

1 **Tropospheric expansion under global warming reduces**
2 **tropical lower stratospheric ozone**

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5 **Key Points:**

- 6 • In response to global warming, tropical stratospheric ozone appears to shift up-
7 wards, with decreases at lower altitudes and increases aloft.
- 8 • The apparent shift arises from two distinct processes: increases aloft from strato-
9 spheric cooling and decreases below from surface warming.
- 10 • Ozone loss from surface warming is due in roughly equal parts to strengthening
11 upwelling and expansion of tropospheric ozone destruction.

Abstract

In response to global warming, stratospheric ozone appears to shift upwards, increasing aloft and decreasing below. The decreases have been attributed to strengthening upwelling and reverse self-healing, whereby increased ozone aloft blocks photons from forming ozone below. Separately, the decreases have been attributed to tropospheric expansion shifting the ozone layer upwards. Using chemistry-climate model experiments (CMIP6) and an idealized model undergoing Chapman photochemistry, tropospheric destruction of ozone, and transport between a tropical and extratropical column via a leaky tropical pipe, this paper disentangles how ozone responds to global warming. Tropospheric expansion is argued not to shift the ozone upwards but to shift the tropospheric destruction of ozone upwards, "taking a bite" out of the ozone layer then advected upwards. This mechanism contributes roughly half of the ozone reduction. This work cautions that tropospheric expansion can suggest incompatible predictions when applied to different variables, e.g. ozone concentration versus tropospheric destruction rate.

Plain Language Summary

The ozone layer absorbs ultraviolet light otherwise harmful to life. Due to compliance with the Montreal Protocol, the ozone layer is generally recovering from depletion. But global warming is predicted to also affect the ozone layer, leading to an apparent upward shift of ozone in the tropics, with increases in the upper stratosphere and decreases in the lower stratosphere. These decreases in the lower stratosphere have previously been attributed to strengthening of stratospheric upwelling or to an upward shift caused by the expansion of the troposphere under global warming. We draw on elements of these prevailing explanations to quantify a new mechanism, which explains roughly half of the decrease: expansion of the troposphere converts stratospheric air into tropospheric air, the low ozone anomalies from which are then transported upwards into the tropical lower stratosphere by the background upwelling.

1 Introduction

Chemistry-climate models robustly predict that, in response to global warming, ozone will increase in the upper stratosphere and decrease in the tropical lower stratosphere (Shepherd, 2008; Chiodo et al., 2018). Figures 1A-C show three such simulated responses to a quadrupling of CO₂ in chemistry-climate models with interactive ozone chemistry

43 contributed to Coupled Model Intercomparison Project Phase 6 (CMIP6). The robust-
44 ness of the simulated decrease in tropical lower stratospheric ozone suggests models may
45 capture consistent mechanisms for the change. Global warming might already be reduc-
46 ing ozone in the tropical lower stratosphere, where the recovery since 2000 due to the
47 Montreal Protocol has been notably absent (Petropavlovskikh et al., 2019).

48 There are two prevailing families of explanations for the decrease in tropical lower
49 stratospheric ozone under global warming. A first family of explanations emphasizes strato-
50 spheric processes: the decrease in tropical lower stratospheric ozone is explained to re-
51 sult from (1) the strengthening Brewer-Dobson circulation, which reduces ozone in the
52 tropics by advecting ozone-poor air from below, and (less significantly) (2) “reverse self-
53 healing” due to stratospheric cooling, which increases ozone in the upper stratosphere
54 thereby attenuating the ultraviolet radiation available to form ozone in the tropical lower
55 stratosphere (Groves et al., 1978; Rosenfield & Schoeberl, 2005; Shepherd, 2008; Plum-
56 mer et al., 2010; Chiodo et al., 2018).

57 A second family of explanations, in a largely separate body of literature, empha-
58 sizes tropospheric expansion under global warming. As the troposphere deepens with sur-
59 face warming at roughly 500 m K^{-1} (Vallis et al., 2015; Match & Fueglistaler, 2021), vari-
60 ables thermodynamically connected to the troposphere or dynamically connected to the
61 tropopause are expected to shift upwards (Singh & O’Gorman, 2012). Ozone has been
62 proposed as one such variable, and ozone trends have been transformed into tropopause-
63 following coordinates on the premise that this would remove the trends from tropospheric
64 expansion (Forster & Tourpali, 2001; Thompson et al., 2021). Figure 1D shows the tropically-
65 averaged ozone response to quadrupling of CO_2 in the CMIP6 experiments (solid curves),
66 overlaid with the change predicted from a 2 km upward shift in the ozone profile (dot-
67 ted). The prediction from the vertical shift closely matches the actual response.

68 That two families of explanations for the ozone response to global warming coex-
69 ist begs for an attempt at unification. Are predictions based on stratospheric processes
70 constrained to agree with those based on tropospheric expansion? For example, the strength-
71 ening of the Brewer-Dobson circulation under global warming can be viewed as an up-
72 ward shift under tropospheric expansion (Oberländer-Hayn et al., 2016). Yet, it is not
73 clear why photochemical processes would shift upwards throughout the stratosphere un-

74 der tropospheric expansion, raising the possibility that the agreement between the ozone
75 response and that predicted by the vertical shift is coincidental.

76 Attempts to unify these explanations must be able to distinguish the effects of strato-
77 spheric versus tropospheric processes. Past studies have imposed stratospheric cooling
78 without surface warming, isolating the reverse self-healing (Sigmond et al., 2004; Fomichev
79 et al., 2007). They have also analyzed surface warming without stratospheric cooling,
80 yielding combined changes in the Brewer-Dobson circulation and tropopause height. To
81 separate these two effects requires a model that can distinguish the impact of the ris-
82 ing tropopause on ozone chemistry from its impact on the Brewer-Dobson circulation.
83 Coupling Chapman photochemistry to the leaky tropical pipe of Neu and Plumb (1999)
84 allows us to disentangle the proposed mechanisms to explain the gross features of the
85 ozone response to global warming.

86 Figure 1E previews our main results, indicating that the idealized model reproduces
87 the coarse shape (decreases below, increases aloft) and magnitudes (anomalies of order
88 10^{12} molec cm^{-3} for a quadrupling of CO_2) of the comprehensive model response. De-
89 composing the response by term, it is clear that the increases aloft are due to stratospheric
90 cooling (blue curve), consistent with previous work (Isaksen et al., 1980; Jonsson et al.,
91 2004; Sigmond et al., 2004; Fomichev et al., 2007). Roughly half of the reduction in trop-
92 ical lower stratospheric ozone is due to the strengthening Brewer-Dobson circulation (green
93 curve). Roughly the other half of the reduction in tropical lower stratospheric ozone is
94 due to expansion of tropospheric ozone destruction (red curve), which “takes a bite” out
95 of the stratospheric ozone profile, the low ozone anomalies from which are then advected
96 upwards by the background upwelling. This hybrid troposphere/stratosphere process draws
97 on elements from the two prevailing families of explanations, revealing how they can be
98 reformulated to provide a more complete picture of the ozone response. A similar mech-
99 anism has been identified in the annual cycle of ozone as it relates to the annual cycle
100 of convective detrainment rate at different altitudes (Folkins et al., 2006).

101 **2 The idealized model**

102 Our model couples together a tropical and extratropical column, each undergoing
103 Chapman photochemistry, transport via a leaky tropical pipe, and tropospheric ozone
104 destruction. Our goal is to compute the annual, spatial mean ozone concentration in the

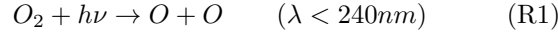
105 tropics $[O_3]_T$ and the extratropics $[O_3]_E$. The prognostic equations for ozone number
 106 density [units: molec cm⁻³] are as follows:

$$\frac{\partial [O_3]_i}{\partial t} = \frac{\partial [O_3]_i}{\partial t} \Big|_{\text{photochemistry}} + \frac{\partial [O_3]_i}{\partial t} \Big|_{\text{transport}} + \frac{\partial [O_3]_i}{\partial t} \Big|_{\text{tropospheric destruction}} \quad (1)$$

107 where subscript i corresponds to tropics (T) or extratropics (E):

108 2.1 Photochemistry

109 Ozone photochemistry is represented by the paradigmatic Chapman cycle (Chapman,
 110 1930), following the treatment of Jacob (1999). Chapman photochemistry considers the
 111 evolution of three oxygen species: O, O₂, and O₃. The key reactions are:



112 where M represents third bodies with the number density of air molecules. The rate con-
 113 stants k_1 and k_3 are photolysis rate constants, so must be calculated accounting for ra-
 114 diative transfer. Reaction 2 has temperature-dependent rate constant $k_2 = k_0^{300}(T/300)^{-n}$,
 115 where $k_0^{300} = 6.0 * 10^{-34}$ cm⁶ molec⁻² s⁻¹ and $n = 2.4$. Reaction 4 has temperature-
 116 dependent rate constant $k_4 = A \exp(-E_a/RT)$ with $A = 8.0 * 10^{-12}$ cm³ molec⁻¹ s⁻¹
 117 and $E_a/R = 2060$ K (Brassuer & Solomon, 2005).

118 Acknowledging that Reactions 2 and 3 proceed quickly, a slowly-evolving family
 119 of odd oxygen can be defined ($O_x = O + O_3$) that is dominated by O₃ and evolves as
 120 follows:

$$\frac{\partial [O_3]}{\partial t} \Big|_{\text{photochemistry}} = 2k_1 C_{O_2} n_a - \frac{2k_3 k_4}{k_2 C_{O_2} n_a^2} [O_3]^2 \quad (2)$$

121 where C_{O_2} is the molar fraction of O₂ in air (today, 0.21), and $n_a(z)$ is the number den-
 122 sity of air molecules as a function of height [molec cm⁻³] (assumed exponentially-decaying
 123 with scale height $H = 7$ km).

124 The photolysis rate constants k_1 and k_3 depend on the radiation as it interacts with
 125 O_2 and O_3 . The photolysis rates are calculated as an integral across all wavelengths of
 126 the spectrally-resolved photolysis rate:

$$k = \int_{\lambda} q(\lambda)\sigma(\lambda)I_{\lambda}d\lambda \quad (3)$$

127 with wavelength λ , quantum yield q (molecules produced per photon absorbed), absorp-
 128 tion coefficient ($\text{cm}^2 \text{ molec}^{-1}$), and actinic flux density with respect to wavelength I_{λ}
 129 (photons $\text{cm}^{-2} \text{ s}^{-1} \text{ nm}^{-1}$). The actinic flux is a radiative quantity that depends on the
 130 absorption (and scattering) aloft:

$$I_{\lambda}(z) = I_{\lambda,\infty} \exp\left(-\frac{\tau_{\lambda}(z)}{\cos \theta}\right) \quad (4)$$

131 where τ_{λ} is the wavelength-dependent optical depth resulting from absorption by chem-
 132 ical species aloft and θ is the solar zenith angle. We consider overhead sun in the trop-
 133 ics ($\theta = 0^\circ$) and low sun in the extratropics ($\theta = 60^\circ$). Only absorption by O_2 and
 134 O_3 is considered:

$$\tau_{\lambda}(z) = \int_z^{\infty} (\sigma_{O_2}(\lambda)[O_2] + \sigma_{O_3}(\lambda)[O_3])dz' \quad (5)$$

135 Analytical solutions of the equilibrium ozone profile do not exist for Chapman pho-
 136 tochemistry because the radiation that forms ozone is a function of the ozone profile it-
 137 self. The ozone equilibrium is found numerically, accounting also for transport and tro-
 138 pospheric destruction.

139 2.2 Tropospheric Destruction

140 The troposphere is represented as a region of fast destruction of ozone through chem-
 141 ical sinks or dry deposition (e.g. Wild, 2007).

$$\left.\frac{\partial [O_3]_i}{\partial t}\right|_{\text{tropospheric destruction}} = -\frac{[O_3]_i}{\tau_i(z)} \quad (6)$$

142 where the ozone number density relaxes exponentially towards zero with damping rate
 143 $\tau(z)$. Our results herein consider $\tau(z)$ approaching infinity in the troposphere and zero
 144 in the stratosphere, so that tropospheric destruction instantaneously destroys tropospheric

145 ozone. For the control climatology, the tropical tropopause is set at 16 km and the ex-
 146 tratropical tropopause at 10 km.

147 **2.3 Transport**

148 Ozone is transported between the tropics and extratropics by advection and mix-
 149 ing, a leaky tropical pipe (Plumb, 1996; Neu & Plumb, 1999) following the treatment
 150 of Stolarski et al. (2014). The mass flux divergence of the upwelling in the tropics trans-
 151 ports ozone to the extratropics. The tropics and extratropics are laterally mixed on a
 152 timescale μ .

$$\frac{\partial [O_3]_T}{\partial t} |_{\text{transport}} = -wn_a \frac{\partial}{\partial z} \left(\frac{[O_3]_T}{n_a} \right) - \mu([O_3]_T - [O_3]_E) \quad (7)$$

$$\frac{\partial [O_3]_E}{\partial t} |_{\text{transport}} = wn_a \frac{\partial}{\partial z} \left(\frac{[O_3]_E}{n_a} \right) + (D + \mu)([O_3]_T - [O_3]_E) \quad (8)$$

153 where w is the rate of upwelling/downwelling (units: m s^{-1}), and μ is the lateral mix-
 154 ing rate between the tropics and extratropics (units: s^{-1}).

$$D = -e^{z/H} \frac{\partial}{\partial z} (we^{-z/H}) \quad (9)$$

155 where D is the mass flux divergence of the tropical upwelling (units: s^{-1}).

156 **2.4 Model set-up and parameters**

157 The idealized shortwave radiative transfer and photolysis rates are solved on a wave-
 158 length grid with 151 discretized wavelengths ranging from 180 nm to 360 nm. The de-
 159 fault temperature is taken to be uniformly 240 K. Molecular oxygen absorption coeffi-
 160 cients (σ_{O_2}) are taken from Ackerman (1971) and ozone absorption coefficients (σ_{O_3}) from
 161 Demore et al. (1997). Solar actinic flux is calculated from the Solar Spectral Irradiance
 162 Climate Data Record (Coddington et al., 2015), averaged from 01-01-2020 to 02-04-2021.
 163 Spectrally-resolved parameters are linearly interpolated to the wavelength grid.

164 The vertical dimension is discretized into 81 vertical levels separated by 500 me-
 165 ters from 0 to 40 km. The timestep is 10,000 seconds, and the model is run to approx-
 166 imate equilibrium for 50,000 time steps (roughly 15 years).

167 Chapman photochemistry is known to simulate roughly double the observed ozone
168 concentration, due to neglected catalytic destruction from NO_x and HO_x (Jacob, 1999).
169 Incorporating catalytic chemistry can increase the number of chemical reactions by an
170 order of magnitude (Crutzen, 1971), yet these reactions are not required to explain leading-
171 order aspects of the ozone response to global warming. By neglecting catalytic chem-
172 istry, our idealized model trades off the quantitative accuracy of more complex models
173 in order to distill the mechanisms essential to the ozone response to global warming.

174 **3 CMIP6 models**

175 Our idealized model of Chapman photochemistry will be compared to various ex-
176 periments with global chemistry-climate models that have interactive stratospheric ozone
177 chemistry contributed to the Coupled Model Intercomparison Project Phase 6 (CMIP6)
178 (Eyring et al., 2016). The full ozone response to quadrupled CO₂ concentrations, includ-
179 ing internally-consistent representations of stratospheric cooling, strengthening Brewer-
180 Dobson circulation, and expansion of tropospheric destruction, is examined by compar-
181 ing the final 100 years of the abrupt-4xCO₂ experiments to the piControl experiment.
182 Similar results were presented in Chiodo et al. (2018). For that comparison, we exam-
183 ine CESM2-WACCM-FV2, CNRM-ESM2-1, and MRI-ESM2-0, as shown in Figure 1.

184 This paper provides the first intermodel comparison isolating the effects of strato-
185 spheric cooling and surface warming on stratospheric ozone. The effects of stratospheric
186 cooling are isolated by evaluating the ozone response to quadrupled CO₂ at prescribed
187 pre-industrial sea surface temperature (piClim-4xCO₂ minus piControl). The piClim-
188 4xCO₂ experiments were conducted as part of the Radiative Forcing Model Intercom-
189 parison Project (RFMIP) (Pincus et al., 2016), and we analyze CNRM-ESM2-1, GFDL-
190 ESM4, MRI-ESM2-0, and UKESM1-0-LL. The effects of surface warming are isolated
191 by evaluating the ozone response to an increase in prescribed sea surface temperatures
192 of 4 K within historical simulations (amip-p4K minus amip). The amip-p4K experiments
193 were conducted as part of the Cloud Feedback Model Intercomparison Project (Webb
194 et al., 2017), and we analyze CNRM-CM6-1, E3SM-1-0, and MRI-ESM2-0.

195 **4 Results**

196 Our goal is to understand what drives the reductions in tropical lower stratospheric
197 ozone under global warming. We decompose the ozone response to CO₂ forcing mech-

198 anistically into separate responses to stratospheric cooling, strengthening of the Brewer-
199 Dobson circulation, and expansion of tropospheric ozone destruction. Our decomposi-
200 tion is performed using the idealized model, but our confidence is boosted by compar-
201 ing to relevant CMIP6 experiments. A key result, shown in Figure 1E is that the response
202 to all components is quite linear, even at the level of quadrupling CO₂, justifying our
203 reductive approach.

204 4.1 Stratospheric cooling

205 Stratospheric cooling can increase ozone by quickening Reaction 2, which partitions
206 odd oxygen even more in favor of ozone, thereby slowing ozone loss from Reaction 4 (Groves
207 et al., 1978; Jonsson et al., 2004). Reaction 4 is also directly slowed at decreasing tem-
208 perature. The effect of stratospheric cooling on ozone in CMIP6 is isolated by compar-
209 ing piControl experiments with the piClim-4xCO₂ experiments, in which CO₂ is quadru-
210 pled at prescribed pre-industrial sea surface temperatures (Fig. 2A-E). Stratospheric cool-
211 ing increases tropical ozone above 25 km, robustly leading to increases of roughly $5 \cdot 10^{11}$
212 molec cm⁻³ at 30 km. Although stratospheric cooling extends down to 20 km in the trop-
213 ics, ozone is actually reduced in the lower stratosphere, due to reverse self-healing, whereby
214 the anomalously increased ozone aloft absorbs ultraviolet photons that would have oth-
215 erwise formed odd oxygen in the lower stratosphere. The simulated reductions due to
216 reverse self-healing are not as robust as the increases due to stratospheric cooling aloft.

217 In response to a uniform cooling of 10 K, the idealized model reproduces the ozone
218 increases in the upper stratosphere and reverse self-healing in the lower stratosphere (Fig-
219 ure 2F). The idealized response to stratospheric cooling agrees with comprehensive mod-
220 els on the order of magnitude (10^{12} molec cm⁻³), although the exact magnitudes are over-
221 estimated. The altitude at which increases transition to decreases occurs around 30 km
222 in the idealized model but around 25 km in the comprehensive models. Interestingly, re-
223 verse self-healing seems to vanish in the lowermost stratosphere, although this feature
224 should not be taken literally given that realistic stratospheric cooling does not extend
225 much below 20 km.

226 The ozone reductions in the tropical lower stratosphere are about an order of mag-
227 nitude smaller in the stratospheric cooling experiments than in the total response to quadru-

228 pled CO₂ (Figure 2E vs. 1D). Thus, stratospheric cooling is only a minor contributor
229 to tropical lower stratospheric ozone reductions.

230 **4.2 Disentangling the strengthening of the Brewer-Dobson circulation** 231 **from expansion of tropospheric destruction**

232 Stratospheric cooling cannot explain the large reductions in tropical lower strato-
233 spheric ozone, thereby implicating surface warming. The two competing families of ex-
234 planations for how surface warming reduces ozone in the tropical lower stratosphere are
235 that it strengthens the Brewer-Dobson circulation or that it shifts the ozone upwards
236 due to tropospheric expansion. We draw on both families by showing that the strength-
237 ening Brewer-Dobson circulation explains about half the response, with the other half
238 explained by an upward shift in the tropospheric destruction of ozone, which predicts
239 a different response than an upward shift of ozone itself.

240 In CMIP6, the effects of surface warming on ozone are analyzed by comparing amip-
241 p4K experiments with amip experiments. The amip experiments are driven by realis-
242 tic boundary conditions over the historical period, to which the amip-p4K experiments
243 prescribe 4 K increases in sea surface temperatures. Figure 3A-D shows that in response
244 to the surface warming of 4 K, ozone is reduced in the tropical lower stratosphere, with
245 peak reductions around 20 km extending upwards with diminishing magnitude above 25
246 km.

247 The gross features of this response can be explained using the idealized model of
248 the ozone response to global warming. Figure 3E shows the response of the idealized model
249 to a uniform strengthening of the Brewer-Dobson circulation of 0.1 mm s^{-1} (green curve),
250 which corresponds to a 2 km upward shift of the vertical mass flux profile (Oberländer-
251 Hayn et al., 2016). Upwelling induces large ozone anomalies in the lower stratosphere,
252 where transport is fast compared to photochemical recovery timescales (years around 23
253 km and months around 28 km) (Dutsch, 1968; Jacob, 1999). Upwelling barely perturbs
254 ozone in the upper stratosphere, where transport is slow compared to photochemical re-
255 covery timescales (weeks around 33 km and days around 38 km).

256 Expansion of tropospheric ozone destruction plays a key role, too, as shown by the
257 red curve in Figure 3E. Mechanistically, expansion of tropospheric ozone destruction de-
258 stroys ozone by transforming stratospheric air into tropospheric air with a shorter ozone

259 lifetime, i.e. “taking a bite” out of the stratosphere. The anomalies from the bite are then
260 advected upwards by the background upwelling into regions where photochemical equi-
261 librium is eventually re-established. Figure 4 illustrates this two-step (bite then advect)
262 mechanism. The idealized model suggests that the effects of strengthening of the Brewer-
263 Dobson circulation and expansion of tropospheric ozone destruction are remarkably lin-
264 ear, even with the perturbation corresponding to a 2 km upward shift of the tropopause.

265 There are some notable quantitative differences between the idealized model and
266 the chemistry-climate model response. In the idealized model, the reductions in ozone
267 are overestimated by roughly a factor of two, and they extend upwards to 35 km, ver-
268 sus roughly to 30 km in the CMIP6 models. Despite these caveats, the idealized model
269 demonstrates that the newly identified mechanism of expansion of tropospheric ozone
270 destruction contributes at leading order to tropical lower stratospheric ozone reductions
271 under global warming. In the simulations analyzed herein, strengthening Brewer-Dobson
272 circulation and the expansion of tropospheric ozone destruction contribute equally to to-
273 tal column ozone loss (i.e. in Figure 3E, the integrals of the red and green curves are al-
274 most identical).

275 **4.3 Revisiting the vertical shift of the ozone profile**

276 Previous studies have suggested that tropospheric expansion under global warm-
277 ing shifts the ozone profile upwards (Forster & Tourpali, 2001; Thompson et al., 2021).
278 Indeed, the ozone response to quadrupling of CO₂ strongly resembles a vertical shift (Fig-
279 ure 1D). But, when the role of tropospheric expansion is isolated in Figure 3D, it becomes
280 clear that any vertical shift from tropospheric expansion does not extend above 25 km.
281 It appears to be coincidental that stratospheric cooling increases ozone by an amount
282 matching the prediction from a vertical shift (in Figure 1D).

283 The ozone response well below 25 km seems theoretically relatable to a vertical shift.
284 By construction in the idealized model, expansion of tropospheric destruction of ozone
285 induces a vertical shift in the ozone *below* the tropopause. If upwelling is sufficiently strong
286 above the tropopause, then there forms a region of ozone depressed below its photochem-
287 ical equilibrium above the tropopause, the structure of which could move upwards along
288 with the tropopause. This region is not very deep, as shown in Figure 3E by the disagree-

289 ment within a few kilometers above the tropopause of the ozone anomalies predicted from
290 tropospheric expansion (red) versus those predicted by a vertical shift (dotted).

291 **5 Rejecting a naive hypothesis of tropospheric expansion**

292 Tropospheric expansion might be hoped to support the naive hypothesis that all
293 variables shift upwards under global warming. Indeed, variables in disparate regions and
294 dynamical regimes appear to shift upwards under global warming, including cloud and
295 microphysical quantities (Tompkins & Craig, 1999), static stability (Kushner et al., 2001),
296 transient kinetic energy and momentum flux (Lorenz & DeWeaver, 2007), relative hu-
297 midity (Sherwood et al., 2010), the Brewer-Dobson circulation (Oberländer-Hayn et al.,
298 2016), and QBO amplitude (Match & Fueglistaler, 2021).

299 Yet, past work has noted some caveats that would limit a naive tropospheric ex-
300 pansion hypothesis. For example, Sherwood et al. (2010) reported that the tropospheric
301 expansion hypothesis underestimates relative humidity changes in certain regions that
302 are controlled by distant last points of saturation. Singh and O’Gorman (2012) argued
303 that, in theory, temperature and pressure velocity should not only be shifted, but also
304 rescaled. Our work emphasizes that the naive hypothesis of tropospheric expansion can
305 lead to incompatible predictions when applied to two variables that cannot both shift
306 upwards in a dynamically consistent way. In the idealized ozone model, an upward shift
307 of the tropospheric destruction rate of ozone is incompatible with an upward shift of the
308 ozone profile itself.

309 Therefore, the naive hypothesis must be rejected in favor of a more cautious ap-
310 proach: tropospheric expansion should be justified by the internal dynamics of the vari-
311 able of interest as it responds to global warming. For ozone dynamics, tropospheric ex-
312 pansion should be applied to the tropospheric destruction rate of ozone, not to the ozone
313 profile itself.

314 **6 Conclusions**

315 In response to CO₂ forcing, tropical stratospheric ozone appears to shift upwards,
316 with decreases in the lower stratosphere and increases aloft. There are two co-existing
317 families of explanations for the ozone reduction in the tropical lower stratosphere. The
318 first attributes the decrease to a strengthening Brewer-Dobson circulation and (to a lesser

319 degree) reverse self-healing. The second attributes the vertical shift itself to tropospheric
320 expansion.

321 Drawing on some elements from these two families but revising others, we argue
322 that the tropical lower stratospheric decrease in ozone arises in roughly equal parts from
323 the strengthening Brewer-Dobson circulation and expansion of the tropospheric destruc-
324 tion of ozone. Tropospheric expansion does not directly shift the ozone profile upwards,
325 but rather shifts the tropospheric destruction of ozone upwards. This expanded tropo-
326 spheric destruction “takes a bite” out of the stratospheric ozone profile, the low ozone
327 anomalies from which are advected upwards by the background upwelling until the anoma-
328 lies are damped by photochemistry. The increases in ozone aloft result from stratospheric
329 cooling, so their resemblance to a vertical shift is coincidental. Although stratospheric
330 cooling and tropospheric expansion both depend on CO₂ concentration, tropospheric ex-
331 pansion is mediated by climate sensitivity through the surface warming, whereas strato-
332 spheric cooling comes from the local radiative effects of CO₂.

333 7 Data Availability Statement

334 O₂ absorption coefficients taken from Ackerman (1971), as accessed from [http://](http://satellite.mpic.de/spectral_atlas/cross_sections/Oxygen/O2_Ackerman(1971)_298K_116.3-243.9nm(int-c).txt)
335 [satellite.mpic.de/spectral_atlas/cross_sections/Oxygen/O2_Ackerman\(1971\)](http://satellite.mpic.de/spectral_atlas/cross_sections/Oxygen/O2_Ackerman(1971)_298K_116.3-243.9nm(int-c).txt)
336 [_298K_116.3-243.9nm\(int-c\).txt](http://satellite.mpic.de/spectral_atlas/cross_sections/Oxygen/O2_Ackerman(1971)_298K_116.3-243.9nm(int-c).txt). O₃ absorption coefficients taken from Demore et
337 al. (1997), as accessed from [http://satellite.mpic.de/spectral_atlas/cross_sections/](http://satellite.mpic.de/spectral_atlas/cross_sections/Ozone/O3_JPL-2002(2002)_273K_175-363nm(rec).txt)
338 [Ozone/O3_JPL-2002\(2002\)_273K_175-363nm\(rec\).txt](http://satellite.mpic.de/spectral_atlas/cross_sections/Ozone/O3_JPL-2002(2002)_273K_175-363nm(rec).txt). Solar actinic flux developed by
339 Coddington et al. (2015), as accessed from [https://www.ncei.noaa.gov/products/climate](https://www.ncei.noaa.gov/products/climate-data-records/solar-spectral-irradiance)
340 [-data-records/solar-spectral-irradiance](https://www.ncei.noaa.gov/products/climate-data-records/solar-spectral-irradiance). CMIP6 data is accessible from [https://](https://esgf-node.llnl.gov/search/cmip6/)
341 esgf-node.llnl.gov/search/cmip6/.

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347 Federation (ESGF), as supported by multiple funding agencies.

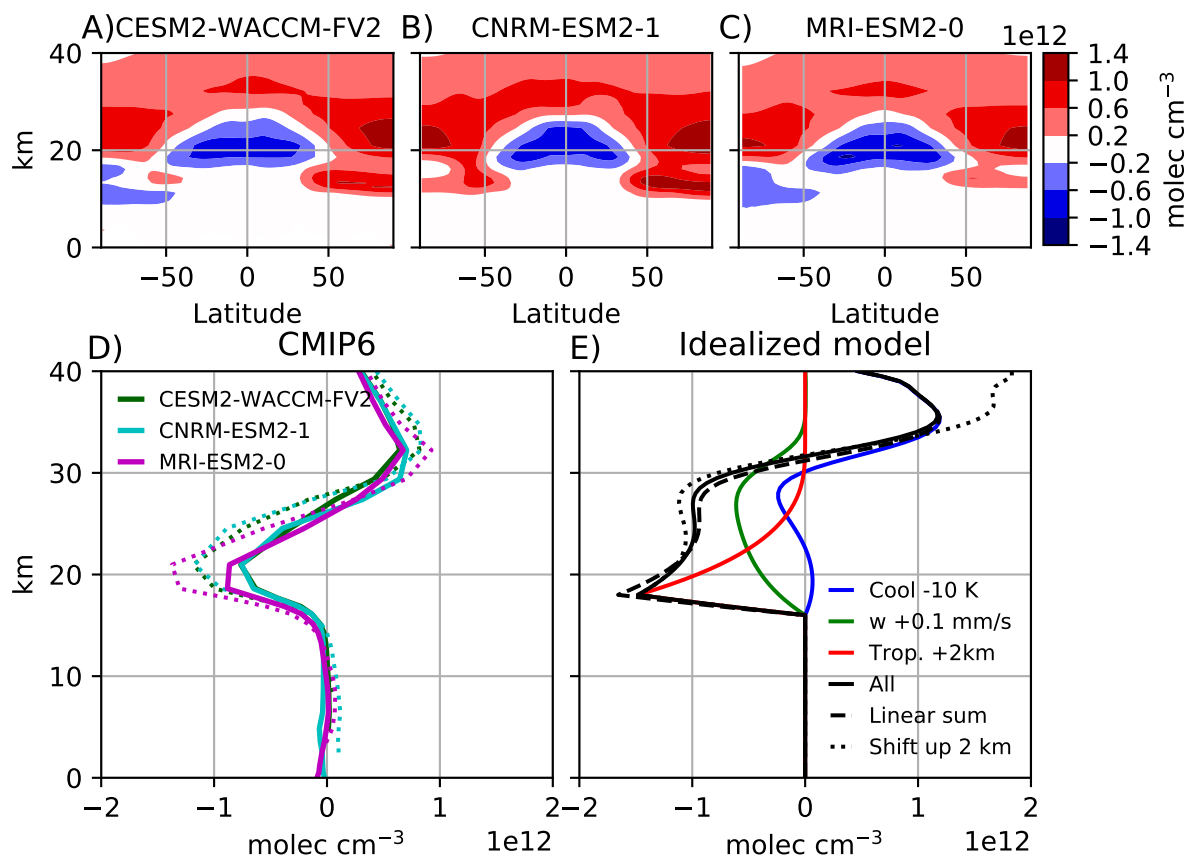


Figure 1. Effect on ozone number densities of CO₂ quadrupling. (A-C) Ozone number densities in CMIP6 models: abrupt-4xCO₂ (final 100 years) minus piControl. (D) Tropical average (30S-30N) of panels A-C, and change in ozone number densities from shifting the piControl ozone profile up by 2 km (dotted). (E) Tropical ozone anomalies in an idealized two-column model of ozone photochemistry, destruction and transport (described in the Methods), where anomalies result from a uniform cooling of 10 K (blue), a uniform increase in tropical upwelling by 0.1 mm s⁻¹ (green), an upward shift of the troposphere by 2 km (red), all of the above (black solid), the linear sum of each individual perturbation (black dashed), and the upward shift of the control ozone profile by 2 km (black dotted).

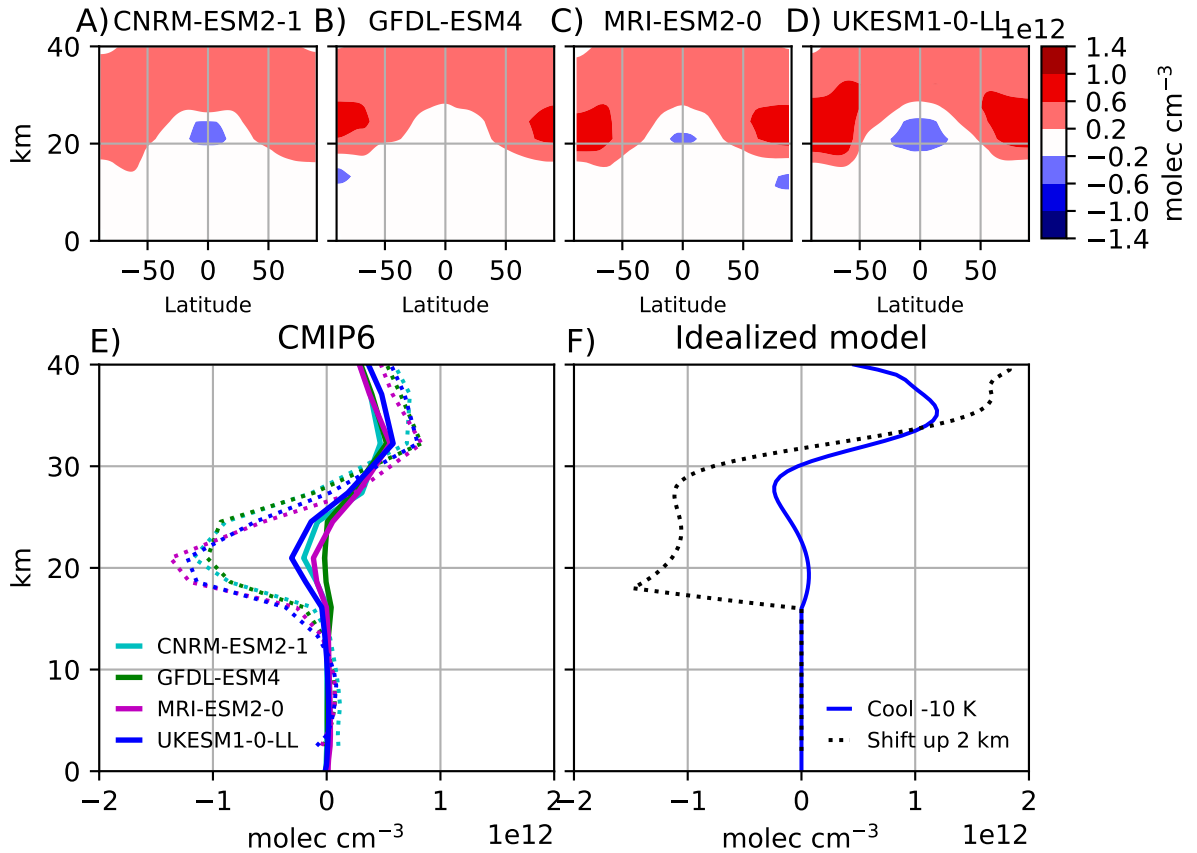


Figure 2. Effect on ozone number densities of stratospheric cooling. (A-D) Ozone number densities in piClim-4xCO₂ minus piControl. (E) Tropical average (30S-30N) of panels A-D, and change in ozone number densities from shifting the piControl ozone profile up by 2 km (dotted). (F) Ozone anomalies in the idealized model in response to a uniform cooling of 10 K (blue) compared to upward shift of the control ozone profile by 2 km (black dotted).

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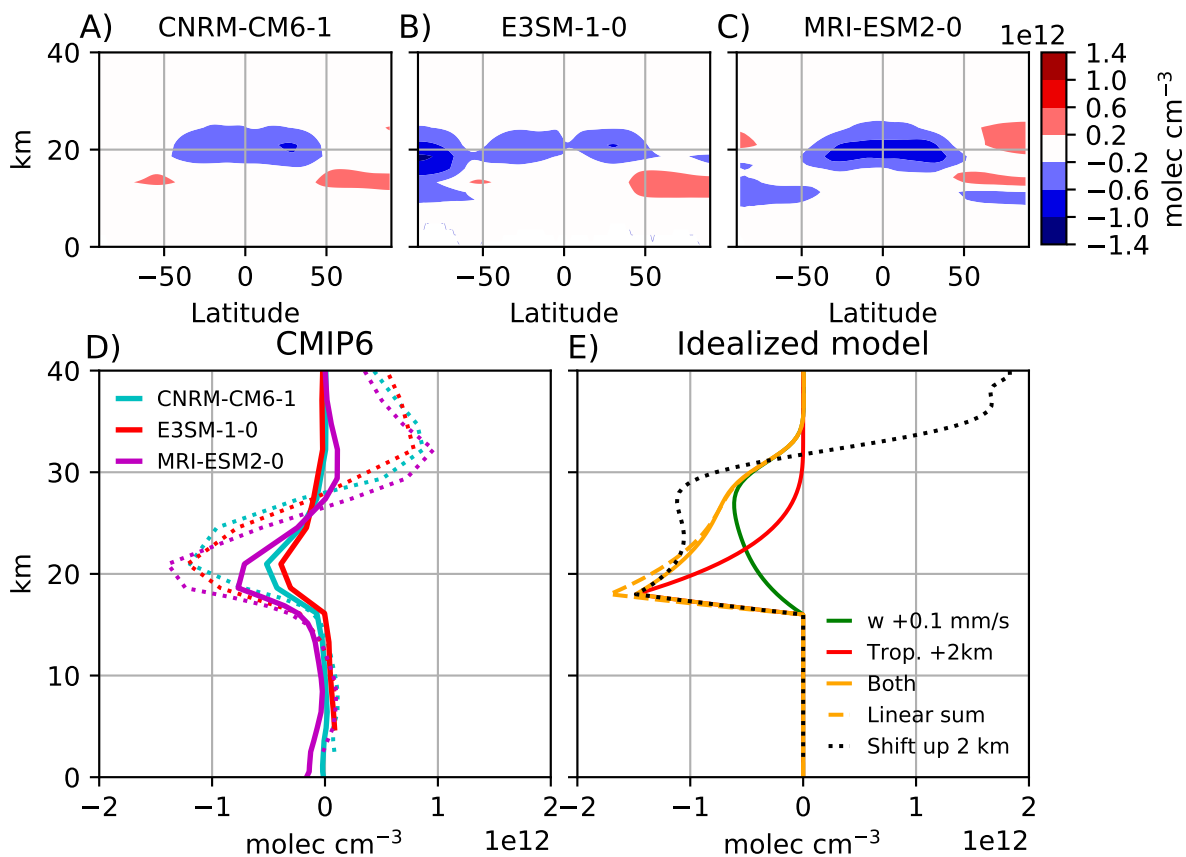


Figure 3. Effect on ozone number densities of surface warming. (A-C) Ozone number densities in amip-p4K minus amip. (D) Tropical average (30S-30N) of panels A-C (solid) and change in ozone number density from shifting the amip ozone profile up by 2 km (dotted). (E) Ozone anomalies in the idealized model in response to strengthening of the Brewer-Dobson circulation by 0.1 mm s^{-1} (green), tropospheric expansion by 2 km (red), both (orange), their linear sum (dashed orange), and an upward shift of the control ozone profile by 2 km (black dotted).

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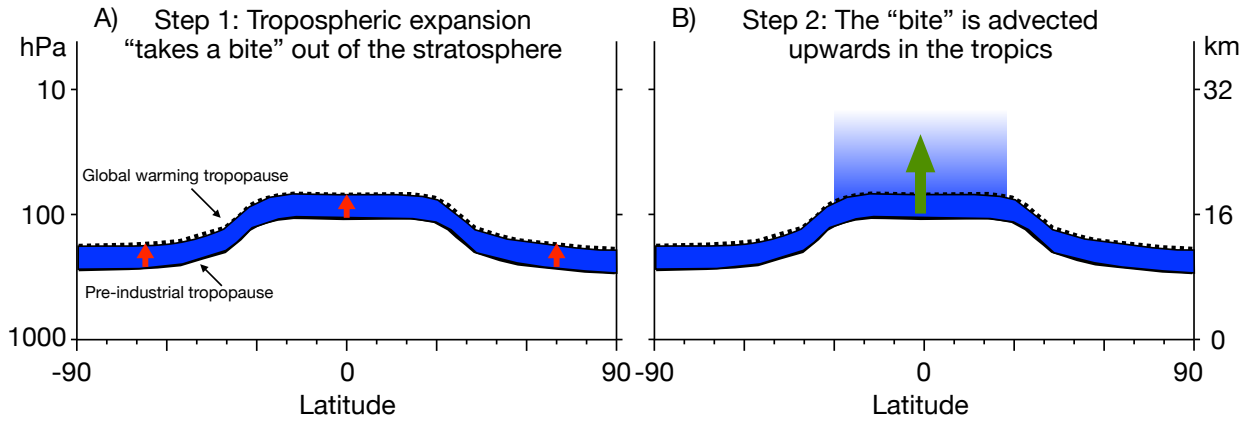


Figure 4. Cartoon illustrating the impact of expansion of tropospheric destruction of ozone.

(A) Tropospheric expansion “takes a bite” out of the stratosphere by converting stratospheric air to tropospheric air. (B) The “bite” is advected upwards in the tropics by the background Brewer-Dobson circulation until photochemical equilibrium is gradually re-established.

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