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measurements**

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Balloon-borne limb measurements of the diurnal variation of UV/vis absorbing radicals – a case study on NO₂ and O₃

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Abstract

A new “Bayesian” minimization algorithm for the retrieval of the diurnal variation of UV/vis absorbing radicals (O_3 , NO_2 , BrO , $OCIO$ and $HONO$) from balloon-borne limb scattered skylight observations is discussed. The method evaluates spectroscopic measurements in combination with radiative transfer calculations to drive a mathematical inversion on a discrete time and height grid. Here, the proposed method is applied to data obtained during two deployments of the mini-DOAS instrument on different balloon payloads in northern Brazil in June 2005. The retrieval is tested by comparing the inferred profiles to in-situ ozone sounding data and to measurements of the ENVISAT/SCIAMACHY satellite instrument performed during a collocated overpass. The comparison demonstrates the strength and validity of our approach. In particular for time-varying radical concentrations, photochemical corrections due to temporal mismatch of the corresponding observations are rendered dispensable. Thus, limb scanning UV/vis spectrometry from balloon platforms offers a more direct and concise approach for satellite validation of radical measurements than solar occultation measurements. Furthermore, monitoring of the diurnal variation of stratospheric radicals allows us to constrain photochemical parameters which are critical for stratospheric ozone chemistry, such as the photolysis frequency of N_2O_5 by observations of the diurnal variation of NO_2 .

1 Introduction

In the past decade balloon-borne remote sensing evolved into a powerful tool for the investigation of atmospheric parameters and photochemical processes relevant for stratospheric ozone chemistry. These spectroscopic techniques have been developed to remotely detect a wide range of stratospheric trace gases via their spectral signatures. Today, such techniques virtually cover all wavelengths ranging from the UV/visible over the near-IR and mid-IR into the microwave. Accordingly, a variety of

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instruments have been designed to passively monitor the atmospheric emission in the IR and microwave or the atmospheric absorption in the UV/vis and shortwave IR solar spectra (e.g. Pommereau and Goutail, 1988; Oelhaf et al., 1991; Toon et al., 1991; Camy-Peyret, 1995; Ferlemann et al., 2000; Birk et al., 2004). In particular, observations in the UV/vis spectral range facilitate monitoring of several important species such as O₃, NO₂, NO₃, HONO, BrO, IO, OIO, OClO, CH₂O and CH₂O₂. Balloon-borne solar occultation measurements have proven (Ferlemann et al., 2000) to be a particularly valuable tool for investigating stratospheric photochemistry and trends in stratospheric species, such as total bromine (Dorf et al., 2006). Here, we report on an extension of our previous studies on balloon-borne UV/vis scattered skylight limb observations (Weidner et al., 2005). While in previous studies we mainly considered measurements at fixed elevation angles during balloon ascent, here the limb method is expanded to observations from balloon float altitude at varying elevation angles. They support the monitoring of stratospheric radicals at changing illumination.

In the past years such measurements were performed by our group from various azimuth angle controlled balloon gondolas, such as LPMA/DOAS (Laboratoire de Physique Moléculaire pour l'Atmosphère et l'Astrophysique and Differential Optical Absorption Spectroscopy), LPMA-IASI (Infrared Atmospheric Sounding Interferometer) and MIPAS-B (Michelson Interferometer for Passive Atmospheric Sounding-Balloon). Among a larger series of stratospheric balloon flights (see Table 4), favorable conditions for long duration observations, which are necessary to study the diurnal variation of radicals, were only met a limited number of times. Those flights were performed from the tropical station Teresina, Brazil (5.1° S, 42.9° W) in 2005 and 2008, or in high-latitude summer 2002 (Kiruna, Sweden, 67.9° N, 22.1° E) during turn-over of the stratospheric circulation. Typically, these balloon flights lasted in excess of 5 h at daytime.

While the present study mainly discusses details of the method to infer the diurnal variation of radical profiles, forthcoming studies will address the interpretation of the results with respect to stratospheric photochemistry. Section 2 introduces the applied methods with focus on instrument performance and spectral retrieval, followed by a

description of the concentration profile retrieval including radiative transfer modelling and inversion through an optimal estimation method (Rodgers, 2000). Further, the profile retrieval is characterized by means of resolution in altitude and time. The information content and errors due to noise or unstable pointing are estimated. Section 3 reports on the validation of our approach for gases of (a) small diurnal variation such as O_3 and (b) large diurnal variation such as NO_2 , by comparing our trace gas retrievals to (a) an O_3 profile measured by an ozone sonde, and (b) NO_2 profiles measured by the SCIAMACHY instrument aboard the ENVISAT satellite during a colocated overpass. Concluding remarks are given in Sect. 4.

2 Method

Radical profiling by UV/vis limb scattered skylight observations involves a couple of tools and methods. These rely on detailed knowledge of the measurement process (Sect. 2.1), dedicated methods for spectral (Sect. 2.2) and profile retrieval (Sect. 2.3) and thorough characterization of various sources of error (Sect. 2.4).

2.1 Instrument and measurements

A detailed description of the instrument is given by Weidner et al. (2005). Therefore, only a brief summary of instrumental details is given here. The mini-DOAS instrument is of light weight (7 kg) and low power consumption (10 W), and thus, can easily be deployed on remote sensing balloon payloads or aircrafts. In its core the instrument houses two temperature and pressure stabilized commercial Ocean Optics spectrometers (USB/2000 (f/4)) covering the wavelength range from 340 to 500 nm at a spectral resolution of 0.8–1 nm (USB/2000) with 8 to 10 detector pixels/Full width at Half Maximum (FWHM) of the instrument response function, depending on wavelength. The telescope collimates scattered light into a glass fiber bundle with a vertical field of view (FOV) of 0.2° , thus allowing for a reasonably high altitude resolution. The measurement

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geometry is characterized by the elevation angle of the telescope (EA), the relative azimuth angle between telescope and the sun (SRAA) and the solar zenith angle (SZA). Routinely, the telescope is oriented to the horizon at a fixed EA during balloon ascent when the gondola ascends through the atmosphere, providing a large sensitivity for trace gases at the particular tangent height. A second mode of operation, which is the focus of the present paper, starts when the balloon has reached float altitude (e.g. around 35 km, see Fig. 1). Then the telescope is commanded to automatically scan different elevations ranging from $EA=0^\circ$ to $EA=-6^\circ$ in steps of 0.5° . A full scan typically takes 15 min. The change in observation geometry leads to a changing sensitivity in different altitudes of the atmosphere, e.g. with the highest sensitivity at flight altitude (for $EA\approx 0^\circ$) or 20 km below (for $EA\approx -6^\circ$). Hence, by continuously scanning the atmosphere, the instrument provides time-resolved vertical profile information of UV/vis absorbing trace gases. Depending on the balloon payload, the float duration varies between several hours up to a whole day.

In order to retrieve profiles of the targeted trace gases from the measured spectral intensities, a two step approach is used. First, we infer the integrated concentration along the light path relative to a background integrated concentration from the measured spectra. In the following these are called differential slant column densities (Δ SCDs). The applied method is the well-known DOAS technique (Platt and Stutz, 2006). In a second step, the inferred Δ SCDs are taken as input for a profile inversion algorithm that exploits the geometry of the light path aiming at the retrieval of vertical concentration profiles at different times.

2.2 Spectral retrieval

Following the approach described in Weidner et al. (2005), the measured spectra are analyzed for UV/vis absorbers (e.g., O_3 , NO_2 , BrO, O_4 , OClO, HONO, CH_2O , IO, OIO, ...) using the conventional DOAS method (Platt and Stutz, 2006). The Δ SCDs are derived by a non-linear least squares fit of measured intensities $I_i(\lambda)$ to a background intensity (henceforth $I_{ref}(\lambda)$) where the subscript i labels the i -th measurement and λ

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explicitly indicates that the measured intensities are wavelength dependent. Forward parameters are the (differential) absorption cross sections for individual absorbers and a Ring spectrum (Grainger and Ring, 1962). In addition atmospheric broad band extinction and spectrometer stray light are respectively expressed as a multiplicative and additive polynomials, of which the coefficients are retrieved by the least squares fit (Fayt and Van Roozendael, 2001).

Considering for simplicity only a single molecular absorber with absorption cross section σ , Beer-Lambert's law of absorption is given by

$$I_i = I_o \cdot \exp(-\sigma \cdot \text{SCD}_i), \quad (1)$$

where SCD_i is the absorber slant column density with respect to a top-of-the-atmosphere solar spectrum I_o that contains no absorption by the target species (the dependency on wavelength λ is from now on implicitly assumed). Note that since the extraterrestrial solar spectrum I_o is not accessible to balloon-borne spectroscopy, all measurements are taken relative to a (Fraunhofer) background I_{ref} , which contains a residual atmospheric absorption SCD_{ref} . By a proper choice of I_{ref} SCD_{ref} is minimized. Beer-Lambert's law for I_{ref} reads

$$I_{\text{ref}} = I_o \cdot \exp(-\sigma \cdot \text{SCD}_{\text{ref}}), \quad (2)$$

which is equivalent to

$$I_o = I_{\text{ref}} \cdot \exp(\sigma \cdot \text{SCD}_{\text{ref}}). \quad (3)$$

Inserting Eq. (3) into (1) leads to

$$\begin{aligned} I_i &= I_{\text{ref}} \cdot \exp(\sigma \cdot \text{SCD}_{\text{ref}}) \cdot \exp(-\sigma \cdot \text{SCD}_i) \\ &= I_{\text{ref}} \cdot \exp(-\sigma \cdot [\text{SCD}_i - \text{SCD}_{\text{ref}}]) \\ &= I_{\text{ref}} \cdot \exp(-\sigma \cdot \Delta \text{SCD}_i). \end{aligned} \quad (4)$$

The DOAS retrieval fits Eq. (4) to the measured intensity minimizing the least squares criterion by adjusting ΔSCD_i and auxiliary parameters as described above. Hence,

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the result of a DOAS retrieval is a set of ΔSCD_i ($i = 1, \dots, N$, with N the number of measurements). It is noteworthy that, in principle, any measured spectrum I_i can serve as reference spectrum I_{ref} . The choice of I_{ref} translates into a common offset for all ΔSCD_i ($i = 1, \dots, N$), which in particular implies that a negative ΔSCD_i is physically reasonable. Practically, a spectrum with low absorption is chosen as I_{ref} in order to increase the relative absorption and therefore decrease the relative error. Finally it is straightforward to expand the above relations to several absorbers.

Here, we focus on test cases for gases such as O_3 and NO_2 that show small and large diurnal variations, respectively, and that can be validated through other measurement techniques. The spectral retrieval of O_3 and NO_2 is implemented as follows. The non-linear spectral fit is performed using the WinDOAS software (Fayt and Van Roozendaal, 2001). It considers O_3 cross-sections for temperatures $T = 223\text{ K}$ and 203 K (orthogonalized to the former) taken from Voigt et al. (2001), both corrected for the I_0 -Effect (Johnston, 1996), an O_4 cross-section (at room temperature) from Hermans (2002), NO_2 cross-sections at temperatures $T = 230\text{ K}$ and $T = 217\text{ K}$ (orthogonalized to the former) from Harder et al. (1997), and an H_2O cross-section from Rothman et al. (2005). A 4th order polynomial is used to account for the broad band structures and an additive 2nd order polynomial is included to account for stray light in the spectrograph. A spectrum correcting for the Ring effect (Grainger and Ring, 1962) has also been included in the fitting routine, as described in Bussemer (1993). The fit is performed in the 490–520 nm wavelength range for the retrieval of O_3 and in the 435–460 nm wavelength range for the retrieval of NO_2 . The squared 2σ error of the spectral retrieval represents the measurement error in the retrieval of profiles.

Figure 2 shows ΔSCDs of NO_2 retrieved from the measurements during the LPMA/IASI balloon flight at Teresina on 30 June 2005. The oscillating pattern of the ΔSCDs is a consequence of consecutive limb scans. Since the balloon is floating slightly above the maximum of the NO_2 layer in the stratosphere, the first elevation $\text{EA} = 0.5^\circ$ leads to lower NO_2 - ΔSCDs than measurements looking through the profile maximum somewhat lower in the atmosphere. Accordingly as the viewing direction

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moves closer to the maximum of the NO₂ layer, the ΔSCDs increase, they reach a maximum for an elevation EA= −2.5° and then decrease again while the elevation angles continue to decrease. Here the reference spectrum for the spectral analysis of NO₂ is taken at EA= 0.5°. A more quantitative understanding of the observation is obtained including radiative transfer modelling which is described in the following subsection.

2.3 Profile retrieval

In our case, the measured set of ΔSCDs constitutes the measurement vector \mathbf{y} with components $y_i = \Delta\text{SCD}_i$ ($i = 1, \dots, N$) (for the nomenclature see Rodgers, 2000). The state to be retrieved consists of elements $x_{j,k}$, representing the absorber concentration of an atmospheric altitude layer j in temporally subsequent instances numbered by k . Note, that the indices i and k implicitly contain the time t_i at which the measurement y_i is taken and the time T_k for which the profile $x_{j,k}$ is inferred. Hence, we need to introduce a kernel $K_{i,j,k}$ (weighting function), which involves both, time and space weighting,

$$K_{i,j,k} = \frac{\partial y_i}{\partial x_{j,k}} \quad (5)$$

with

$$y_i = \sum_j \sum_k K_{i,j,k} \cdot x_{j,k} + e_y. \quad (6)$$

The kernel is derived using a two step approach. In a first step the geometrical weighting (BoxAMF) is derived from RTM calculations and is represented by the matrix $L_{i,j}$. Accordingly $L_{i,j}$ gives the sensitivity of the measurement y_i at time t_i to the absorber concentration x_{j,k_0} at an arbitrary time t_{k_0} , i.e. neglecting the time difference between

retrieval instance T_k and measurement instance t_j ,

$$L_{i,j} = \frac{\partial y_i}{\partial x_{j,k_0}} \quad (7)$$

In the second step, the time weighting matrix $C_{i,k}$ is set up to represent the sensitivity of the measurement y_i at time t_j to the absorber concentration $x_{j,k}$ at time T_k . As the time weighting is simply derived by the inverse of the time lag between measurement and state and therefore does not depend on the measurement geometry, it can be separated from geometrical weighting. It should be pointed out that the forward model requires no chemical modelling, in contrast to the methods used so far (Schofield et al., 2004; Hendrick et al., 2004; Butz et al., 2006). This is due to the fact, that at low SZAs the concentration variation along the light path can be neglected for a specific altitude. The matrices $L_{i,j}$ and $C_{j,k}$ then yield the kernel $K_{i,j,k}$ considering both, geometrical and time weighting.

(a) Radiative transfer modelling (RTM)

The interpretation of scattered skylight measurements requires radiative transfer modelling. For the individual measurements, the radiative transfer is calculated using the fully spherical radiative transfer model McArtim. McArtim is a backward Monte Carlo model which generates a representative ensemble of individual photon path trajectories through the simulated atmosphere, each defined by a solution of the monochromatic radiative transfer equation at a certain wavelength. The 3 dimensional model was developed at the Institute of Environmental Physics in Heidelberg and validated against other radiative transfer models (Wagner et al., 2007; Deutschmann, 2008). For the present study, a model atmosphere from 0 to 70 km, discretized in layers of 1 km altitude is created, where properties like air density, humidity, aerosol load and temperature are defined. According to the wavelength interval which is considered in the spectral retrieval, the RTM for O_3 is modelled at 500 nm and for NO_2 at 450 nm.

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For ray tracing the light paths from the sun to the telescope, the viewing geometry needs to be defined. Here the balloon height and azimuth angle are obtained from the attitude control systems of the individual payloads. The SZA and SRAA are calculated using this geometrical information. The actual elevation angle of the telescope relative to the payload orientation is controlled by the mini-DOAS instrument itself. As the relative position of the telescope to the gondola affects the absolute EA, it is carefully aligned to the principle axis of the payload prior to the balloon flight. A remaining misalignment can be tested after the flight by comparing the modelled and measured relative radiances for each observation. The skylight radiance in the UV/vis spectral range changes largely with tangent height near the horizon and shows a wavelength dependent maximum in the lowermost stratosphere (Sioris et al., 2004; Weidner et al., 2005). This can be properly modelled in volcanically quiet periods, since the variety in the common stratospheric aerosol load barely influence the radiance distribution. Tropospheric optical constituents such as aerosols and clouds are only affecting lowest EAs. The resulting viewing geometry is used as input for the RTM.

High frequency pendulum oscillations of the gondola can be accounted for in the RTM calculations by adjusting the effective field-of-view. Since the available records of the attitude control systems indicate a permanent high frequency pendulum oscillation with an amplitude $\Delta EA \geq 0.1^\circ$, the effective field-of-view is expanded to a Gaussian shape with a FWHM of $\sigma = 0.3^\circ$. How remaining and unaccounted pointing errors due to gondola oscillation propagate into the results is discussed in Sect. 2.4.

b) Time weighting

The state $x_{j,k}$ consists of concentration profiles at subsequent times T_k , which are a result of the time grid which is defined prior to the retrieval. Since the retrieval of a single profile requires several measurements y_j , the time grid for the state cannot be the same as for the measurement vector. If the diurnal variation of a certain trace gas is the required state, the time interval between two profiles should still be short enough

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to reasonably represent the gradient in concentration over time and to allow for the assumption of a linear increase between two instances. For the comparison with measurements performed on different platforms, the time grid should be chosen to match the particular time of the profile to be compared with. For the transformation between the measurement grid and the state grid, a time weighting matrix $C_{i,k}$ is defined, which characterizes the time-lag between the actual measurement and the state. Each measurement y_i at time t_i is assumed to contribute to the two nearest states T_k and T_{k+1} with

$$C_{i,k} = \frac{T_{k+1} - t_i}{T_{k+1} - T_k} \quad (8)$$

$$C_{i,k+1} = \frac{t_i - T_k}{T_{k+1} - T_k} = 1 - C_{i,k} \quad (9)$$

for $T_k \leq t_i \leq T_{k+1}$
and

$$C_{i,k} = 0 \quad (10)$$

for $t_i < T_k$ and $t_i > T_{k+1}$.

(c) The combined kernel

The combined weighting function matrix, which represents the sensitivity of a measurement to the state is then calculated from

$$\tilde{K}_{i,j,k} = L_{i,j} C_{i,k}. \quad (11)$$

However, the differential character of the measurements is not yet taken into account. From Eq. (4) and in analogy to Eq. (6), we find

$$\begin{aligned}
 y_i &:= \Delta \text{SCD}_i = \text{SCD}_i - \text{SCD}_{\text{ref}} \\
 &= \sum_j \sum_k \tilde{K}_{i,j,k} x_{j,k} - \sum_j \sum_k \tilde{K}_{\text{ref},j,k} x_{j,k} \\
 &= \sum_j \sum_k (\tilde{K}_{i,j,k} - \tilde{K}_{\text{ref},j,k}) x_{j,k}
 \end{aligned} \tag{12}$$

and thus, the kernel $K_{i,j,k}$ is defined as

$$K_{i,j,k} := \tilde{K}_{i,j,k} - \tilde{K}_{\text{ref},j,k} \tag{13}$$

where the weight of the reference measurement is by definition zero. A consistency proof is the commutability of the reference measurement as it is valid for the spectral approach. Any result of the profile retrieval is invariant to the choice of SCD_{ref} .

As an example, Fig. 3 shows the contributions of the limb scanning measurements at 35 km between $t_i = 10:45$ UTC and $t_i = 12:15$ UTC to the profile at $T_k = 11:30$ UTC. The contribution of the measurements before 11:00 UTC and after 12:00 UTC is zero. Concerning the weighting in altitude, the impact of the varying EA is clearly visible with $\text{EA} = -1^\circ$ having the highest sensitivity at float altitude and $\text{EA} = -5.5^\circ$ having the highest sensitivity around 15 km. The sensitivity of any measurement y_i to the trace gas column above 40 km is very low, as the light path through the atmosphere above the gondola is nearly equal for all viewing geometries and tends toward the vertical path. As a consequence the difference of $\tilde{K}_{i,j,k}$ and $\tilde{K}_{\text{ref},j,k}$, and thus $K_{i,j,k}$ is close to zero for layers j between 40 and 70 km.

For solving the ill-posed problem to retrieve $x_{j,k}$ from Eq. (6), we technically drop index k by queuing $x_{j,k}$ into a 1-dimensional vector \mathbf{x} that contains the absorber profiles at consecutive times. In analogy, the kernel $K_{i,j,k}$ is queued into a sparse 2-dimensional matrix \mathbf{K} . Equation (6) then reads in matrix notation

$$\mathbf{y} = \mathbf{K}\mathbf{x} + \boldsymbol{\epsilon}_y. \tag{14}$$

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As long as measured optical densities are much smaller than unity, the kernel can be linearly approximated and Eq. (14) can be solved for x in one iteration. In order to obtain a physically reasonable solution from the inversion of Eq. (14) some kind of side-constraint needs to be employed. Null-space and near-null space components (like the concentration of a trace gas above 40 km) of the retrieval are estimated via a priori information (Rodgers, 2000) as it is common practice in this field (Schofield et al., 2004; Hendrick et al., 2004; Weidner et al., 2005). The a priori state x_a is a first guess of x and S_a is its covariance matrix. A priori profiles used here are inferred from predictions of our photochemical model Labmos with initial values taken from the 3-dimensional chemical transport model SLIMCAT (Chipperfield, 2006). Following Rodgers (2000), the retrieved state \hat{x} is constructed from both, prior information and the measurements, each weighted by the covariances S_a and S_e , respectively,

$$\hat{x} = (\mathbf{K}^T \mathbf{S}_e^{-1} \mathbf{K} + \mathbf{S}_a^{-1})^{-1} (\mathbf{K}^T \mathbf{S}_e^{-1} \mathbf{y} + \mathbf{S}_a^{-1} x_a). \quad (15)$$

The diagonal elements of the measurement covariance S_e are the squared DOAS fitting errors and non diagonal elements are zero since correlations of Δ SCDs are neglected. The optimal estimation method requires an a priori set including a known covariance, e.g. from a climatology, to constrain the inversion. Since the a priori covariance is used here as a tuning parameter, the retrieval is not optimal in its original sense. The entries in the diagonal of the a priori covariance matrix are squared percentages of the a priori value,

$$S_{a_i,i} = \frac{p}{100} \cdot x_{a_i}^2 \quad (16)$$

The percentage fraction p is determined by an L-curve method, where the RMS of the deviation of modelled and measured y_i is plotted against the a priori error. p usually ranges between 40 and 80. Additionally, non-diagonal elements are calculated by

$$S_{a_i,m} = \sqrt{S_{a_i,m} \cdot S_{a_m,m} \cdot \exp(-\log_2((l-m)/h)^2)} \quad (17)$$

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with h the half width at half maximum (HWHM) of the Gaussian function (or length scale h) (Rodgers, 2000). Sensitivity runs with varying h are performed (e.g. Hendrick et al. (2004)) in order to maximize the number of degrees of freedom of the retrieval. A maximum is found for $h = 0.5$ (see Fig. 4), which corresponds to a correlation length of 1 km. This finding is in agreement with the resolution indicated by the width of the averaging kernels (see Fig. 9). Using non-diagonal elements in the a priori covariance matrix provides a link between different elements of the state vector. In our case it combines information from different altitudes, and hence constrains the smoothness of the profile.

2.4 Characterization of the retrieval and error analysis

The retrieved concentration profiles $\hat{\mathbf{x}}$ require thorough characterization of the retrieval with respect to altitude resolution, information content, random errors and systematic errors related to uncertainties of the viewing geometry. A comparison of forward modelled and measured Δ SCDs yields a first check of our method's ability to explain the measurements (see Fig. 2). A quantitative measure for the consistency of measured and forward-modelled Δ SCDs is the root mean square of the difference of both quantities.

$$\text{RMS} = \frac{\sqrt{(\sum_l y_l - y_{l,\text{mod}})^2}}{\bar{y}_l} \quad (18)$$

where $y_{l,\text{mod}}$ is given by the product of $K_{l,m}$ and x_m . The lowest achievable RMS is in the order of the measurement error.

A more sophisticated characterization of the retrieval is performed by calculating the averaging kernel matrix \mathbf{A} , which gives the relation between the true value of the state \mathbf{x} and the retrieved state $\hat{\mathbf{x}}$.

$$\hat{\mathbf{x}} = \mathbf{x}_a + \mathbf{A}(\mathbf{x} - \mathbf{x}_a) + \epsilon_x. \quad (19)$$

A is calculated from the weighting function and covariance matrices by

$$\mathbf{A} = \frac{\partial \hat{\mathbf{x}}}{\partial \mathbf{x}} = (\mathbf{K}^T \mathbf{S}_e^{-1} \mathbf{K} + \mathbf{S}_a^{-1})^{-1} \mathbf{K}^T \mathbf{S}_e^{-1} \mathbf{K}. \quad (20)$$

In the ideal case **A** is the identity matrix, meaning that the retrieved profile results only from the measurements with an altitude and time resolution as high as the resolution of the chosen grid, thus rendering any additional a priori constraint dispensable. In practice, the entries in the diagonal of the averaging kernels are often less than unity and extend into neighbouring layers, indicating contributions of the a priori as well as a coarser resolution than the retrieval grid.

A row *l* of the averaging kernel matrix is referred to as the averaging kernel of the respective state vector element x_l . Remembering that our state vector \mathbf{x} is a sequence of concentration profiles in time, we can view the averaging kernels of individual state vector elements x_l as a function of altitude and time (Schofield et al., 2004). Figure 5 illustrates such a time and altitude dependent averaging kernel for the retrieved state vector element at 33 km altitude at 14:00 UTC. The plot indicates that the information for this retrieved value originates from a confined region in space and time. The time and space resolution in this case is 1.5 km and 1 h, respectively. Here, it should be pointed out that the altitude resolution is a result of the measurement geometry while the time resolution is a result of the chosen time grid. Both, altitude and time resolution depend on the sampling frequency. As the time dependent contribution is somehow intuitive, the averaging kernels are typically displayed for a fixed time, in which the altitude resolution becomes more evident. This representation of the averaging kernels is used in Fig. 7 and 9.

The averaging kernel concept offers the possibility to calculate several quantities that characterize the information content of the retrieval. The sum of the diagonal elements of the averaging kernel matrix is a measure of the degrees of freedom in the retrieval. In order to quantify the independence from the a priori, the sum of each individual averaging kernel (one row of **A**) can be calculated. This is known as the area of an averaging kernel, or – for all averaging kernels – as the measurement response profile.

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A quantitative measure for the resolution of the profiles is the Backus-Gilbert spread (Backus, 1970), given by

$$s_l = \frac{12 \sum_m (l-m)^2 A_{l,m}^2}{\sum_m A_{l,m}^2}. \quad (21)$$

Besides the averaging kernel matrix, the retrieved state is characterized by errors due to measurement noise, errors due to uncertainties of forward model parameters, and smoothing errors (Rodgers, 2000). For estimating the latter, the a priori covariance \mathbf{S}_a is required to be the covariance of a real ensemble of states (Rodgers, 2000). Here, we use \mathbf{S}_a as a tuning parameter for the regularization strength. Thus, we do not attempt to calculate the smoothing error, but consider the retrieved profile as smoothed by the averaging kernels. The error due to measurement noise is given by the retrieval noise covariance

$$\mathbf{S}_{\text{noise}} = (\mathbf{K}^T \mathbf{S}_e^{-1} \mathbf{K})^{-1}. \quad (22)$$

Further errors are caused by forward model parameters \mathbf{b} , which are input parameters that influence the state but are not retrieved. For atmospheric measurements, they typically include atmospheric conditions such as aerosol load, cloud coverage and, most importantly in our case, the viewing geometry. The covariance due to each forward model parameter can be evaluated from

$$\mathbf{S}_f = \mathbf{G}_y^T \mathbf{K}_b^T \mathbf{S}_b \mathbf{K}_b \mathbf{G}_y \quad (23)$$

with

$$\mathbf{G}_y = \frac{d\hat{\mathbf{x}}}{d\mathbf{y}} = (\mathbf{K}^T \mathbf{S}_e^{-1} \mathbf{K} + \mathbf{S}_a^{-1})^{-1} \mathbf{K}^T \mathbf{S}_e^{-1}. \quad (24)$$

\mathbf{G}_y is the gain matrix expressing the sensitivity of the retrieved profile to changes in the measured ΔSCDs . \mathbf{K}_b denotes the kernel concerning a particular forward model

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parameter, \mathbf{S}_b its error covariance. It is found that forward model errors arising from uncertainties in the aerosol loading are negligible for our limb scanning measurements at 35 km altitude. Also the influence of viewing geometry related errors of SZA and SRAA are found negligible. Forward model errors are dominated by the uncertain knowledge of the elevation angle EA. However, since \mathbf{K}_{EA} is highly non-linear, its numerical calculation fails and we choose an alternative approach. We estimate the error covariance \mathbf{S}_{osci} due to EA pendulum oscillations of the gondola via a sensitivity study.

EA pendulum oscillations are caused by wind shear acting on the balloon or by insufficient damping of the gondola azimuth stabilization system. Using a record of the attitude control parameters obtained during the MIPAS-B flight in 2005, a sensitivity study is performed, on how the EA oscillations propagate into the retrieved profile. As indicated in Fig. 6, different types of oscillations occurred during the flight. For the sensitivity study, the oscillations around 13:15 UTC (type I) and 14:15 UTC (type II) are treated separately. Type I and type II show frequency regimes of roughly 7×10^{-3} Hz and ≥ 1 Hz with amplitudes of 1° and 3° , respectively. In order to quantify the error caused by these EA oscillations, the kernel \mathbf{K}_{osci} for an oscillating gondola is simulated using the RTM with oscillating EA data as input. We then calculate a synthetic measurement vector \mathbf{y}_{osci} via

$$\mathbf{y}_{osci} = \mathbf{K}_{osci} \mathbf{x}_a, \quad (25)$$

where \mathbf{x}_a acts as the true state vector for our simulation. We then retrieve $\hat{\mathbf{x}}_{osci}$ from \mathbf{y}_{osci} and the standard kernel \mathbf{K} that is not affected by EA oscillations of the gondola. The difference between input \mathbf{x}_a and retrieved $\hat{\mathbf{x}}_{osci}$ yields an estimate of the forward model error caused by EA oscillations. As illustrated by Fig. 6, EA oscillations with frequencies lower than the time resolution of the measurements cause oscillations in the retrieved profile, a phenomenon similar to a blurred photograph. EA oscillations with frequencies larger than the time resolution of the measurements lead to an enhanced contribution of light coming from lower atmospheric layers compared to the forward modelling assumptions. Thus, the retrieved profile is unrealistically shifted upward. The envelope of the squared differences between \mathbf{x}_a and $\hat{\mathbf{x}}_{osci}$ forms the diagonal of

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the corresponding covariance matrix \mathbf{S}_{osci} . The error in the retrieved profile increases with increasing amplitude of the gondola oscillation and with the spatial distance to the observed object. As the float altitude for the considered balloon flight is around 34 km, both effects are more pronounced in the O_3 retrieval with a maximum at around 26 km than for NO_2 with a maximum at around 32.5 km, thus leading to a higher \mathbf{S}_{osci} for O_3 than for NO_2 . For other balloon flights, EA oscillations typically exhibit much smaller amplitudes than used for the present sensitivity study as can be concluded from an inspection of the measured ΔSCDs . Accordingly, the oscillation errors for the case studies presented in the following section amount to only 50% of the \mathbf{S}_{osci} inferred here.

The total error of the retrieved profile is readily calculated from the sum of the retrieval noise, Eq. (22), and the EA oscillation error \mathbf{S}_{osci} ,

$$\hat{\mathbf{S}} = (\mathbf{K}^T \mathbf{S}_e^{-1} \mathbf{K})^{-1} + \mathbf{S}_{\text{osci}} \quad (26)$$

3 Results and validation of the method

We present first O_3 and NO_2 retrievals from limb scanning mini-DOAS measurements based on the method described in Sect. 2. The observations were conducted aboard the MIPAS-B payload on June 14, 2005, and aboard the LPMA/IASI payload on 30 June 2005. Both stratospheric balloon flights were launched at Teresina (5.1°S , 42.8°W) in tropical Brazil. For O_3 , we find time independent concentration fields, whereas NO_2 undergoes a significant diurnal variation over the course of our measurements as expected from photochemical considerations. Our O_3 and NO_2 are validated by an in-situ O_3 sonde launched in the vicinity of the balloon flight (Sect. 3.1) and by NO_2 retrievals from space-borne limb observations by the SCIAMACHY instrument (Sect. 3.2).

3.1 O₃ validation

In order to validate the retrieved O₃ profiles, an ozone profile measured by the mini-DOAS instrument aboard the MIPAS-B payload is compared to an in-situ measured O₃ profile. The sonde data are taken from an electrochemical cell launched at the same station in the vicinity of the balloon flight, the same day at 2:00 UT. For the comparison a time averaged O₃ profile between 13 and 16:00 UTC is derived from our limb measurements. As the ozone concentration is expected to vary little with time in the tropics, the time lag of one day between the two measurements is negligible. The number of degrees of freedom for a single profile is 5.2 units. The higher resolution in-situ measured O₃ profile is degraded to the altitude resolution of the lower resolution mini-DOAS O₃ profile using the averaging kernel matrix **A** of the mini-DOAS. The smoothed in-situ sonde profile \mathbf{x}_s is derived from the unsmoothed sonde profile \mathbf{x}_h through

$$\mathbf{x}_s = \mathbf{x}_a + \mathbf{A}(\mathbf{x}_h - \mathbf{x}_a), \quad (27)$$

where \mathbf{x}_a is the a priori profile used for the mini-DOAS retrieval (Connor et al., 1994; Hendrick et al., 2004; Butz et al., 2006). Figure 7 shows both ozone profiles and the averaging kernels **A** of the mini-DOAS retrieval. The difference between the two profiles is $\leq 12\%$ above 24 km and on average 20% below this altitude and mostly smaller than the errors of the retrieval.

3.2 NO₂ validation

Figure 8 shows the time series of NO₂ profiles retrieved from mini-DOAS observations aboard the LPMA/IASI payload on June 30, 2005. The retrieval is performed with a time step (T_k) between different profiles of 30 min. According to expectations based on the stratospheric NO_x/NO_y photochemistry, NO₂ increases during daytime due to its release from N₂O₅ photolysis. The concentration maximum around 33 km altitude increases from about 1×10^9 molec/cm³ at 10:30 UTC to about 1.6×10^9 molec/cm³ at 16:00 UTC. As shown exemplarily for the NO₂ profile retrieved at 13:15 UTC in Fig. 9,

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the averaging kernels indicate a high contribution of the measurements to the retrieved profile, as compared to the contributions of the a priori. Also the 2-D averaging kernels in Fig. 5 indicate a reasonable resolution in time and space. Here the total number of degrees of freedom in time and space is 101.

5 We compare our NO₂ retrieval with collocated measurements of the SCIAMACHY instrument e.g. Burrows et al., 1995; Bovensmann et al., 1999). SCIAMACHY is a UV/visible/near-IR spectrometer (220 nm - 2380 nm, FWHM: 0.2 nm–1.5 nm), which was launched aboard the European Envisat satellite in March 2002. One of its operation modes is the observation of limb scattered sunlight which allows for the retrieval of
10 NO₂ stratospheric concentration profiles. SCIAMACHY's limb operation mode scans the atmosphere from the ground up to about 90 km altitude in steps of 3.3 km. We compare our NO₂ profile with SCIAMACHY NO₂ retrievals performed by the Max Planck Institute for Chemistry (MPI), Mainz, Germany (Pukite et al., 2006; Köhl et al., 2008), and by the Institute of Environmental Physics (IUP), University of Bremen, Germany (Roza-
15 nov et al., 2005).

For comparison with the satellite measurements, our forward model is constructed in a way that the time grid of the retrieved profiles matches the time or actual SZA when the satellite instrument measured a profile at a location closest to our balloon-borne measurements. This criterion is fulfilled for the overpass of SCIAMACHY on
20 30 June 2005 at SZA= 39° along orbit 17427. At 13:15 UTC the mini-DOAS instrument sampled airmasses at the same SZA, but 570 km to the east of the satellite pixel center. Figure 10 shows the comparison of the mini-DOAS retrieval with the two satellite retrievals. The maximum NO₂ concentration around 34 km of about 1.4×10^9 molec/cm³ compares well for the mini-DOAS IUP Heidelberg and SCIAMACHY IUP Bremen profiles. The SCIAMACHY MPI Mainz profile cannot capture the concentration maximum
25 due to its coarser height grid, but agrees within the error bars. Below the concentration maximum, all three retrievals yield a consistent decrease of the NO₂ concentration with decreasing altitude, with the balloon-borne NO₂ profile including structures, that are not seen or are not as pronounced in the satellite NO₂ profiles. Above the concentration

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maximum, our mini-DOAS profile decreases rapidly with altitude, while the satellite profiles show a similar decrease but are about 2 km offset towards higher altitudes.

For a quantitative comparison, the retrievals are characterized by common metrics (see Fig. 9), i.e. their averaging kernel matrices, the area and spread of the averaging kernels, and the degrees of freedom, as introduced in Sect. 2.4. Both, the Bremen and the mini-DOAS retrieval are performed on a 1 km grid, while the Mainz retrieval is performed on coarser height grid. The satellite averaging kernels and therefore their area and spread are only available or representative in a range from 11 to 42 km, while the balloon-borne retrieval takes into account the full range from 0 to 70 km. The altitude resolution of the balloon observations, is around 3 km between 15 and 34 km altitude. The area of the averaging kernels of the balloon-borne retrieval is close to unity between 10 km and 35 km. The usage of a different number of spectra and constraints leads to a different number of degrees of freedom and a different height resolution for both SCIAMACHY retrievals. The number of degrees of freedom for the satellite retrievals are 7.4 (Bremen) and 9.9 (Mainz), respectively and 10 for the mini-DOAS retrieval.

The comparison of our NO₂ vertical profile from a time series of profiles with a measurement which matches in time and space from satellite observations shows good agreement. This provides a positive proof for the applicability of our method to the measurement of time varying radical concentrations. Forthcoming studies will discuss implications for stratospheric photochemistry.

4 Conclusion and outlook

The present study proposes a method for the retrieval of time dependent trace gas profiles from balloon-borne UV/vis limb scattered skylight measurements. Retrieval exercises are performed for stratospheric O₃ and NO₂ exploiting observations of the mini-DOAS instrument aboard the MIPAS-B and the LPMA/IASI balloon payloads in June 2005 over tropical Brazil.

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The proposed method involves (a) the spectral retrieval, (b) forward modelling for each measurement, and (c) a suitable inversion algorithm that can handle the spatial and temporal domains. Thereby, our forward model (b) takes into account the relative character of the measurements via a differential weighting function formalism. Balloon-borne mini-DOAS measurements are in that respect self calibrated, i.e. no information on overhead absorbers is necessary. The forward model (b) relies on Monte Carlo radiative transfer modelling of the geometrical light path through the atmosphere and on a time averaging scheme that considers the temporal distance between the measurements and the state to be retrieved. Therefore, our forward model is well suited for the retrieval of the diurnal variation of UV/vis absorbing radicals. Since the forward model requires no chemical modelling as an input, the retrieval method provides a tool for testing photochemical parameters. Finally, the optimal estimation inverse method (c) provides all tools to thoroughly characterize the retrieved profiles with respect to altitude and time resolution, and error contributions.

Detailed sensitivity studies are performed in order to estimate the systematic error contributions from EA oscillations of the gondola. These sensitivity studies show that, uncorrected EA pendulum oscillations of the gondola potentially lead to considerable errors in the retrieved profiles. Evidently errors due to EA pendulum oscillations increase with the spatial distance between the observer and the object, i.e. for the presented balloon floats at around 34 km altitude the resulting error caused by pendulum oscillations is larger for O₃ than for NO₂. The error arising from these oscillations cannot be generalized, but depends on the strength of the oscillation. Here, 7.5% and 5% are considered for O₃ and NO₂, respectively.

Two comparison studies are performed, where trace gas profiles retrieved from the mini-DOAS measurements are compared to in-situ ozone sonde data and satellite observations of the SCIAMACHY instrument aboard Envisat. The comparisons show good to reasonable agreement confirming the validity of the proposed method. The height resolution of the mini-DOAS measurements is around 3 km between 15 and 34 km altitude. The number of independent parameters in a single retrieved profile

depends on the applied time spacing. For example, for the detection of NO₂ the profile retrieval on a half hour time grid for a total of 6 h observation results in 101 degrees of freedom in 12 profiles.

The main advantage of limb scattered skylight measurements from air-borne observation platforms is the ability to monitor the spatial and temporal variation of the targeted radicals during daytime at changing solar illumination. The method is not restricted to sunset or sunrise as is the case for direct sun measurements. Monitoring the diurnal variation of stratospheric radicals may offer new insights into the 'reactivity' or oxidation potential of the atmosphere. In particular, new insight might be gained into crucial photochemical parameters important for stratospheric ozone, such as the photolysis frequencies of N₂O₅ and BrONO₂ by simultaneous observations of NO₂ and major NO_y species (e.g. the latter by MIPAS-B in the mid-IR), or NO₂, BrO and BrONO₂ (e.g. again the latter by MIPAS-B in the mid-IR), respectively, or the efficiency of the ClO/BrO ozone loss cycle by simultaneous observations of the diurnal variation of ClO (e.g., by in-situ resonance fluorescence) and BrO and OCIO.

Finally, our study also indicates some drawbacks of the present (intentionally) simplified instrumental set-up. The use of additional sensors providing on-line information on the detector's elevation would largely increase the accuracy of the retrieved vertical profiles. Accordingly, instruments similar in design to the present mini-DOAS instruments but with an on-line viewing angle control have been recently or will be in the near future deployed on aircrafts (Falcon, Geophysica, and HALO) and balloons (MIPAS-B). Moreover, the present retrieval would also benefit from a coupled model of radiative transfer and photochemistry with the result that a retrieval could attempt to directly infer chemical model parameters (such as rate reaction coefficients or photolysis frequencies) from the observations.

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Table 1.

Date Time (UT)	Location	Geophys. Cond. SZA range	Instrument payload	Observation Mode
18/19 August 2002 15:15–2:38	Kiruna 67.9° N, 21.1° E	high lat. sum. 69.75–94.4° 94.6–88.1°	LPMA/ mini-DOAS	nadir fixed limb
4 March 2003 12:55–15:25	Kiruna 67.9° N, 21.1° E	high lat. spring 77.6–88.8°	LPMA/DOAS mini-DOAS	nadir fixed limb
23 March 2003 14:47–17:35	Kiruna 67.9° N, 21.1° E	high lat. spring 78.9–93°	LPMA/DOAS mini-DOAS	nadir fixed limb during ascent scanning limb at float
9 October 2003 15:39–17:09	Aire-sur-l'Adour 43.7° N, 0.25° W	mid-lat fall 66–88°	LPMA/DOAS mini-DOAS	nadir fixed limb
24 March 2004 13:55–17:35	Kiruna 67.9° N, 21.1° E	high lat. spring 72–93°	LPMA/DOAS mini-DOAS	fixed limb during ascent scanning limb at float
14 June 2005 9:00–17:10	Teresina 5.1° S, 42.8° W	tropical winter 93–29–33°	MIPAS-B mini-DOAS	scanning limb at float
17 June 2005 18:30–21:30	Teresina 5.1° S, 42.8° W	tropical winter 61–93°	LPMA/DOAS mini-DOAS	fixed limb during ascent scanning limb at float
30 June 2005 9:00–17:00	Teresina 5.1° S, 42.8° W	tropical winter 93–29–33°	LPMA/IASI mini-DOAS	scanning limb at float
1 March 2006 8:00–17:22	Kiruna 67.9° N, 21.1° E	high lat. spring 77–93°	LPMA/IASI mini-DOAS	fixed limb during ascent scanning limb at float
13 June 2008 9:00–13:50	Teresina 5.1° S, 42.8° W	tropical winter 93–29°	LPMA/IASI mini-DOAS	scanning limb at float
27 June 2008 9:00–21:18	Teresina 5.1° S, 42.8° W	tropical winter 93–29–93°	LPMA/DOAS mini-DOAS	fixed limb during ascent scanning limb at float
5 March 2009 3:34–5:10	Kiruna 67.9° N, 21.1° E	high lat. spring 77–93°	LPMA/IASI mini-DOAS	scanning limb at float

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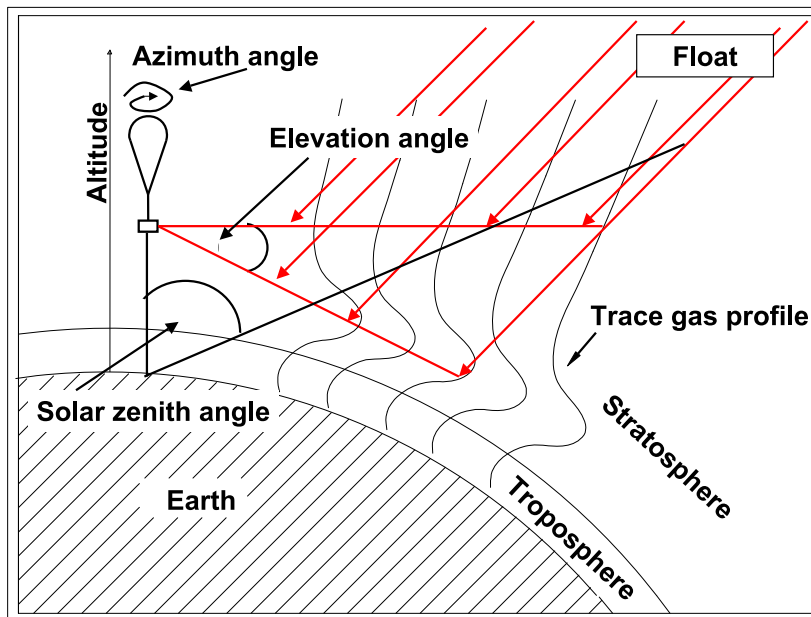


Fig. 1. Observation geometry of balloon-borne limb scattered skylight measurements.

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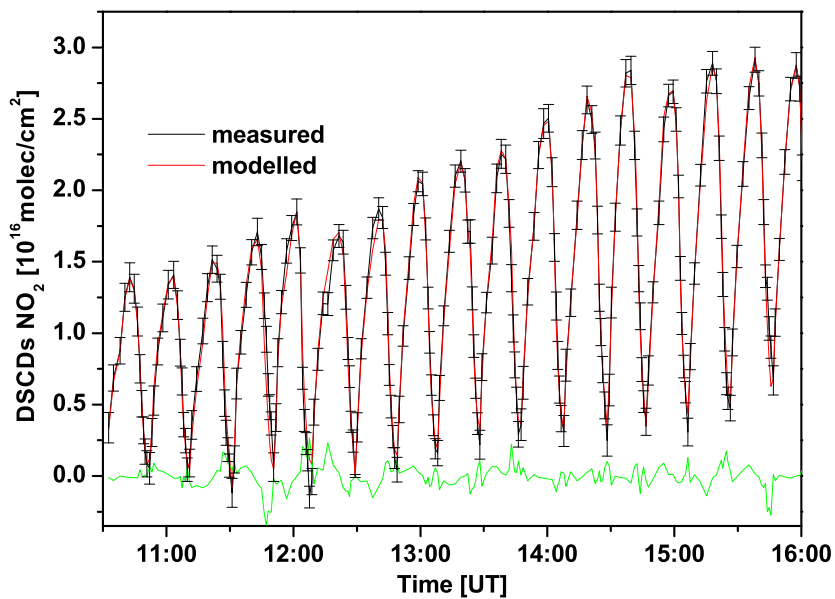


Fig. 2. Measured (black) and forward modeled (red) Δ SCDs for the 30 June 2005 flight. The difference between forward modeled and measured Δ SCDs is shown in green.

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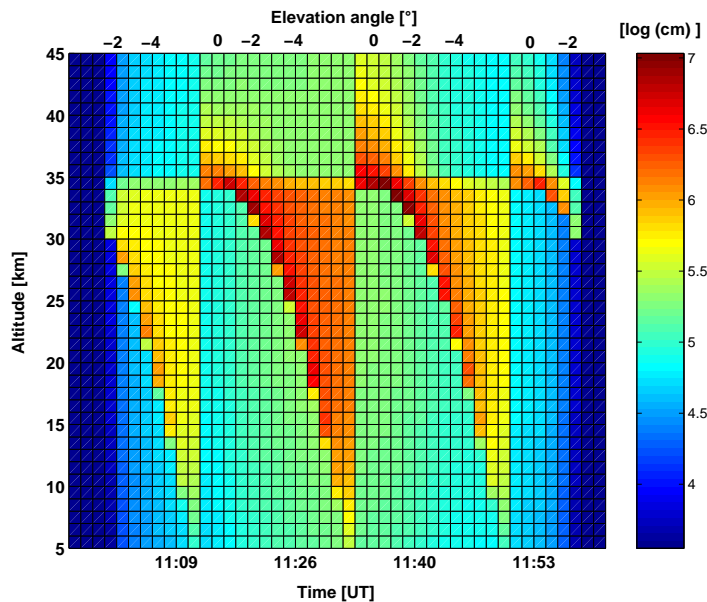


Fig. 3. Logarithm of the kernel $K_{i,j,k}$ for the NO_2 concentration profile at $T_k = 11:30$ UTC. The altitude axis corresponds to the atmospheric layers labeled by j , the time axis corresponds to the measurement instances labeled by i . The example is for limb scans at 35 km altitude with subsequent measurements from $\text{EA} = 0.5^\circ$ to $\text{EA} = -5.5^\circ$ in steps of 0.5° .

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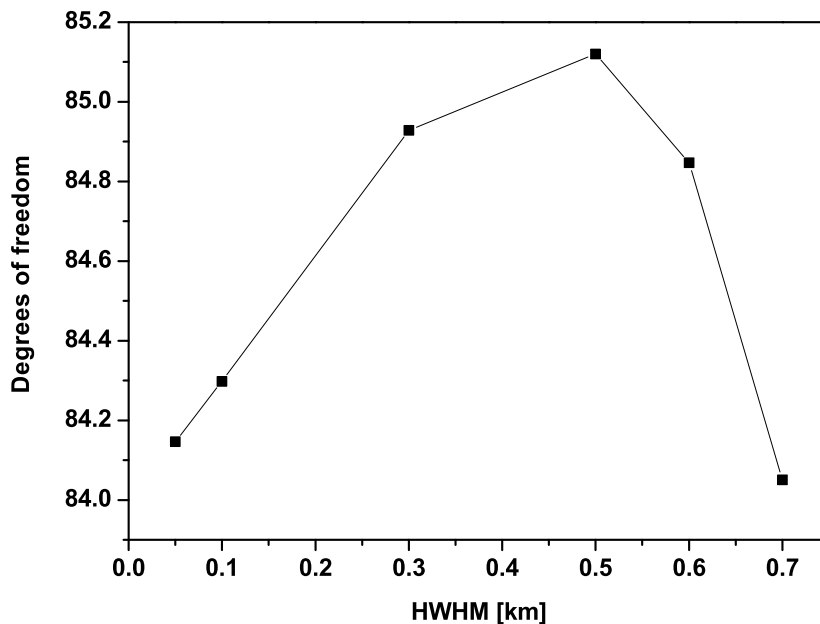


Fig. 4. Number of degrees of freedom of the retrieval (trace of the averaging kernels matrix **A**) plotted as a function of the half width at half maximum h . This curve applies to the retrieval of NO_2 profiles from limb scanning measurements.

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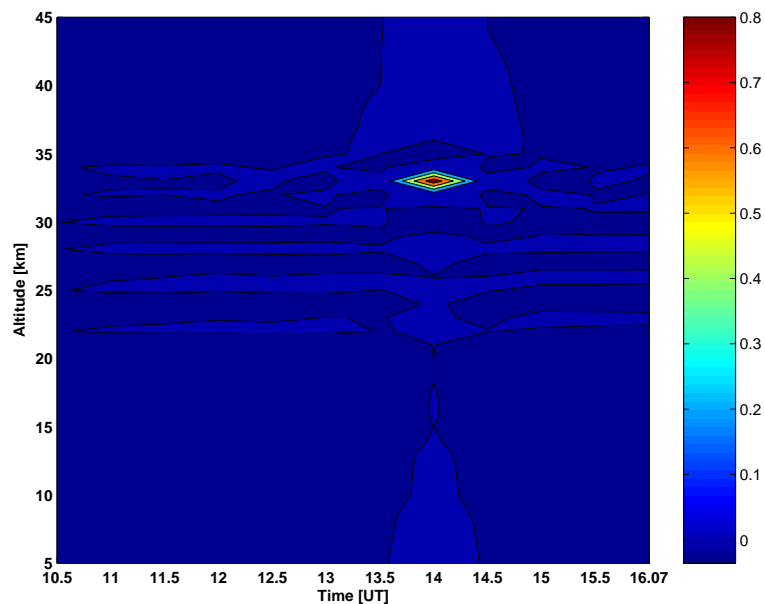


Fig. 5. Two dimensional averaging kernel for the retrieval of NO₂ at 33 km, at 14:00 UTC in June 2005.

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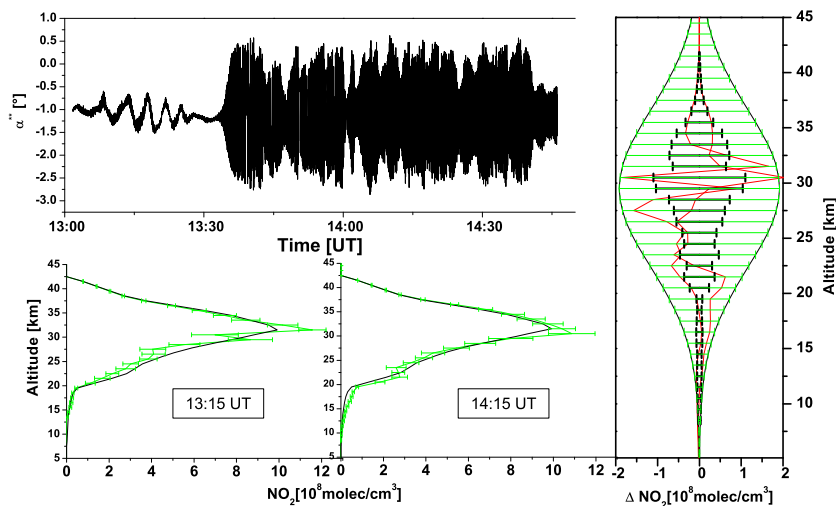


Fig. 6. Upper left panel: Extreme case (type I around 13:15 UTC and type II around 14:15 UTC) of pitch angle oscillation of the MIPAS-B gondola, as recorded by the attitude control system. Lower left panel: Concentration of NO_2 retrieved from ΔSCDs expected on a calm flight (green) and on a gondola undergoing type I oscillation (black). Lower middle panel: Concentration of NO_2 retrieved from ΔSCDs expected on a calm flight (green) and on a gondola undergoing type II oscillation (black). Right panel: Differences of retrieved and true profiles for both oscillation types (red), envelope of the differences defined as an upper limit for S_{osci} (green error bars) and noise error S_{noise} (black error bars) for comparison.

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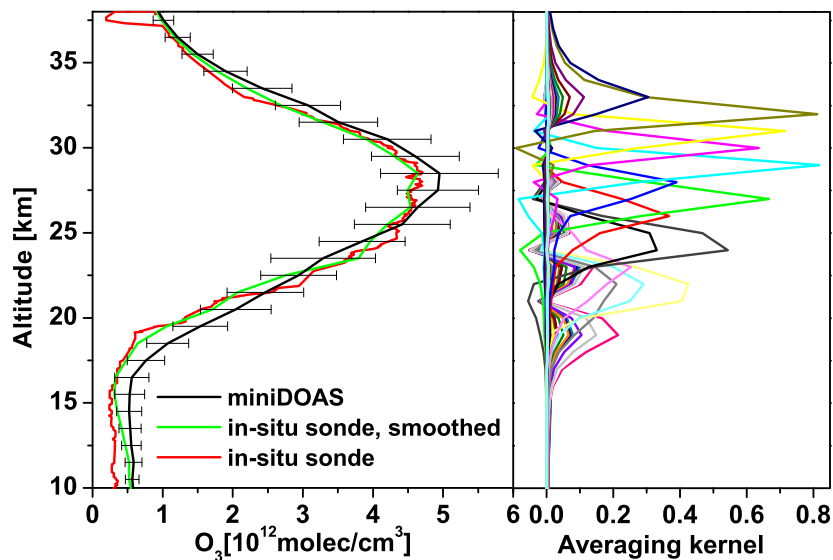


Fig. 7. Left panel: Concentration profile of O₃ retrieved from mini-DOAS measurements (black) aboard the MIPAS-B payload on 14 June 2005 and from an in-situ sonde (red) in the vicinity of the balloon flight, smoothed with the averaging kernels of the mini-DOAS retrieval (green). Right panel: Averaging kernels of the mini-DOAS retrieval of O₃. Different colours denote different EA.

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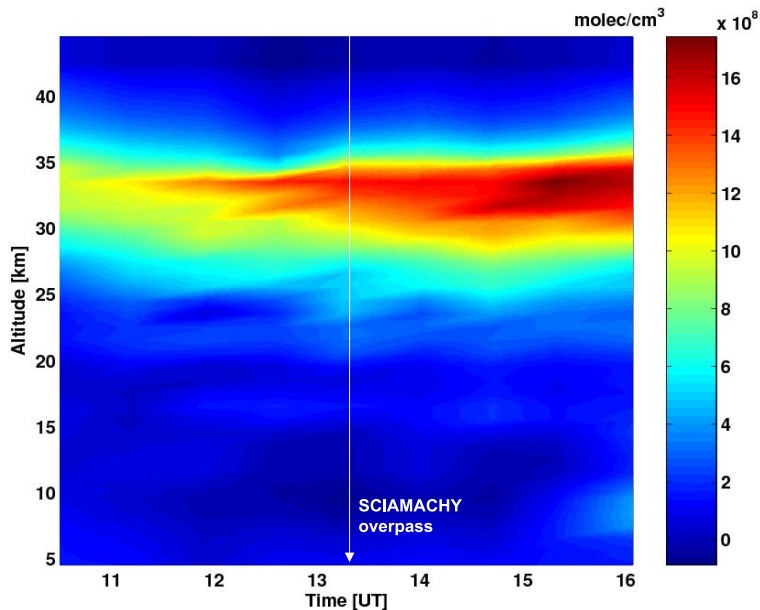


Fig. 8. Diurnal variation of NO_2 retrieved from mini-DOAS measurements aboard the LPMA/IASI payload on 30 June 2005. The white arrow marks the time of the SCIAMACHY overpass.

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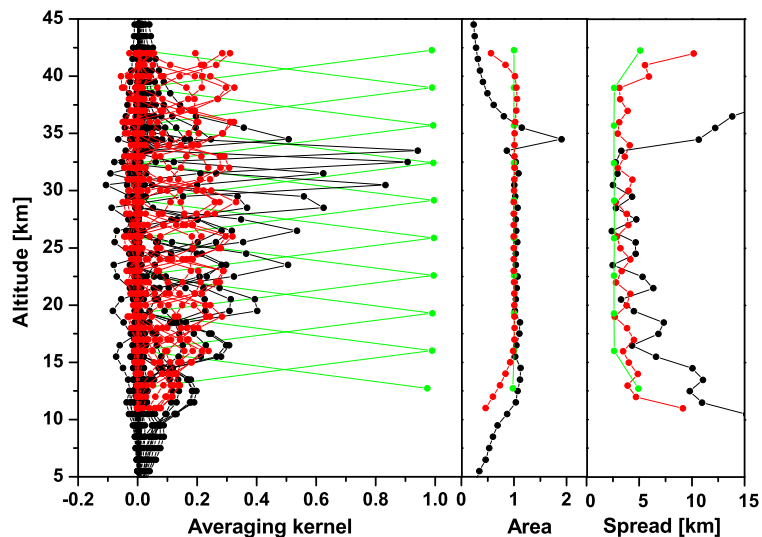


Fig. 9. Characterization of the retrieval of NO_2 as shown in Fig. 10 from balloon-borne measurements from the IUP Heidelberg (black), from SCIAMACHY measurements by the IUP Bremen (red) and MPI Mainz (green). Left panel: Averaging kernels. Middle panel: Area of the averaging kernels. Right panel: Backus-Gilbert spread of the averaging kernels. The degrees of freedom of the retrievals are 10 (IUP Heidelberg), 7.4 (IUP Bremen) and 9.9 (MPI Mainz).

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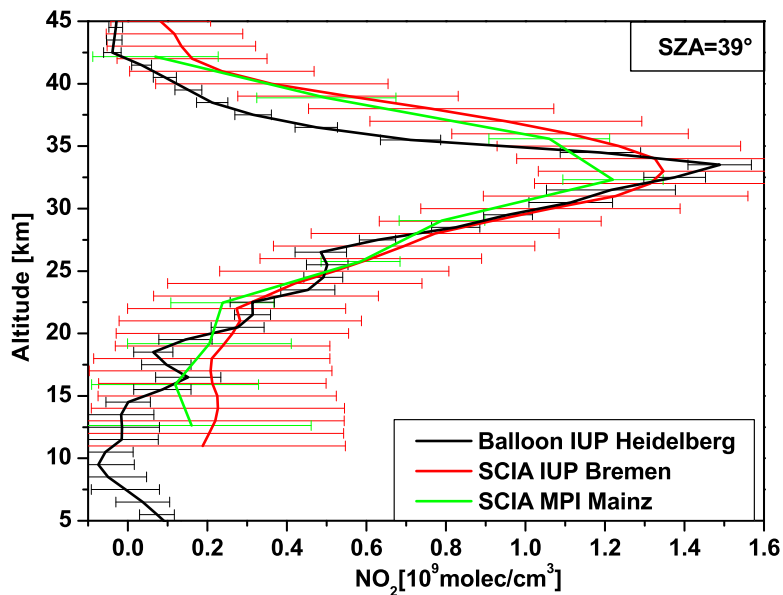


Fig. 10. NO_2 at $\text{SZA} = 39^\circ$ on 30 June 2005, retrieved from mini-DOAS measurements aboard the LPMA/IASI payload (5.9°S , 44.5°W) by the IUP Heidelberg (black), and from collocated SCIAMACHY/ENVISAT measurements during orbit 17427 (2.5°S , 51°W), by the IUP Bremen (red) and by the MPI Mainz (green).

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