Divergent Features of the Tropopause Aerosol Layer: Effects of Monsoon Dynamics and Pollution Emissions in Asia, South America, and Africa

Dongyou Wu¹, Shirui Yan¹, Jinxia Zhang¹, Yang Chen¹, Yuxuan Xing¹, Jun Liu¹, Xin Wang², and Wei Pu³

¹Lanzhou University ²Tianjin University 3

June 14, 2023

Abstract

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Abstract

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Plain Language Summary

The tropopause aerosol layer (TAL) defines the accumulation of aerosols in the upper troposphere and lower stratosphere and induces precipitation anomalies, radiation perturbation, and even stratospheric ozone depletion, through which it may contribute to the effects of climate change. Previous studies have shown that the TAL is prevalent over Asia during the summer monsoon period, although it is unclear whether the phenomenon exists in other areas. This study investigated the occurrence of TALs worldwide and found that it is not limited to Asia but is also observed in South America and Africa. The TAL is a result of the combined effects of monsoon dynamics and pollutant emissions, leading to its unique spatial characteristics and radiative effects.

1 Introduction

The tropopause aerosol layer (TAL) defines the accumulation and concentration of aerosols in the upper troposphere and lower stratosphere (Bian et al., 2020; Lau et al., 2018), contrasting with the decreasing concentration of aerosols in the lower troposphere as altitude increases (Liu et al., 2021; Yu et al., 2010). The phenomenon was first discovered over Asia during the boreal summer through satellite retrieval and model simulation and was known as the Asian Tropopause Aerosol Layer (ATAL) (Vernier et al., 2011; Yu et al., 2017). The presence of the ATAL can significantly alter precipitation (Fadnavis et al., 2017), deplete stratospheric ozone (Salawitch and McBride, 2022; Solomon et al., 2022), and inhibit surface warming (Fadnavis et al., 2019), resulting in considerable impacts on the environment, hydrology, and even human life in Asia (Liu et al., 2020; Usha et al., 2022; Yuan et al., 2019b).

The ATAL is formed by the joint effects of monsoon dynamics and surface pollutant emission (Lau et al., 2018; Lelieveld et al., 2018; Yu et al., 2017). Specifically, local emissions and long-range transport by prevailing southwesterly winds lead to high concentrations of surface pollutants over South and East Asia (Neely et al., 2014; Wu et al., 2022b; Zhang et al., 2019). During the Asian Summer Monsoon (ASM) period, deep convection and strong updrafts occur, forcing surface pollutants to penetrate into the stratosphere (Bucci et al., 2020; Lau and Kim, 2022b). ASM anticyclonic circulation in the upper troposphere acts as a trap, causing the pollutants to accumulate over the Tibetan Plateau rather than spreading globally (Vernier et al., 2011; Yuan et al., 2019a). In view of this formation mechanism, the TAL may exist over other areas such as the Australian–Asian, African, and American monsoon regions (Geen et al., 2020). If so, the spatial features of each TAL may be different because each regional monsoon sub-system has unique characteristics of intensity, extent, and prevailing period (Li et al., 2016; Zhisheng et al., 2015). Previous studies have suggested the possible existence of TALs over North America and Africa, but considerable uncertainty remains (Vernier et al., 2015; Yu et al., 2015), so it is necessary to examine the possible existence of TALs worldwide to evaluate their potential atmospheric and climatic effects.

Interactions between aerosols and short-wave radiation significantly impact atmospheric thermodynamic and dynamic states, with notable effects on the radiation budget and climate system (Zhang et al., 2020). In the ATAL, the aerosols have 78 considerable radiative effects, with radiation perturbations of +0.15 W m^{-2} at the top 79 of the atmosphere and -0.72 W m⁻² at the surface (Geo et al., 2023, JGR), despite their relatively small amounts compared with surface loading. Carbonaceous aerosols (CAs), are prevalent in the ATAL and are particularly important due to their high capacity for solar radiation absorption (Ding et al., 2016; Tao et al., 2020). Radiative forcing (RF) induced by CAs is approximately twice that of mass-equivalent sulfate aerosol (Liu et al., 2022). Atmospheric warming induced by ATAL CAs causes increased precipitation over Asia through strengthening the monsoon Hadley circulation (Fadnavis et al., 2017, ACP). Therefore, it is vital to assess the radiative effects of TAL globally, with a strong focus on CAs because of their widespread distribution in the world, particularly in monsoon regions (Figure S1).

This study aimed to provide a global perspective on the TAL phenomenon by considering its existence in different monsoon regions based on the CAs component. Data from multiple sources including satellite retrievals, re-analysis, and model simulations were used to elucidate processes that influence the formation and evolution of a TAL, particularly the impact of monsoon dynamics and surface pollutants. Our results provide innovative insights into the interactions between aerosols and monsoons, thus contributing to a deeper understanding of these complex phenomena.

2 Data and Methods

2.1 Satellite Retrieval

The Ozone Mapping and Profiler Suite (OMPS) Limb Profiler (LP) aboard the Suomi National Polar-orbiting Partnership satellite was launched in October 2011, aiming to retrieve vertical profiles of ozone, aerosol extinction, and cloud-top height (Chen et

al., 2018, 2020). The instrument measures limb-scattering radiance at six wavelengths (510, 600, 675, 745, 869, and 997 nm) in the 0–80 km altitude range. The relatively high vertical and spatial sampling allow detection and tracking of sporadic events when aerosol particles are injected into the tropopause (Wu et al., 2022a). In studying the TAL, this work used the Level-2 swath observation product of the OMPS/LP (Taha et al., 2021).

In addition, aerosol optical depth (AOD) from CALIPSO (Wielicki et al., 2010), land cover and fire monitoring product from the Moderate Resolution Imaging Spectroradiometer (MODIS) instrument (Justice et al., 2002), outgoing longwave radiation (OLR) from US National Oceanic and Atmospheric Administration (NOAA) satellite observations (Gruber and Krueger, 1984), and Global Precipitation Climatology Project (GPCP) combined the satellite retrieval and rain gauge observation (Huffman et al., 1997) were also applied.

2.2 Reanalysis

The Modern Era Retrospective analysis for Research and Applications version 2 (MERRA2) atmospheric reanalysis generated by the US NASA Global Modeling and Assimilation Office provides traditional atmospheric products and chemical compositions for aerosols and greenhouse gases (Buchard et al., 2017; Gelaro et al., 2017). MERRA2 modeling and assimilation have allowed many advances in the understanding of atmospheric chemistry, ozone, and stratosphere processes (Randles et al., 2017). Aerosol and ozone products have proved very helpful in the study of global air pollution, from the troposphere to the stratosphere (Che et al., 2019; Wang et al., 2021), well reproducing the ATAL phenomenon (Lau and Kim, 2022b; Wu et al., 2022b; Yuan et al., 2019a). The aerosol and meteorology-related products were thus used here to explore monsoon influences on the TAL.

The fifth generation European Re-Analysis (ERA5) was developed by the European Centre for Medium-Range Weather Forecasts to model data, physics, and core dynamics to provide a detailed description of the global atmosphere, land surface, and ocean waves (Hersbach et al., 2020). ERA5 meteorological data were also used in this study.

2.3 Model Output

Models of the sixth phase of the Coupled Model Inter-comparison Project (CMIP6) enable long-term simulations and various experiments in reconstructing the historical evolution and future projection of climate change and air pollution (Bauer et al., 2020; Eyring et al., 2016; Zanis et al., 2020). CMPI6 model outputs were used to verify the occurrence of TALs.

2.4 WMMEM and Quantitative Contributions of Factors

Weighted multi-model ensemble means (WMMEMs) were used in model bias correction to reduce errors associated with the inter-model spread of CMIP6 data as follows (Shen et al., 2021):

$$
Y(t) = \sum_{i} W_i X_i \tag{1}
$$

143 where X_i is the output time series of each model, W_i is the weighting of each model 144 error relative to a MERRA2 reference, and $Y(t)$ is the corrected CMIP6 output.

Quantitative contributions of influencing factors were based on the multiple-linear-regression model (Cui et al., 2021; Wu et al., 2021).

2.5 NASA Langley Fu–Liou radiative transfer model

The NASA Langley Fu**–**Liou radiative transfer model computes broadband solar shortwave and thermal longwave profiles of down-welling and up-welling flux accounting for gas absorption, and absorption and scattering by aerosols and clouds (Balmes et al., 2021; Natarajan et al., 2012). It is a highly modified version of the original model developed by Fu and Liou (Fu et al., 1993). Atmospheric profiles of pressure, temperature, water vapor, and ozone, surface albedo and emission, and aerosol optical depth and vertical profiles were the key input parameters. The Langley Fu–Liou radiative transfer model was adopted for rough evaluation of RF caused by TAL CAs.

3 Results

3.1 TALs Formation in Asia, South America, and Africa

Based on the mechanism of formation of the ATAL, the two primary factors causing the appearance of a TAL are monsoon dynamics and surface pollutants. Monsoon-controlled regions characterized by heavy precipitation are shown in Figure 1a, mainly over the land and ocean in the region 30°N–30°S, with South and East Asia including India and China having the most severe anthropogenic pollution. In contrast, South America, Africa, and Southeast Asia are covered mainly by forest and grassland with pollution arising mainly from natural wildfires (Figure 1c, d). There is relatively little atmospheric pollution over the Caribbean and other ocean areas. The pollution distribution is portrayed well by that of CAs (Figure 1b), which are usually used to identify features of the ATAL (Lau and Kim, 2022a; Yuan et al., 2019a). The presence of tropopause CAs, as indicated by multiple data from OMPS/LP satellite retrieval, MERRA2 reanalysis, and CMIP6 simulation (Figures 2 and S6–S17), indicates the occurrence of TALs over Asia, South America, and Africa. Monsoon dynamics are strong in these areas, and surface pollution levels are high (Figures S2– S5). Caribbean and ocean areas also have strong monsoon dynamics but low surface pollution, so they do not exhibit clear TALs, nor do other monsoon-free but high-surface-pollution areas show evidence of TALs, confirming that monsoon dynamics and surface pollutants are essential for their formation.

The appearance of a TAL has a clear seasonal pattern, as indicated in Figures S6–S17. In Asia, the TAL usually appears during June–September, peaking in July–August, as shown earlier (Yuan et al., 2019a). In South America, the TAL appears during October–December, whereas there are two TAL phenomena in Africa, one in West Africa during February–April, and another in East Africa during February–May. All appearances and intensities of TALs correspond to the evolution of monsoon systems (Figure S5) rather than monthly variations in surface pollution levels (Figures S2–S4). This highlights the dominant role of monsoon dynamics in determining seasonal variations in TALs, as found earlier (Wu et al., 2022b). TAL features in West and East Africa are similar, so only the former region is considered here.

3.2 Divergent Spatial Features of TALs

Spatial distributions and cross-sections of TALs over Asia, South America, and Africa are shown in Figure 2 for July–August, October–December, and February–April, respectively. Here, features of TALs were examined mainly on the basis of MERRA2 and CMIP6 datasets, rather than the OMPS/LP dataset, owing to the low signal/noise ratio caused by cloud cover in the latter. Corresponding CAs AOD is shown in Figure 1e–m, and OLR, OMEGA, and the 200 hPa atmospheric circulation fields are shown in Figure 3, indicating features of deep convention, vertical motion, and anticyclones in the upper troposphere caused by monsoon dynamics.

Among these regions, South America exhibits the most intense surface CAs pollution, and Africa the least. There are two pollution centers in Asia: in India and China. During the prevailing monsoon period, upward vertical motion induced by deep convection carries surface pollutants into the upper troposphere and even the lower stratosphere. The highest TAL CAs intensity was thus observed in South America, while intensities were comparable in Asia and Africa. TAL CAs concentrations in South America were 2–3 times those in Asia and Africa, consistent with patterns of 203 surface pollution. However, TAL altitude was highest in Asia, centered at \sim 120 hPa, 204 followed by South America $(\sim 200 \text{ hPa})$, and Africa $(\sim 220 \text{ hPa})$. This is due to the Himalayas and the Tibetan Plateau causing the strongest summer monsoon in South Asia (Boos and Kuang, 2010; Zhang et al., 2012) with the most intensive deep convection and upward vertical motion and upwelling velocities exceeding −0.06 Pa $\,$ s⁻¹ in the core ascent zone. Monsoon dynamics in the other areas are relatively weak, even negligible in Africa relative to Asia. It follows that updrafts account for the suspended height of TALs, and tropopause height alone does not determine the rising altitude of the TAL (Figure 3g–i).

Another interesting distinction between TALs in different areas is their three-dimensional shape. The TAL in Asia has the widest spatial coverage, spanning from the Iranian Plateau to eastern China through an extended upper-tropospheric 215 anticyclonic circulation spanning $>60^{\circ}$ of longitude. This circulation is strengthened

by the heating effect of the Himalayas and the Tibetan Plateau, as documented by Wu et al. (2015). In contrast, anticyclonic circulation over South America and Africa is 218 relatively weak, covering only $\sim 30^{\circ}$ of longitude. This acts as a barrier, constraining the TAL to a limited spread, mainly over central South America and West Africa. Of the two TAL centers in Asia, the stronger is over the Tibetan Plateau and the weaker is over southwest China, due to anthropogenic pollution (the primary emission source) being centered over small areas of dense population in India and western China and producing two narrow vertical transport conduits, consistent with Lau et al. (2018). In comparison, surface pollutants in South America and Africa are derived mainly from widespread wildfires across forest and grassland, resulting in one broad vertical transport conduit and a single peak TAL center. Overall, TALs in Asia, South America, and Africa thus exhibit divergent spatial features owing to the combined effects of monsoon dynamics and surface pollutant emissions.

3.3 Divergent Radiative Forcing of TALs

The remarkable features of the TALs result in divergent radiative effects. Based on MERRA2 reanalysis, we evaluated RFs induced by TAL CAs in Asia, South America, and Africa utilizing the Langley Fu–Liou radiative transfer model. TAL CAs over Asia have warming effects on the climate system of +0.21 W m⁻² at the top of the 234 atmosphere (Figure 4), whereas there are cooling effects of -0.47 and -0.12 W m⁻² over South America and Africa, respectively. These differences are related to CA composition, which includes black carbon (BC) and organic carbon (OC); the former has a high light-absorption capacity and the latter a predominantly light-scattering capacity. The relative CA contents of BC and OC determine RF magnitude and sign. The amount of BC in TAL over Asia (AOD 0.0026) was higher than that in the South American (AOD 0.0016) and African (AOD 0.0008) TALs. The OC content (AOD 0.0034) over Asia was roughly equivalent to the BC content, but it was much higher over South America (AOD 0.0081) and Africa (AOD 0.0029). Therefore, TAL BC warming effects over South America and Africa were offset by OC cooling effects. In contrast to results at the top of the atmosphere, TAL CAs caused negative RFs at the

surface for all three regions owing to absorption and scattering of sunlight by CA leading to less shortwave radiation reaching the surface. Among three regions, the surface RF of TAL CAs was lowest in Africa due to its weaker intensity there. In the atmosphere, Asian TAL CAs had the strongest warming effect because of their higher BC contents. Consistent with the results of Gao et al. (2023), our simulation indicated a positive Asian TAL RF at the top of the atmosphere rather than the negative values reported by Vernier et al. (2015). We found that CA-induced warming effects were stronger than those caused by scattering and absorbing aerosols (+0.15 W m−2; Geo et al., 2023). These results thus reflect the importance of TAL CAs in climate systems relative to other types of aerosol. Moreover, we note that larger amounts of CAs will likely be released to the atmosphere by more frequent and intense wildfires caused by favorable meteorological conditions under global warming (Huang et al., 2023; Pu et al., 2021; Xie et al., 2022; Zheng et al., 2023). More attention should thus be paid to CAs or smoke from wildfires to evaluate their source, transport, radiation, and climate effects.

The intensity of solar shortwave radiation varies with altitude, leading to diverse RFs of equivalent CA concentrations at different altitudes. To better understand this phenomenon and highlight the radiative effects of TAL CAs, we examined equivalent CAs at three altitude levels: upper troposphere (300–100 hPa), middle troposphere (600–400 hPa), and lower troposphere (900–700 hPa). In Asia, the equivalent CA levels changed from warming to cooling effects with decreasing altitude, indicating the relative importance of competitive scattering and absorption of radiation by BC and OC at different altitudes. In South America and Africa, equivalent CAs at different altitudes exhibited consistently negative RFs, but with different intensities. These changes from warming to cooling, and RF intensity, result from competition between BC absorption and OC scattering. However, when only one type of aerosol (BC or OC) is considered, RFs increase with altitude because of the stronger solar shortwave radiation at higher altitudes, thus highlighting the importance of TALs to the climate system.

4 Discussion

This study of the TAL phenomenon in South America and Africa followed the discovery of the ATAL (Vernier et al., 2011) and involved multiple data sources including OMPS/LP satellite retrieval, MERRA2 reanalysis, and CMIP6 simulations. Our findings highlight the critical role of monsoon dynamics and surface pollutant emissions in the formation of TALs, which together cause their divergent spatial features and drive their evolution across these three areas. We emphasize the importance of including natural emissions in future TAL studies owing to the increasing frequency and intensity of wildfires under a global warming scenario (Abram et al., 2021; Huang et al., 2023; You and Xu, 2022). Although our results are robust, the inconsistency in TAL seasonality among the OMPS/LP, MERRA2, and CMIP6 datasets indicates uncertainties due to imperfections in cloud removal in satellite retrieval and limitations in the modeling of stratospheric processes. Therefore, further in-situ observations are required for improvement of understanding of TALs. Overall, this study provides new insights into TALs and should aid further study of interactions between aerosols and monsoons, especially concerning their impact on stratospheric chemistry and climate change (Bian et al., 2020; Salawitch and McBride, 2022; Solomon et al., 2022).

5 Conclusions

This study aimed to investigate the TAL phenomenon by analysis of CAs using multiple data sources including OMPS/LP satellite retrieval, MERRA2 reanalysis, and CMIP6 model outputs. Results indicate that TALs occur not only in Asia, but also in South America and Africa during their monsoon periods. Monsoon dynamics and surface pollutant emissions are the two prime factors involved in TAL formation. The TAL in Asia has the highest altitude and widest spatial coverage due to the effects of strong deep convection, updrafts, and a large anticyclonic system in the upper troposphere, all of which are caused by strong monsoon dynamics. Whereas, TAL intensity was highest in South America due to heavy surface CAs emissions. In Asia, anthropogenic pollution is concentrated over small areas of dense population in India and western China, producing two narrow vertical transport conduits and two TAL

Open Research

The aerosol extinction ratio from OMPS/LP aboard the S-NPP can be retrieved from https://doi.org/10.5067/CX2B9NW6FI27. The MERRA2 reanalysis is available at the following links: Product inst3_3d_aer_Nv, https://doi.org/10.5067/LTVB4GPCOTK2; 319 instM_3d_asm_Np, https://doi.org/10.5067/2E096JV59PK7; tavgM_2d_aer_Nx, 320 https://doi.org/10.5067/FH9A0MLJPC7N; tavgM_2d_rad_Nx, 321 https://doi.org/10.5067/OU3HJDS973O0. The ERA5 reanalysis is obtained from https://doi.org/10.24381/cds.6860a573. The CMIP6 models' outputs can be found at https://esgf-node.llnl.gov/search/cmip6/. The CALIPSO satellite retrieval (product: 324 LID L3 Tropospheric APro CloudFree-Standard-V4-20) is available at https://opendap.larc.nasa.gov/opendap/CALIPSO/LID_L3_Tropospheric_APro_Clou dFree-Standard-V4-20/contents.html. The fire count can be downloaded from the Fire Information for Resource Management System (FIRMS; 328 https://firms.modaps.eosdis.nasa.gov/download/create.php), in which the fire sources from MODIS and VIIRS S-NPP were employed after selecting the file format and submitting the email address. The land cover (product name: MCD12C1, i.e., MODIS/Terra+Aqua Land Cover Type Yearly L3 Global 0.05Deg CMG) from 332 MODIS is available at https://ladsweb.modaps.eosdis.nasa.gov/search/order/1/MCD12C1--6, which can be retrieved from the above link after selecting the product: MCD12C1. The OLR from NOAA and precipitation from GPCP can be obtained from https://psl.noaa.gov/data/gridded/data.olrcdr.interp.html and https://psl.noaa.gov/data/gridded/data.gpcp.html, respectively. The NASA Langley Fu-Liou radiative transfer model can be accessed from https://cloudsgate2.larc.nasa.gov/cgi-bin/fuliou/lflcode/accesslfl.cgi after registration. All data used in this paper are available at the time of submission. Figures in this manuscript were made with python version 3.9 and this software is available from https://www.python.org/.

Acknowledgments

- This research was supported by the National Key Research and Development Program of China (2019YFA0606801), the National Science Fund for Distinguished Young Scholars (42025102), the Natural Science Founds of Gansu Province, China (22JR5RA418), and the Fundamental Research Funds for the Central Universities (lzujbky-2022-it05). The calculation was supported by the Supercomputing Center of Lanzhou University.
- **Conflict of Interest**
- The authors declare no conflicts of interest relevant to this study.

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566 **Figu ures**

584 Figure 1. Accumulation regions of carbonaceous aerosols (CAs) and monsoons. 585 **(a)** 586 September and December-March, 2012–2021. (b-d) Spatial distribution of MERRA2 587 CAs AOD, MODIS land-cover type, and fire frequency, during 2012-2021. (e-f) 588 Spatial distribution of CAs AOD over Asia during July–August, 2012–2021 589 (MERRA2 and CMIP6, respectively). (g) Spatial distribution of smoke AOD over 590 Asia, during July–August, 2012–2021 (CALIPSO). (h-j) As for (e-g), but for South 591 America during October-December 2012-2021. (k-m) As for (e-g), but for Africa 592 during February–April, 2012–2021. In (a) the color bar represents land cover as 593 follows: 0, water; 1, evergreen needle-leaf forest; 2, evergreen broadleaf forest; 3, 594 deciduous needle-leaf forest; 4, deciduous broadleaf forest; 5, mixed forest; 6, closed 595 shrubland; 7, open shrubland; 8, woody savannah; 9, savannah; 10, grassland; 11, 596 permanent wetland; 12, cropland; 13, urban and built-up; 14, cropland/natural 597 vegetation mosaic; 15, snow and ice; and 16, barren or sparsely vegetated. The 598 precipitation anomaly between boreal summer and winter represents the 599 monsoon-prevalent regions. AOD was adopted as a proxy for near-surface CA 600 emi ission. Spatial distribution of the GPCP precipitation anomaly (mm d^{-1}) between June–

Figure 2. The tropopause aerosols layer (TALs) over Asia, South America, and Africa. (a) Spatial distribution at 80–200 hPa and cross-section over 10°–30°N for the CAs mixing ratio (ppbm; from MERRA2 and CMIP6) and aerosol extinction ratio (OMPS) over Asia, during July–August, 2012–2021. **(b)** Spatial distribution at 150– 300 hPa and cross-section over 20°S–0° for the CAs mixing ratio (ppbm; MERRA2 and CMIP6) and aerosol extinction ratio (OMPS) over South America, during October–December, 2012–2021. **(c)** Spatial distribution at 150–250 hPa and cross-section over 10°S–15°N for the CAs mixing ratio (ppbm; MERRA2 and CMIP6) and aerosol extinction ratio (OMPS) over Africa, during February–April, 2012–2021.

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604 Figure 3. Monsoon dynamic conditions contributing to TALs formation over Asia, **605 South America, and Africa, 2012–2021. (a–c)** Spatial distribution of OLR (W m^{-2} ; 606 NOAA) during July-August over Asia, October-December over South America, and 607 February–April over Africa. (d–f) Cross-section of vertical velocity (−Pa s⁻¹; ERA5) 608 in July–August over 10° –30°N (Asia), October–December over 20° S–0° (South 609 America), and February–April over $10^{\circ}S-15^{\circ}N$ (Africa). **(g-i)** As for (a-c), but for 610 wind field (vectors; ERA5) at 100 hPa (UV100), 250 hPa (UV250), and 200 hPa 611 (UV V200), and tropopause e pressure based on a blended estimate (T TROPPB; hPa, 612 shaded) from MERRA2. OLR was selected as a proxy for deep convection.

Figure 4. Radiative forcing induced by TALs. (a) The schematic diagram of interactions between solar radiation and CAs (BC and OC) in TALs over Asia, South 607 America, and Africa. **(b)** The radiative forcing (RF, units: W m^{-2}) at the top of the atmosphere (TOP), at the surface (SUR), and in the atmosphere (ATM) induced by TALs over Asia, South America, and Africa. **(c)** The RF at the top of the atmosphere induced by equivalent CAs in the upper troposphere (Upper; red bars), middle troposphere (Middle; green bars), and lower troposphere (Lower; blue bars). TALs CAs mixing ratio (ppbm; CMPI6) over Asia, South America, and Africa were processed for the regions of 15°–0°N and 60°–120°E during July–August over Asia; 20°S–5°N and 70°–35°W during October–December over South America; and 15°S– 15°N and 0°–40°E during February–April over Africa.