$  cycle include fossil fuel burning, increased biomass burning, change of land use, deforestation, erosion, cement production etc. Fossil fuel carbon is characterized by negative  $\delta^{13}\text{C}(\text{CO}_2)$ , e.g. around -24‰ for coal, oil from -30 to -26‰, combustion of natural gas mix (biogenic and thermogenic methane) of  $\sim$ -44‰ (e.g. Ciais et al., 1995 and references therein). On the average fossil fuel has a  $\delta^{13}\text{C}(\text{CO}_2)$  value of about -28‰, being close to an overall old biomass signature.

The gross ocean fluxes exceed the net uptake many times. Ocean uptake has a disequilibrium effect of the same nature as outlined above for photosynthesis – the dissolved  $\text{CO}_2$  pool has been in equilibrium with the atmosphere for a long time, when atmospheric  $\delta^{13}\text{C}(\text{CO}_2)$  was higher. Thus the exchange back-flux from the ocean returns  $\text{CO}_2$  with  $\delta^{13}\text{C}(\text{CO}_2)$  values higher than the value of the modern  $\text{CO}_2$  uptake (e.g. Quay et al., 2003).

The important  $\text{CO}_2$  sources and sinks of different  $\delta^{13}\text{C}(\text{CO}_2)$  signatures can be traced by using Keeling plots, which are based on the assumption of the admixture of air with  $\text{CO}_2$  affected by source and sink processes to background air e.g. (Pataki et al., 2003; Miller et al., 2003). As sources and sinks are unequally distributed over the globe and have different seasonality the intercept values on Keeling plot are variable.

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#### 4.2.5 Variability in CO<sub>2</sub> and $\delta^{13}\text{C}(\text{CO}_2)$ of FT and UT air masses

Despite the long distances covered during a single CARIBIC flight (up to 8000 km), good, at times excellent, correlations between  $\delta^{13}\text{C}(\text{CO}_2)$  and CO<sub>2</sub> are evident for many flights (Fig. 10, upper panel). As best example we give the flight Frankfurt-Toronto-Frankfurt on 17–18 September 2007 with sampling latitudes from 43 to 53° N and 8 day back trajectories reaching from 20 to 70° N. After filtering out the LMS contribution using N<sub>2</sub>O as elucidated before, GHG and other tracers confirm that we are dealing with pure FT and UT air masses. These tropospheric air masses were nevertheless of variable origin and history and for instance CH<sub>4</sub> showed considerable variability. However,  $\delta^{13}\text{C}(\text{CO}_2)$  correlates extremely well with CO<sub>2</sub> over the 8000 km flight route. The isotope data reveal this behavior for <sup>13</sup>C within a total range of merely ~0.1‰ thanks to their high precision. This snapshot of a single flight demonstrates large scale similarities of source and sink processes.

We emphasize that the compact correlations during single flights reflect behavior for air masses during specific seasons. It is clear that the relationship changes during the seasons (Fig. 10, lower panel). Winter and summer correlations demonstrate statistically different intercept values (from –29 to –24‰, Fig. 10, lower panel) due to the variable balance of CO<sub>2</sub> sources and sinks for different seasons.

Although a similarity between CO<sub>2</sub> and  $\delta^{13}\text{C}(\text{CO}_2)$  for the CARIBIC time series and data for NH tropical stations (Fig. 9, see above) is observed, the variability of CO<sub>2</sub> and  $\delta^{13}\text{C}(\text{CO}_2)$ , even during a single flight, is large. The reasons for this can be explored by using Keeling plots. When  $\delta^{13}\text{C}(\text{CO}_2)$  data of CARIBIC-1 (only lat >14° N) and CARIBIC-2 data are plotted vs. the inverse of the CO<sub>2</sub> mixing ratio (Fig. 11), nearly all CARIBIC samples are within the amplitude range demonstrated by tropical stations (plotted are data for KUM). The shift between CARIBIC-1 and CARIBIC-2 data clusters agrees with the global trend demonstrated by background/remote stations MLO and KUM. The intercept of the stations' trend (the value of ~–14‰, see Sect. 3.2), mainly characterizes the global CO<sub>2</sub> trend.

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Only few CARIBIC data points reach beyond the range of MLO and KUM (Fig. 11). Low values indicate more pronounced effects from respiration, fossil fuel and biomass burning. High  $\delta^{13}\text{C}(\text{CO}_2)$  values are indicative for a large impact of photosynthesis (contributions of SH air cannot be excluded either). The amplitude of variations for CARIBIC is, as expected, much less than that for the stations affected by continental air masses, e.g. MHD.

The CARIBIC clusters appear to demonstrate a fine structure with the variability in  $\delta^{13}\text{C}(\text{CO}_2)$  and  $\text{CO}_2$  being closely correlated. The slope is similar to that of the annual cycle at any NH station with pronounced seasonality, e.g. at MHD (Fig. 11). Trends observed over particular flights and also over seasons (Fig. 10) are already within this structure; on this plot (data not de-trended) the variability of seasonal slopes is practically indistinguishable. Thus, along the seasonal variability demonstrated by stationary stations in NH tropics, another important reason for correlated variability in  $\delta^{13}\text{C}(\text{CO}_2)$  and  $\text{CO}_2$  detected by the aircraft platform is the variability in FT and UT air masses crossed. The fact that variability for high resolution sampling is much larger (see Fig. 9) confirms this. One reason for pronounced variability is that at times fresh plumes are intersected. For instance flights 186 to 189 crossed biomass burning plumes over China (Lai et al., 2010). The data demonstrate some correlations between increases in CO and  $\text{CO}_2$  and negative shifts in  $\delta^{13}\text{C}(\text{CO}_2)$ . Monsoon plumes were also crossed which were identified by increases in methane and some (negative)  $\delta^{18}\text{O}(\text{CO}_2)$  shifts, without clear effects for  $\delta^{13}\text{C}(\text{CO}_2)$ .

We interpret the correlated variability in  $\delta^{13}\text{C}(\text{CO}_2)$  and  $\text{CO}_2$  (Fig. 12) as result of mixing of masses affected to different degrees by seasonally varying sources and sinks with well-mixed background air masses. In first approximation, the overall effect of all major (global) sources and sinks result in the same slope of isotope fractionation. Thus correlations in  $\delta^{13}\text{C}(\text{CO}_2)$  and  $\text{CO}_2$  in FT and UT air over a hemisphere are rather a rule than exception and reflect the global  $\text{CO}_2$  cycle in the NH. The figure shows compact correlations for the de-trended CARIBIC-1 and CARIBIC-2 data sets for all seasons. The two data sets cover basically the same range of values, with nearly

identical slopes and intercepts. Most obvious deviations due to SH air admixture (as inferred by positive deviations in  $\delta^{18}\text{O}(\text{CO}_2)$ ) have been filtered out. As we have no robust chemical tracer for SH air, some outliers due to SH air cannot be excluded. Obviously, the deviations from the fit lines exceed deviations observed for particular seasonal trends as the year-around variability includes several seasonal effects which give variable trends (intercepts from  $-29$  to  $-24\%$ , Fig. 10).

All in all, the variability of signals is both due to mixing of different air masses affected by sources and sinks (the matter of atmospheric transport) and the seasonal variability of sources and sinks in the NH. On top of this there is the variability due to UT/LMS mixing; the latter is well recognized by using stratospheric tracers. We note that the use of isotopes directly reveals the causes for  $\text{CO}_2$  variability. Without isotopes, one may imply rather a similarity of air masses in the FT and UT or data scatter (Schuck et al., 2009). However explaining/describing  $\text{CO}_2$  and isotope signals of the FT and UT region in detail is not trivial and will require advanced coupled biosphere-ocean-atmosphere models.

#### 4.2.6 Variability in tropospheric $\delta^{18}\text{O}(\text{CO}_2)$

Of overriding importance for  $\delta^{18}\text{O}(\text{CO}_2)$  and its variations is  $^{18}\text{O}$  exchange with water (leaf, soil, and ocean water) via bicarbonate formation. The isotope change depends directly on the  $\delta^{18}\text{O}(\text{H}_2\text{O})$  value while the fractionation constant possesses a strong temperature dependence (Brenninkmeijer et al., 1983). The variations in  $\delta^{18}\text{O}(\text{CO}_2)$  cannot be detected by the Keeling plot technique, which is based on the assumption of mixing. Only combustion acts as a source in that sense. However fossil fuel and biomass burning combustion constitute a small flux compared to the gross  $\text{CO}_2$  fluxes whereby  $\text{CO}_2$  undergoes  $^{18}\text{O}$  exchange. Consequently,  $\delta^{18}\text{O}(\text{CO}_2)$  is a specific tracer of gross  $\text{CO}_2$  fluxes. Accurate measurements of  $\delta^{18}\text{O}(\text{CO}_2)$  on a large scale started only years ago and not much data interpretation is available; understanding ecosystem-atmosphere exchange processes is underway, e.g. (Still et al., 2009). We also reiterate

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that  $\delta^{18}\text{O}(\text{CO}_2)$  is a tracer of air transport and mixing as we demonstrated for the UT/LMS region.

The similarity between  $\delta^{13}\text{C}(\text{CO}_2)$  and  $\text{CO}_2$  of CARIBIC and the data of representative stations in the NH tropical boundary layer implies the same similarity to be expected for  $\delta^{18}\text{O}(\text{CO}_2)$ . At a first glance (Fig. 9),  $\delta^{18}\text{O}(\text{CO}_2)$  of CARIBIC-1 and CARIBIC-2 demonstrates a scatter, with many negative deviations versus the tropical stations' trend. When plotting  $\delta^{18}\text{O}(\text{CO}_2)$  versus  $\text{CO}_2$ , no structure is discernable (plot not given). The year 2008 demonstrates a larger variability than 2007, due to different routes and the Indian summer monsoon.

The NOAA data help understanding characteristics of the  $\delta^{18}\text{O}(\text{CO}_2)$  patterns. First, the amplitude of the  $\delta^{18}\text{O}(\text{CO}_2)$  seasonal cycle systematically increases from the SH to high NH latitudes whereas the annual means decrease (Fig. 13, upper panel). Besides this SH-NH gradient due to the NH land masses, there also are significant gradients across continents. The actual  $\delta^{18}\text{O}(\text{CO}_2)$  values depend on  $\delta^{18}\text{O}$  of precipitation, temperature, evaporation and evapotranspiration (see e.g. plots in Ciais et al., 1997). The largest  $\delta^{18}\text{O}(\text{CO}_2)$  seasonal cycle in the NH can be best illustrated by the gradient between MLO and Barrow data (Fig. 13, upper panel).

As the exchange with water vapor in air is negligible and  $\delta^{18}\text{O}(\text{CO}_2)$  is only affected by dilution with background air, the largest  $\delta^{18}\text{O}(\text{CO}_2)$  variability can be expected in fresh plumes. Indeed, the most prominent negative  $\delta^{18}\text{O}(\text{CO}_2)$  shifts are in autumn 2008 (Fig. 9) for the flights to India and China in 2008 which crossed large plumes of surface air (August to December).

Besides negative deviations from the trend of NH tropic stations, there are some positive deviations. The highest  $\delta^{18}\text{O}(\text{CO}_2)$  values are around +0.9‰ in November–December 2008 at about 20° N (Fig. 9) which are expected to have been due to significant contributions of SH air with high  $\delta^{18}\text{O}(\text{CO}_2)$  values (Fig. 13). In fact high values (around +1.0‰) were also recorded by samples taken close to equator and in SH (African flights) by CARIBIC-1 (3 March 2000) and CARIBIC-2 (10 to 12 March 2009) (Fig. 8).

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### 4.3 Signals recorded by CARIBIC in the FT and UT and global atmospheric circulation

Next we revisit the latitudinal distribution of CO<sub>2</sub> (Fig. 8). To understand the latitudinal distribution of the CONTRAIL aircraft CO<sub>2</sub> data (Matsueda et al., 2002, 2008) obtained at similar flight altitudes, Miyazaki et al. (2008, 2009) applied a global atmospheric transport model. They concluded, we cite (Miyazaki et al., 2009): “In the NH subtropical upper troposphere, the formation of the latitudinal CO<sub>2</sub> gradient is mostly attributable to the upward and poleward (adiabatic) transports of CO<sub>2</sub>. . .” Based on their model results, the CO<sub>2</sub> concentration gradient at flight altitudes of 300 to 200 hPa is very limited or, in some months, negligible. That is basically in agreement with the similarity of the range of CO<sub>2</sub> and isotope signals over the corresponding NH latitudes observed by CARIBIC (Fig. 8).

The strongest gradient in the CO<sub>2</sub> latitudinal distribution at flight altitudes appears in summer, at latitudes 45 to 75° N (Fig. 5 in (Miyazaki et al., 2008) and also Fig. 3 in (Miyazaki et al., 2009). These latitudes are expected to have lower UT CO<sub>2</sub> due to uplift of strongly depleted continental air in summer. Though the model of (Miyazaki et al., 2008, 2009) does not include the stratospheric flux at mid-latitudes, the effect on concentrations (not directly in UT/LMS structures) cannot be large, about 2% of the maximal LMS/UT variability (Sect. 4.2.2) which is translated to up to some 0.2 ppm. The model results by (Shia et al., 2006) show that cross-tropopause exchange is pronounced in certain seasons, but the results do not allow to evaluate this contribution correctly. A recent study by (Boenisch et al., 2008) aimed to model CO<sub>2</sub> and SF<sub>6</sub> in the extratropical UT/LS, including STE flux, has demonstrated little gradient at the CARIBIC flight altitudes in the NH latitudes (14 to 55° N), also with an increased gradient in summer.

At last, based on de-trended data, we evaluate the seasonal cycle of  $\delta^{13}\text{C}(\text{CO}_2)$  and CO<sub>2</sub> in the FT and UT. CARIBIC-1 and CARIBIC-2 data demonstrate basically the same seasonality and amplitude (Fig. 14, our final figure, left panel). This agreement

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shows the data to be representative and to be of high quality. Noting that CARIBIC-1 and CARIBIC-2 have different flight routes, that measurements were performed by different sampling and extraction systems, in two different labs, with a time lag of 5 years give confidence that isotope data of required precision and accuracy can be obtained.

After filtering out data of fresh plumes (by total H<sub>2</sub>O above 2000 ppb and CO above 125 ppb, only a few data points), the FT plus UT data are in line with the phase and the range of values at the NOAA stations in the NH tropics (Fig. 14, right panel). As CARIBIC is a moving platform, it demonstrates higher variability than selected tropical stations sampling only representative air masses. The variability of FT +UT signals at flight altitudes is due to mixing of air masses affected by sources and sinks with background air; the effect of UT/LMS mixing is limited. Averaged values observed by CARIBIC-2 and presented by using the box plot (Fig. 14, right panel) can in first instance be considered as monthly values of background air in FT and UT. The agreement with the data of NOAA stations in NH tropics supports the hypothesis of uplift and transport of tropical air.

Overall we conclude that general features demonstrated by CO<sub>2</sub> and its isotope signals of CARIBIC appear to agree with expectations based on general atmospheric circulation. However at the moment there are few models which implement all details of global circulation, and adequately describe CO<sub>2</sub> sources and sinks, etc.

#### 4.4 Variability of CO<sub>2</sub> signals and analytical errors – where is the optimal resolution?

At cruise altitudes, the variability detected in FT and UT air masses (de-trended data) is about 10 ppm for CO<sub>2</sub> and 0.4‰ for δ<sup>13</sup>C(CO<sub>2</sub>). Given that total combined uncertainty we have reached are respectively 0.2 ppm and 0.02‰ (1-σ values, that is, a 20 ppm variation in the ~1.1% <sup>13</sup>C in carbon), this translates into 2% and 5% relative variability. This is a rather reasonable balance between signals and errors. The correlations observed between CO<sub>2</sub> and δ<sup>13</sup>C(CO<sub>2</sub>) (e.g. Fig. 10) imply that at the moment actual

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analytical errors in CO<sub>2</sub> and  $\delta^{13}\text{C}(\text{CO}_2)$  (at the level of our laboratory performance) are rather well balanced.

We stress that for meaningful use of such data in models, data merging from different laboratories is critical. The only inter-laboratory comparison performed was with MPI-BGC, Jena, during which the discrepancies of 0.04 and 0.07‰ for  $\delta^{13}\text{C}(\text{CO}_2)$  and  $\delta^{18}\text{O}(\text{CO}_2)$  were documented (Assonov et al., 2009a). Although this exceeds the 1-sigma errors evaluated by the two labs and exceeds the  $\delta^{13}\text{C}(\text{CO}_2)$  data comparability target of merging data from different laboratories (13th\_WMO/IAEA\_Meeting, Expert Group Recommendations), inter-laboratory scale discrepancies observed by round robins among other labs are unfortunately much larger (Levin et al., 2007). Importantly, the offset between MPI-BGC and NOAA being documented is limited and stable in time, permitting to reconstruct a (possible) offset between the NOAA scale realization and that of CARIBIC.

#### 4.5 Future use of data, optimal sampling resolution and other aspects

When one intends to obtain representative information on the global CO<sub>2</sub> cycle by using limited capabilities, optimizing sampling strategy is needed. In our case, optimal flight frequency, the distance covered by a single sample, and the sampling frequency need consideration. On the one hand, sampling at low resolution, similar to that of most models is logical. High-resolution sampling gives a more detailed picture of mixing effects and structures involved, but the information, given a certain sample capacity is reduced.

Comparing CARIBIC-1 and CARIBIC-2 data in this context gives useful information. Obviously the high sampling resolution by CARIBIC-2 (15 km of flight distance per sample) with 28 samples per outward and return flights gives a different picture than obtained by the low resolution of CARIBIC-1 (~250 km per sample, 12 samples per flight). This is well illustrated by the UT/LMS mixing trends. CARIBIC-2 clearly demonstrates the L-shape mixing in the UT/LMS region being visible both for

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$\delta^{13}\text{C}(\text{CO}_2)$  and  $\delta^{18}\text{O}(\text{CO}_2)$ . Occasionally  $\delta^{18}\text{O}(\text{CO}_2)$  shows even more regular patterns than  $\delta^{13}\text{C}(\text{CO}_2)$ . In contrast, UT/LMS data by CARIBIC-1 show only linear trends for  $\delta^{13}\text{C}(\text{CO}_2)$  without details or systematic pattern for  $\delta^{18}\text{O}(\text{CO}_2)$ . (Some CARIBIC-1 trends are given in Assonov et al., 2007). This is partly because of the inferior  $\delta^{18}\text{O}(\text{CO}_2)$  data quality and resolution of CARIBIC-1. Low and high resolution sampling give different data sets. When frequent tropopause crossings occur at mid latitudes, a higher resolution may be preferable.

## 5 Summary and outlook

1. CARIBIC provided unique isotope data sets for the UT/LMS and free tropical troposphere, with about  $\sim 1$  month resolution. CARIBIC-1 (1999 to April 2002), with low resolution sampling (250 km/per sample) provided high quality  $\delta^{13}\text{C}(\text{CO}_2)$  data and lower quality  $\delta^{18}\text{O}(\text{CO}_2)$ . CARIBIC-2 (April 2007–March 2009) provided accurate and reliable  $\delta^{13}\text{C}(\text{CO}_2)$  and  $\delta^{18}\text{O}(\text{CO}_2)$  data on high-resolution sampling (about 15 km/sample). For all samples extensive supporting GHG,  $\text{O}_3$ , CO and meteorological data are available.
2. The manuscript presents the first analyses of the CARIBIC-2 data for tracer-tracer correlations, distribution and trends with detailed information for UT/LMS  $\text{CO}_2$ ,  $\delta^{13}\text{C}(\text{CO}_2)$  and  $\delta^{18}\text{O}(\text{CO}_2)$ . For the first time it is demonstrated that global-scale variability in air mass origin and GHG signals are reflected by the variability in  $\delta^{13}\text{C}(\text{CO}_2)$  and  $\delta^{18}\text{O}(\text{CO}_2)$ . Besides the UT/LMS mixing, such correlations arise from different degrees of mixing of background air with air masses affected by sources and sinks, over the distance up to 8000 km and also over different seasons. The trends and features demonstrated by CARIBIC-2 are found to agree with CARIBIC-1 signals attenuated over long sampling distance, except of  $\delta^{18}\text{O}(\text{CO}_2)$ .

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3. Data de-trending and use of stratospheric tracers is considered. We demonstrate that N<sub>2</sub>O is the most adequate tracer in describing CO<sub>2</sub> signals in the UT/LMS region. By filtering out LMS data (using N<sub>2</sub>O as stratospheric tracer) and data of fresh plumes, data for FT and UT background air masses were obtained. The data and trends agree well with the data of NOAA stations in NH tropics. This is in agreement with global atmospheric transport with the uplift and transport of tropical air masses pole-wards.
- 5
4. The  $\delta^{18}\text{O}(\text{CO}_2)$  data are discussed to reflect air mixing in the FT and UT/LMS region.  $\delta^{18}\text{O}(\text{CO}_2)$  appears to be a principally different tracer than other long lived chemical tracers (such as CO<sub>2</sub>, N<sub>2</sub>O, SF<sub>6</sub>) as it has both a seasonality and clear latitudinal gradient, in the absence of a trend in time. Therefore the distribution of  $\delta^{18}\text{O}(\text{CO}_2)$  in the UT/LMS region can be used as independent tracer to validate description of global transport and UT/LMS mixing in models.
- 10
5. Climate change will most likely show up in  $\delta^{18}\text{O}(\text{CO}_2)$ . Although it is a highly complex signal, its link to temperature, humidity, soils and vegetation makes it desirable to monitor  $\delta^{18}\text{O}(\text{CO}_2)$  not only at the surface but also at altitude. Thereafter obtained present-day record for the FT and UT/LMS region is an asset to future comparisons.
- 15
6. Considering future developments of observations by aircraft, sampling resolution and optimal analytical uncertainty are critical. While high-resolution sampling is extremely valuable to study effects in detail UT/LMS mixing and inter-hemispheric transport, it may be less applicable when one aims obtaining representative signals for remote FT and UT on the global scale for use in models.
- 20
7. The data shown are based on a major research effort (made possible by IRMM in Geel, Belgium for CARIBIC-2), that could not be sustained at present but should be taken up again in the not too distant future. An 88 sampling system
- 25

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in CARIBIC-2, to operate in addition to the 28 sample system is close to completion and should be deployed early 2010.

8. Though the CARIBIC data set is self-consistent, inter-laboratory consistency for CO<sub>2</sub> isotope data aimed future data merging may be a limiting issue in the future. The calibration scale used for CARIBIC-1 and -2 was verified by agreement with NIST RMs and Narciss CO<sub>2</sub> gases. A scale discrepancy between IRMM and MPI-BGC was documented, which is small compared to scale discrepancies documented otherwise.

## Appendix A

### Abbreviations

CARIBIC – Civil Aircraft for the Regular Investigation of the atmosphere Based on an Instrument Container, [www.caribic-atmospheric.com](http://www.caribic-atmospheric.com)

FT – free troposphere

LMS – lowermost stratosphere

LS – lower stratosphere

NH – Northern Hemisphere

STE – stratosphere-troposphere exchange

SH – Southern Hemisphere

UT – upper troposphere

UTLS – upper troposphere-lowermost stratosphere

*NOAA stations are given by using the following abbreviations:*

AZR – Terceira Island, Azores, Portugal, 38.77 N; 27.38 W; 40 m a.s.l.;

KUM – Cape Kumukahi, Hawaii, United States, 19.52 N; 154.82 W; 3 m a.s.l.;

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IZO – Tenerife, Canary Islands, Spain, 28.3 N, 16.48 W; 2360 m a.s.l.;  
MHD – Mace Head, Ireland, 53.33 N; 9.9 W; 25 m a.s.l.;  
MID – Sand Island, Midway, United States, 28.21 N; 177.38 W; 7.7 m a.s.l.;  
MLO – Mauna Loa, Hawaii, United States, 19.54 N, 155.58 W; 3397 m a.s.l..

5 *Acknowledgements.* The authors acknowledge helpful discussions with W. Brand, T. S. Rhee, S. Gromov and P. Robuch as well as critical comments by M. Berglund and S. Valkiers in process of CARIBIC-2 measurements. NOAA data used have been downloaded from the NOAA ftp-server (GLOBALVIEW-CO2, GLOBALVIEW-CO2C13). Correct data use was discussed with J. White and P. Tans and B. Vaughn. N<sub>2</sub>O data for NOAA stations were  
10 available from E. Dlugogencky. We appreciate the great effort by the NOAA and INSTAAR teams to obtain the data and making them available. W. Brand kindly measured 28 air samples of CARIBIC-2 in 2009. T. J. Schuck acknowledges the funding by the European Commission through the GEOMON (Global Earth Observation and Monitoring) Integrated Project under the 6th Framework Program (contract number FP6-2005-Global-4-036677). T. Röckmann played  
15 an important role in establishing the CO<sub>2</sub> extractions for CARIBIC-1.

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**Table 1.** Typical 1- $\sigma$  total uncertainty of the CARIBIC-1 and CARIBIC-2 CO<sub>2</sub> data.

	CO <sub>2</sub> , ppm	$\delta^{13}\text{C}(\text{CO}_2)$ , ‰	$\delta^{18}\text{O}(\text{CO}_2)$ , ‰
CARIBIC-1	0.25	0.022	0.063
CARIBIC-2	0.20	0.020	0.030

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**Table 2.** Annual increase rates (linear fits) for the NOAA stations.

Variable	Stations	Data source	Years	Increase rate
CO <sub>2</sub>	MLO, KUM, MID	NOAA ftp server (GLOBALVIEW-CO <sub>2</sub> .; 2009)	1999–2007	2.04 ppm/y
$\delta^{13}\text{C}(\text{CO}_2)$	MLO, KUM	NOAA ftp server (GLOBALVIEW-CO2C13)	1999–2007	−0.032‰/y
N <sub>2</sub> O	MLO, KUM, IZO, AZR (flask samples)	NOAA (Dlugogencky, 2009)	1998–2008	0.76 ppb/y

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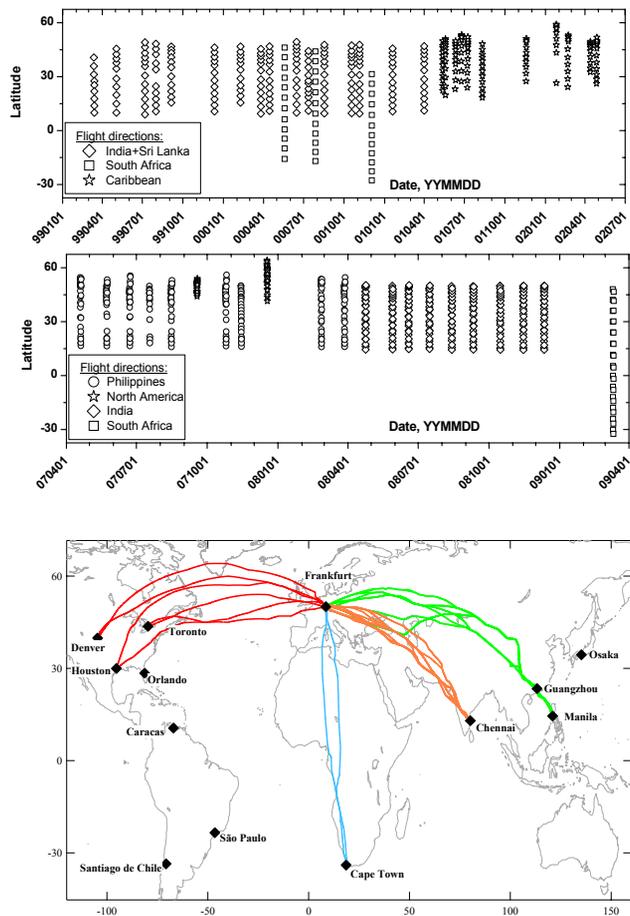
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**Fig. 1.** CARIBIC-1 (upper panel) and CARIBIC-2 (middle panel) sample distribution used for CO<sub>2</sub> isotope analyses. Lower panel, CARIBIC-2 flight routes.

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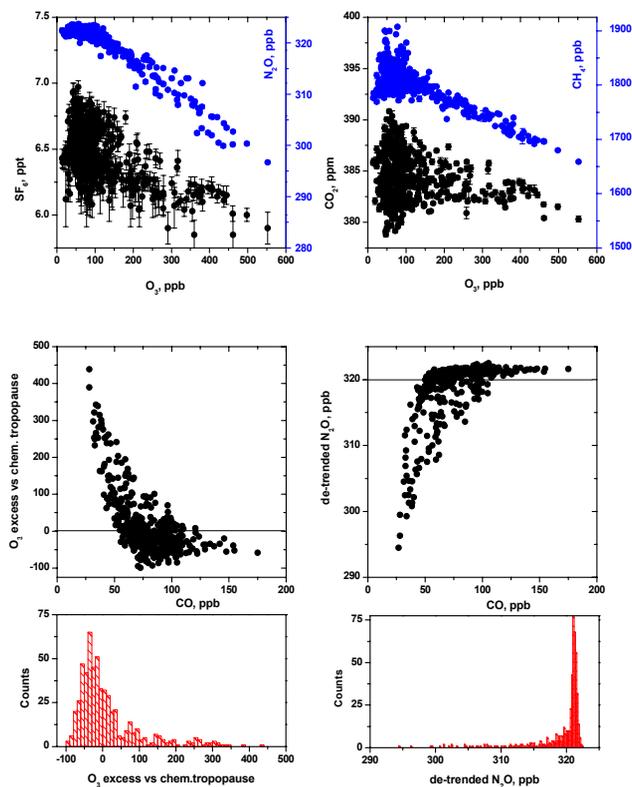
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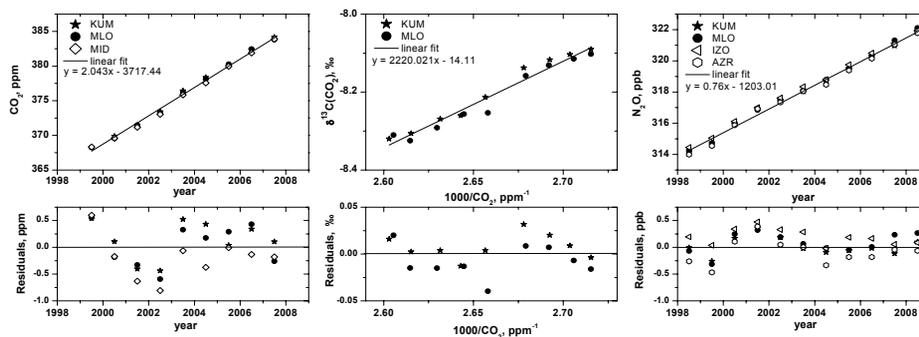


**Fig. 2.** Upper panel: GHG data (N<sub>2</sub>O, SF<sub>6</sub>, CH<sub>4</sub> and CO<sub>2</sub>) for CARIBIC-2, flights of April 2007 to March 2009 (period covered by CO<sub>2</sub> isotope analyses) plotted against ozone. The data are not de-trended and UT, tropical FT, and LMS samples are all plotted together. Lower panel: Comparison of stratospheric tracers. De-trended N<sub>2</sub>O data vs. CO demonstrate a more compact distribution than O<sub>3</sub> vs. CO. To enable a comparison histograms of O<sub>3</sub> and N<sub>2</sub>O are given.

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**Fig. 3.** Linear fits through annual means of CO<sub>2</sub>,  $\delta^{13}\text{C}(\text{CO}_2)$  and N<sub>2</sub>O for selected/background NOAA stations, see Table 1. Residuals are shown in lowermost panels. To demonstrate the consistency between  $\delta^{13}\text{C}(\text{CO}_2)$  increase rate with the CO<sub>2</sub> increase,  $\delta^{13}\text{C}(\text{CO}_2)$  is plotted vs.  $1/\text{CO}_2$ , see text.

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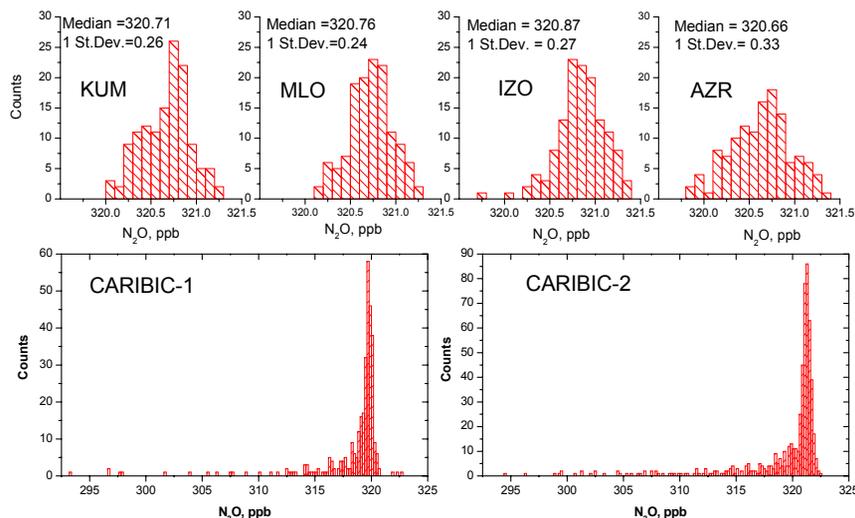
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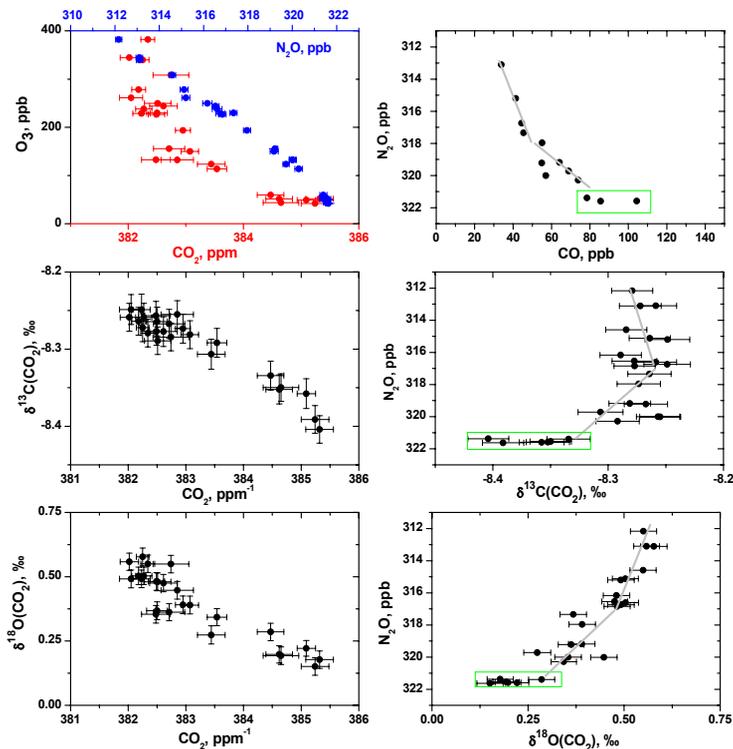


**Fig. 4.** Upper panel: Distribution of de-trended, monthly mean N<sub>2</sub>O data for NOAA stations in the NH tropics, 1998 to 2008. The distributions are slightly skewed presumably due to deviations of N<sub>2</sub>O increase in 1999 and 2001 from the linear trend (see Fig. 3). Lower panel: Distribution of de-trended N<sub>2</sub>O data for CARIBIC-1 and CARIBIC-2. Majority of samples represent FT and UT air masses and have N<sub>2</sub>O above 320.0 ppb; the tailing to lower N<sub>2</sub>O values is due to the contribution of LMS air masses.

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**Fig. 5.** Example flight Frankfurt-Denver-Frankfurt (17–18 December 2007, latitudes 41 to 63° N) crossing the tropopause and demonstrating anti-correlations between O<sub>3</sub>, CO and GHG data. The CO<sub>2</sub> isotope data vs. N<sub>2</sub>O demonstrate the same L-shape mixing plot (due to UT/LMS mixing) as typically recorded by O<sub>3</sub> and CO. The CO<sub>2</sub> isotope data plotted vs. CO<sub>2</sub> give linear mixing trends. The correlation between isotope data and stratospheric tracers (N<sub>2</sub>O and O<sub>3</sub>) is observed for majority of flights that crossed the UT/LMS mixing. Data in the green boxes show UT samples.

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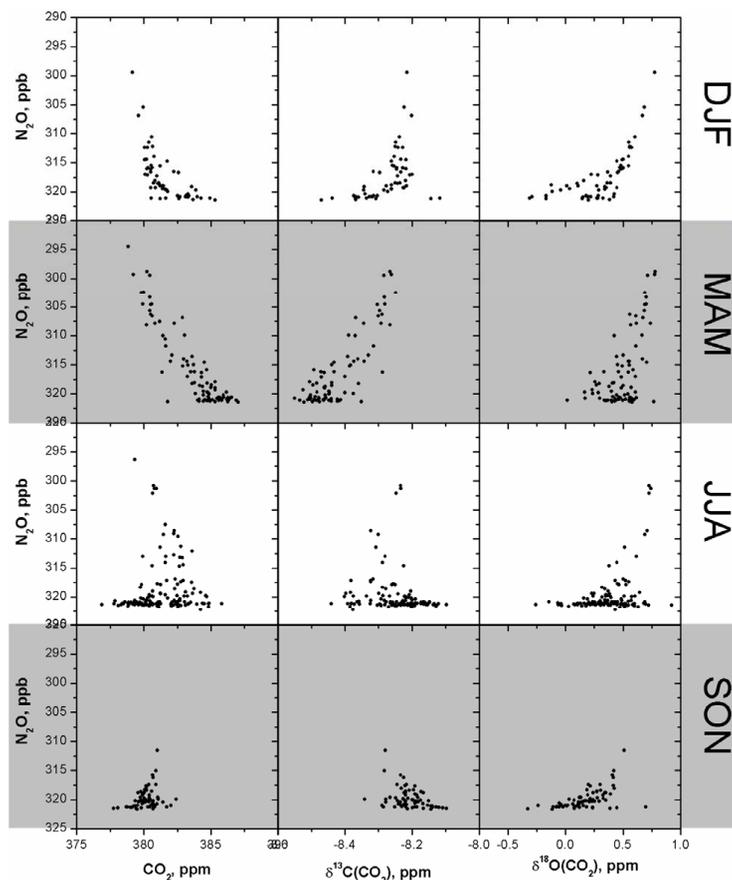
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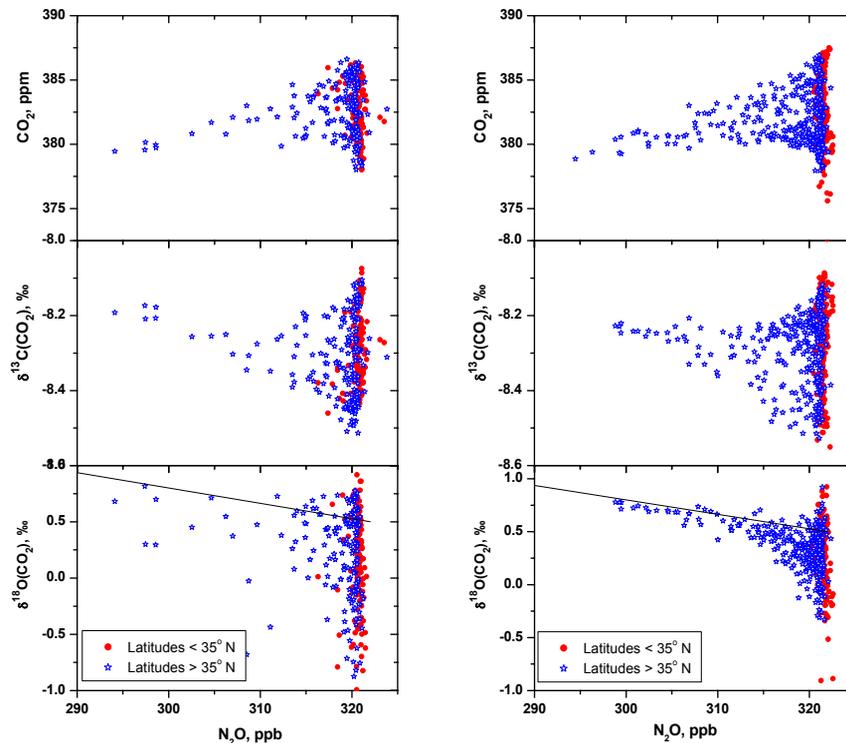


**Fig. 6.** CARIBIC-2 CO<sub>2</sub> isotope data separated in 4 different seasons and plotted versus the stratospheric tracer N<sub>2</sub>O. Plotted are latitudes above 35° N where UT/LMS mixing takes place. Seasonal variability of UT/LMS trends observed is governed mostly by variability in the UT air.

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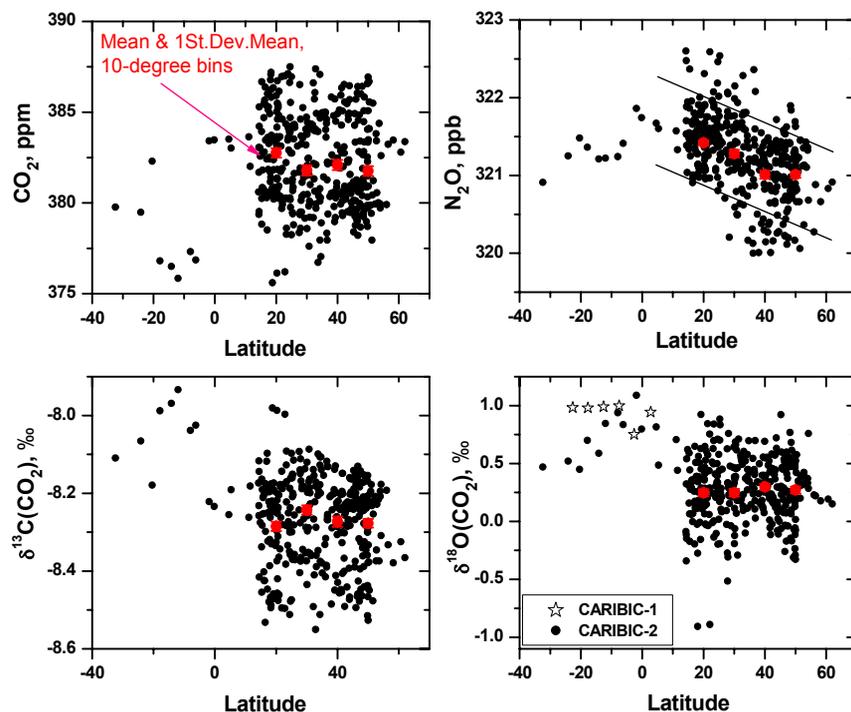


**Fig. 7.** The UT/LMS mixing trends for CARIBIC-1 (left) and CARIBIC-2 (right). For CARIBIC-2 the trends are visible both in CO<sub>2</sub>,  $\delta^{13}\text{C}(\text{CO}_2)$  and in  $\delta^{18}\text{O}(\text{CO}_2)$ . The CARIBIC-1  $\delta^{18}\text{O}(\text{CO}_2)$  data are qualitative only. UT/LMS mixing trends form triangle-shaped areas; this mixing affects latitudes above 35° N only. The trend line for  $\delta^{18}\text{O}(\text{CO}_2)$  is evaluated based on the data for stratospheric CO<sub>2</sub>, see text.

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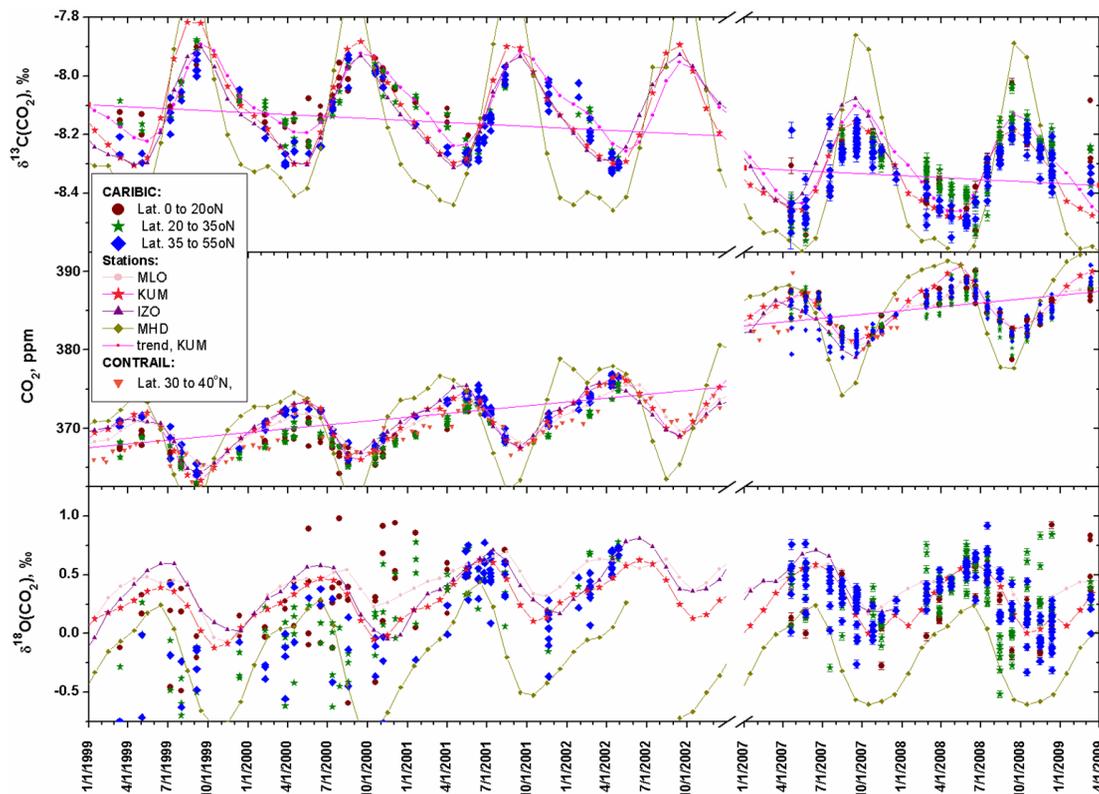


**Fig. 8.** Latitudinal distribution of CO<sub>2</sub>, N<sub>2</sub>O and isotope data for CARIBIC-2, flights of April 2007 to March 2009 (de-trended data). Only UT and FT samples of CARIBIC-2 (separated by N<sub>2</sub>O > 320.0 ppb) and  $\delta^{18}\text{O}(\text{CO}_2)$  values of CARIBIC-1 in the SH are shown. Shown in red are mean values in 10-degree bands, the error bars (close to symbol size) correspond to 1 St. Error of the Mean.

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**Fig. 9.** CO<sub>2</sub>,  $\delta^{13}\text{C}(\text{CO}_2)$  and  $\delta^{18}\text{O}(\text{CO}_2)$  data of CARIBIC-1 and CARIBIC-2 as time series together with data for the stations (MLO, KUM, IZO and MHD, GLOBALVIEW-CO2, 2009; GLOBALVIEW-CO2C13) and CONTRAIL (latitudes 30 to 40° N, CONTRAIL, 2009). The linear trend lines are given for KUM. (For allowing a comparison, station isotope data are extrapolated from 01/01/2008 to 04/01/2009 as based on the data for 2008 and the annual increase rates, Table 2).

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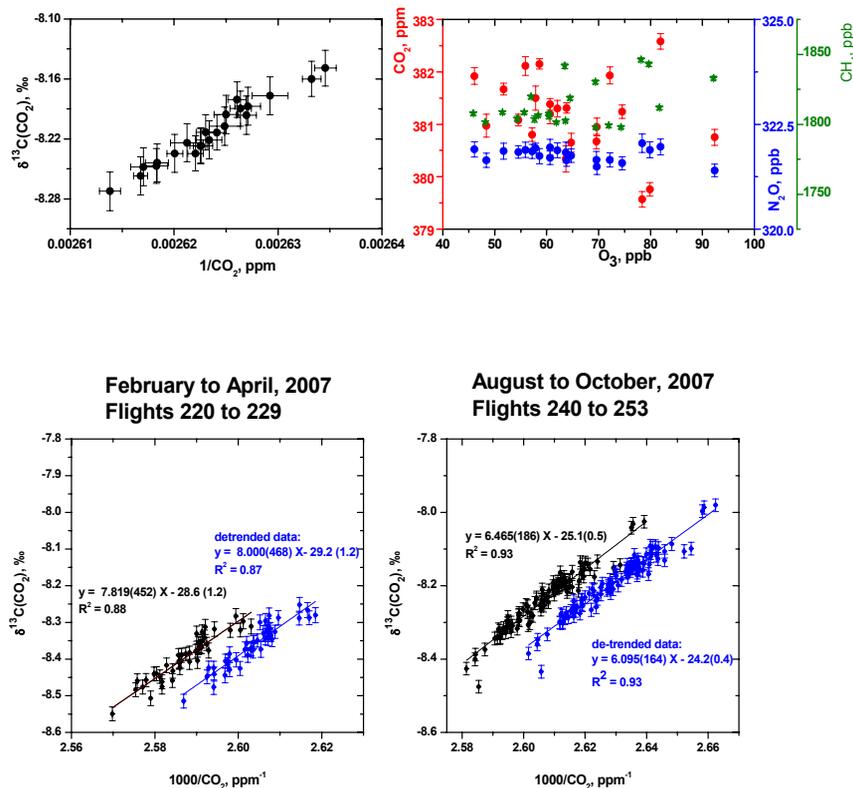
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**Fig. 10.** Upper panel: For a single flight (Frankfurt-Toronto-Frankfurt, September 2007, latitudes 44 to 54° N) an excellent correlation with an extremely narrow range of  $\delta^{13}\text{C}(\text{CO}_2)$  values was observed for UT air masses. The correlation exists despite of different air masses, as demonstrated by the variability in methane. Right, GHG data for the same flight plotted vs.  $\text{O}_3$  demonstrate stable levels of  $\text{N}_2\text{O}$  and variable methane. Lower panel: CARIBIC-2 data, Keeling plots of  $\delta^{13}\text{C}(\text{CO}_2)$  for different seasons. De-trended data (in blue) demonstrate a bit different slopes.

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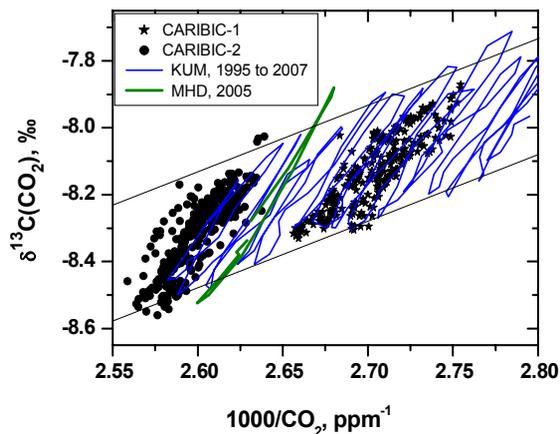
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**Fig. 11.** Keeling plot for CARIBIC-1 and CARIBIC-2 (data not de-trended) including KUM (years 1993 to 2007) and MHD (year 2005). The two enveloping lines correspond to the slope of the KUM inter-annual trend, and give upper and lower limits of the variability. CARIBIC data agree well with the range demonstrated by the tropical station. Some CARIBIC-2 data points above the indicated range are probably affected by SH air (higher  $\delta^{13}\text{C}(\text{CO}_2)$ ) and/or by photosynthesis uptake (also higher  $\delta^{13}\text{C}(\text{CO}_2)$ ). The shift between CARIBIC-1 and CARIBIC-2 corresponds to the global CO<sub>2</sub> increase.

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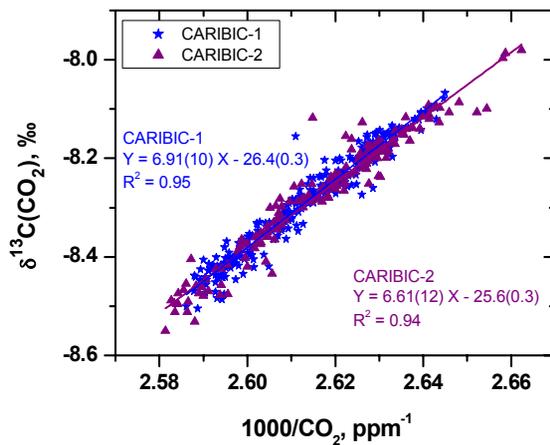
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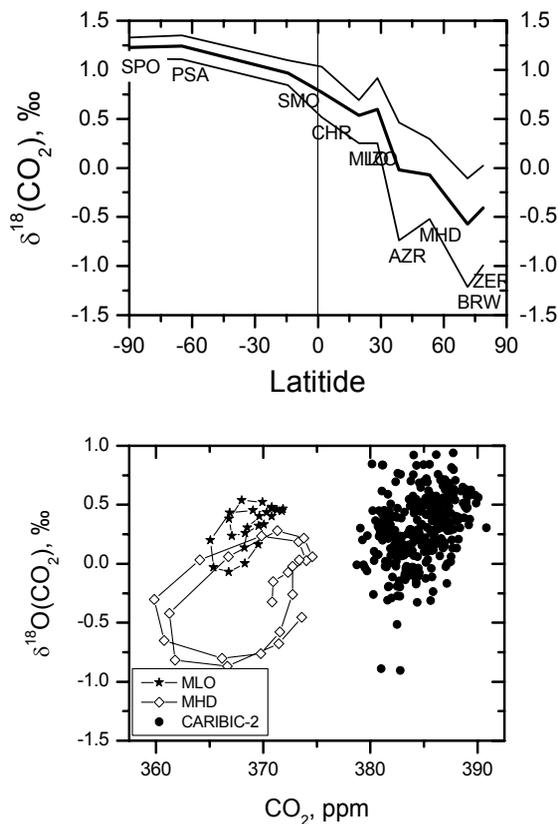


**Fig. 12.** Keeling plots for  $\delta^{13}\text{C}(\text{CO}_2)$  for de-trended CARIBIC-1 and CARIBIC-2 data showing close agreement (all seasons, data de-trended to 1/01/2007).

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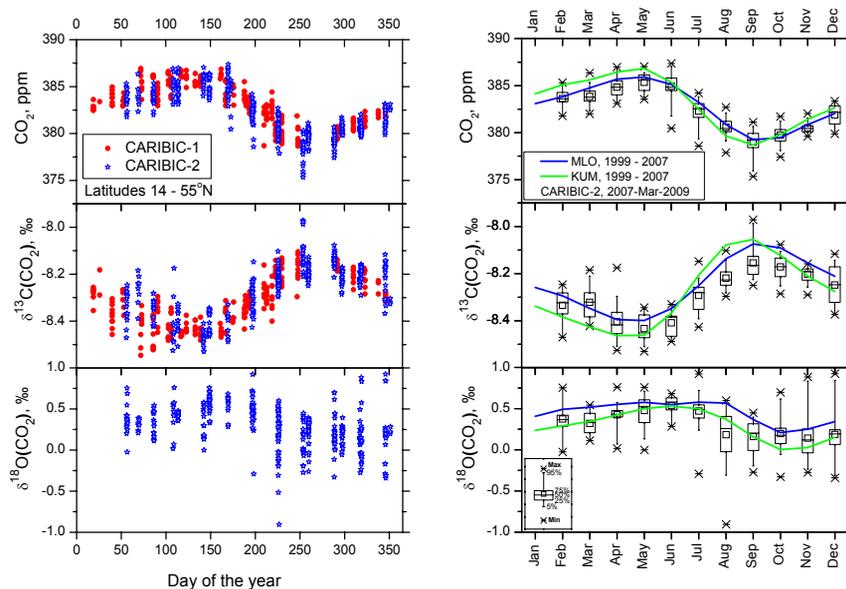


**Fig. 13.** Upper panel: Global latitudinal gradient of the  $\delta^{18}\text{O}(\text{CO}_2)$  seasonal cycle, data for NOAA stations (GLOBALVIEW-CO2C13). Mean values and the amplitudes, averaged for years 2003 to 2005. Lower panel: The  $\delta^{18}\text{O}(\text{CO}_2)$  seasonal cycle at Mauna Low and Mace Head, years 1999–2000. The cycle direction is anti-clock wise. CARIBIC-2 data: UT and FT air, latitudes  $> 14^\circ \text{N}$ .

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**Fig. 14.** Left: Seasonality for FT and UT air masses detected by CO<sub>2</sub> isotopes; all flights. Data de-trended to 1/1/2007. Right: FT and UT CARIBIC-2 data (box-plot) and the 1999 to 2007 averaged monthly mean data for KUM and MLO. Plumes evidenced by very high water and high CO are filtered out ( $\text{H}_2\text{O} > 2000$  ppm and  $\text{CO} > 125$  ppb).

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