

# Development of a balloon-borne instrument for CO<sub>2</sub> vertical profile observations in the troposphere

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24      **Abstract**

25      A novel, practical observation system for measuring tropospheric carbon dioxide (CO<sub>2</sub>)  
26      concentrations using a non-dispersive infrared analyzer carried by a small helium-filled balloon (CO<sub>2</sub>  
27      sonde), has been developed for the first time. Vertical profiles of atmospheric CO<sub>2</sub> can be measured  
28      with a 240-400 m altitude resolution through regular onboard calibrations using two different CO<sub>2</sub>  
29      standard gases. The standard deviations ( $1\sigma$ ) of the measured mole fractions in the laboratory  
30      experiments using a vacuum chamber at a temperature of 298 K were approximately 0.6 ppm at 1010  
31      hPa and 1.2 ppm at 250 hPa. Two CO<sub>2</sub> vertical profile data obtained using the CO<sub>2</sub> sondes, which were  
32      launched on January 31st and February 3rd, 2011 at Moriya, were compared with the chartered aircraft  
33      data on the same days and the commercial aircraft data obtained by the Comprehensive Observation  
34      Network for TRace gases by Airliner (COTRAIL) program on the same day (January 31rd) and one  
35      day before (February 2nd). The difference between the CO<sub>2</sub> sonde data and these four sets of *in-situ*  
36      aircraft data (over the range of each balloon altitude  $\pm$  100 m) up to the altitude of 7 km was  $0.6 \pm 1.2$   
37      ppm (average  $\pm 1\sigma$ ). In field experiments, the CO<sub>2</sub> sonde detected an increase in CO<sub>2</sub> concentration in  
38      an urban area and a decrease in a forested area near the surface. The CO<sub>2</sub> sonde was shown to be a  
39      useful instrument for observing and monitoring the vertical profiles of CO<sub>2</sub> concentration in the  
40      troposphere.

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43 **1. Introduction**

44 Atmospheric carbon dioxide (CO<sub>2</sub>) is one of the most important anthropogenic greenhouse gases  
45 for global warming. Certain human activities, such as fossil fuel combustion, cement production, and  
46 deforestation are the major cause of atmospheric CO<sub>2</sub>, making the global average concentration of  
47 atmospheric CO<sub>2</sub> to increase from 280 ppm before the Industrial Revolution to 400.0 ppm in 2015  
48 (World Meteorological Organization, WMO 2016). Over the last 10 years, the average rate of  
49 atmospheric CO<sub>2</sub> increase is measured at 2.21 ppm yr<sup>-1</sup> (WMO 2016). Atmospheric CO<sub>2</sub> is measured  
50 by ground-based stations and ships using the flask sampling and continuous instrument methods such  
51 as non-dispersive infrared absorption (NDIR) (Tanaka et al. 1983, Hodgkinson et al. 2013) and cavity  
52 ring-down spectroscopy (CRDS) (Winderlich et al. 2010). A network of ground-based Fourier  
53 transforms spectrometers (FTS), that record the direct solar spectra in the near-infrared spectral region  
54 (Total Carbon Column Observing Network, TCCON), is used to observe the column-averaged mole  
55 fraction of CO<sub>2</sub> in dry air (total column XCO<sub>2</sub>) (Wunch et al. 2011). These observations have provided  
56 extensive information, regarding the distribution and temporal variation of CO<sub>2</sub> in the atmosphere  
57 (Pales and Keeling, 1965; Conway et al. 1988; Komhyr et al. 1989; Tans et al. 1989; Conway et al.  
58 1994). Moreover, atmospheric CO<sub>2</sub> measurements data are useful for estimating CO<sub>2</sub> fluxes at the  
59 surface through inverse modeling (Gurney et al. 2004; Baker et al. 2006). Due to the limited number  
60 of observation sites and the limitations of their altitudinal range, a large degree of uncertainty in the  
61 current estimates of the regional CO<sub>2</sub> sources and sinks is noted (Gurney et al. 2002). More  
62 atmospheric CO<sub>2</sub> measurements are needed to reduce the uncertainties in CO<sub>2</sub> fluxes estimation using  
63 an inverse modeling.

64 To address the issues with insufficient CO<sub>2</sub> observational data, satellite remote sensing techniques  
65 have been used to investigate the CO<sub>2</sub> distribution on a global scale (Chédin et al. 2002; Crevoisier et  
66 al. 2004; Dils et al. 2006). The Greenhouse Gases Observing SATellite (GOSAT), which measures the  
67 short wavelength infrared (SWIR) spectra of sunlight reflected by the earth's surface with a Fourier

transform spectrometer and obtains the total column XCO<sub>2</sub>, has been in operation since early 2009 (Yokota et al. 2009; Yoshida et al. 2011; Morino et al. 2011). Since 2014, the Orbiting Carbon Observatory-2 (OCO-2) satellite has also measured the IR spectra of the surface reflected sunlight with a diffraction grating spectrometer and obtains total column XCO<sub>2</sub> (Eldering et al. 2017). However, these satellite observations provide only nadir total column XCO<sub>2</sub>, and do not measure the vertical distributions of CO<sub>2</sub> concentrations, as the observed spectra of the surface-reflected sunlight do not provide enough information to determine the vertical distributions. Furthermore, the satellites overpass a specific earth-based target once several days only at about noon in the solar time because of their sun-synchronous orbits.

The altitude distributions of CO<sub>2</sub> concentrations have been measured using other techniques. For instance, tall towers measure vertical profiles of CO<sub>2</sub> near the ground (Bakwin et al. 1992, Inoue and Matsueda, 2001; Andrews et al. 2014). CO<sub>2</sub> vertical profiles up to 10 km near the airports have been observed by the equipment installed by the commercial airlines, such as the Comprehensive Observation Network for TRace gases by Airliner (CONTRAIL program) (Machida et al. 2008; Matsueda et al. 2008). Measurements by equipment installed on chartered aircrafts have also been undertaken, which include the High-performance Instrumented Airborne Platform for Environmental Research (HIAPER), Pole-to-Pole Observations (HIPPO) program up to 14 km in the altitude spanning the Pacific from 85° N to 67° S (Wofsy et al. 2011), the NIES/JAXA (National Institute of Environmental Studies and Japan Aerospace eXploration Agency) program at an altitude from 2 to 7 km (Tanaka et al. 2012), and the NOAA/ESRL Global Greenhouse Gas Reference Network Aircraft Program (Sweeney et al. 2015). Although these aircraft measurements provided the vertical profiles of CO<sub>2</sub> concentrations, vertical profile measurements using the commercial airlines are limited around the large airports and frequency of the measurements using chartered airplane is often limited by their relatively high cost. The continuation and expansion of airborne measurement programs for CO<sub>2</sub> and related tracers are expected to enhance the estimation of the global carbon cycling greatly (Stephens

93 et al., 2007).

94 Atmospheric CO<sub>2</sub> observations using balloons, to select specific locations unless prohibited or  
95 restricted by aircraft flight paths, are useful for solving the issues associated with the sparseness of  
96 CO<sub>2</sub> vertical data. Balloon-borne observations of stratospheric CO<sub>2</sub> are previously conducted by other  
97 studies. For instance, stratospheric air sampling was conducted using cryogenic sampler onboard  
98 balloons once a year from 1985 to 1995 over the northern part of Japan (Nakazawa et al. 1995).  
99 Balloon-borne near-infrared tunable diode laser spectrometers have been developed to provide in situ  
100 data for CO<sub>2</sub> in the stratospheric atmosphere (Durry et al. 2004; Joly et al. 2007, Ghysels et al. 2012).  
101 Furthermore, two in situ CO<sub>2</sub> analyzers adopting the NDIR technique, using a modified commercial  
102 detector for stratospheric measurements, have been developed for deployment on the NASA ER-2  
103 aircraft and on a balloon (Daube et al. 2002). These balloon borne instruments described above were  
104 specially designed to measure CO<sub>2</sub> concentrations in the stratosphere.

105 Observation of the CO<sub>2</sub> vertical distribution in the troposphere is essential because the uncertainties  
106 in the estimated fluxes, using the inverse method, can be attributed to the inaccurate representations of  
107 the atmospheric processes in transport models. Misrepresentation of vertical mixing by the transport  
108 models, particularly inside of the boundary layer, which is the layer closest to the ground where CO<sub>2</sub>  
109 is taken up and released, is one of the dominant causes of the uncertainty in CO<sub>2</sub> flux estimation  
(Stephens et al. 2007; Ahmadov et al. 2009). Recently, the observation of tropospheric CO<sub>2</sub> was  
111 conducted, using a lightweight unmanned aerial vehicle, such as a kite plane, with a commercial NDIR  
112 instrument. CO<sub>2</sub> profiles were observed in and above the planetary boundary layer up to 2 km to  
113 investigate the temporal and spatial variations of CO<sub>2</sub> (Watai et al. 2006). A passive air sampling system  
114 for atmospheric CO<sub>2</sub> measurements, using a 150 m long stainless-steel tube called an AirCore was  
115 developed (Karion et al. 2010). The AirCore mounted on an airplane or a balloon ascends with  
116 evacuating inside of the tube to a high altitude of 30 km at flight maximum, then, collecting ambient air  
117 by pressure changes along a decrease in altitude. The sampled air in the tube is analyzed with the

118 precision of 0.07 ppm for CO<sub>2</sub> indicated as one standard deviation in the laboratory and the vertical  
119 profile of CO<sub>2</sub> is obtained.

120 In the present study, we have developed a practical CO<sub>2</sub> sonde system that can measure in situ CO<sub>2</sub>  
121 vertical profiles in the atmosphere from the ground to altitudes up to about 10 km with a 240–400 m  
122 altitude resolution by using a small-sized balloon. Although the sonde system is thrown away after  
123 every flight due to the difficulties associated with recovery, the sonde systems are easily prepared with  
124 a relatively low cost. We have tested the sonde flight experiments more than 20 times in Japan. The  
125 CO<sub>2</sub> sonde developed has the following advantages, compared with other measurement techniques  
126 described above: (1) its cost of operation is low and the flight permission is easy to obtain from the  
127 authorities as compared with the aircraft observations; (2) the CO<sub>2</sub> sonde can be easily carried to the  
128 launch sites since the instrument is light; (3) a limited amount of power is required for the operation;  
129 (4) it can generally be launched at any time; and (5) the meteorological data are obtained  
130 simultaneously with CO<sub>2</sub> profile data. In this study, the design of our novel CO<sub>2</sub> sonde and the results  
131 of the comparison experiments with aircraft measurements are described. The target accuracy and  
132 precision in the measurements with the CO<sub>2</sub> sonde are below about 1 ppm CO<sub>2</sub> mole fraction in the  
133 atmosphere of 400 ppm CO<sub>2</sub>, preferable for carbon cycle studies (e.g. Maksyutov et al. 2008). The  
134 developed CO<sub>2</sub> sonde system attained virtually all the targets from the ground to an altitude of about  
135 10 km.

136 Inai et al. (2018) measured vertical profiles of CO<sub>2</sub> mole fraction in the equatorial eastern and  
137 western Pacific in February 2012 and February–March 2015, respectively, by using our novel CO<sub>2</sub>  
138 sondes which are described in this report. They found that the 1–10 km vertically averaged CO<sub>2</sub> mole  
139 fractions lie between the background surface values in the Northern Hemisphere (NH) and those in the  
140 Southern Hemisphere (SH) monitored at ground-based sites during these periods. Their study showed  
141 that the combination of CO<sub>2</sub> sonde measurements and trajectory analysis, taking account of convective  
142 mixing, was a useful tool in investigating CO<sub>2</sub> transport processes.

143

144 **2. Materials and methods**

145 **a. Design of the CO<sub>2</sub> sonde**

146 Many severe restrictions are noted for the operation of balloon-borne CO<sub>2</sub> sondes. First, the weight  
147 of the CO<sub>2</sub> sonde package should be less than about 2 kg, based on the legal restriction by the US FAA  
148 (Federal Aviation Administration) and by the Japanese aviation laws for the payload weight of 2.721  
149 kg for unmanned free balloons. Balloon systems heavier than the above regulation weight are not  
150 useful for the frequent flights because the flight permission from the authorities is much more difficult  
151 to obtain, and the additional safety requirements are more expensive. The balloon system is thrown  
152 away in the ocean after each flight due to a long-distance transportation (100 km or more to the east)  
153 by strong westerly winds in the upper atmosphere of mid-latitude area. This is done to avoid the  
154 accidents associated with a falling onto the urban areas, resulting in high recovery costs. Therefore,  
155 the cost of the CO<sub>2</sub> sonde system should be low for frequent observations. The non-recovery system  
156 implies that every instrument should perform consistently.

157 In this study the NDIR technique was adopted for a detection of CO<sub>2</sub> concentrations. The NDIR  
158 CO<sub>2</sub> measurement techniques have been widely used in many places such as WMO/GAW (Global  
159 Atmosphere Watch) stations. Our target instrumental accuracy and precision of approximately 1 ppm  
160 are less stringent than those of the ground-based instruments ( $\pm 0.1$  ppm) used at the WMO/GAW  
161 stations (WMO, 2016). However, the surrounding conditions for the instrument are substantially  
162 severe during the flight experiments, as the pressure changes from 1,000 to 250 hPa and the  
163 surrounding temperature changes from 300 to 220 K during flights from the surface to an altitude of  
164 10 km in about 60 min.

165 In the NDIR technique for CO<sub>2</sub> measurements, the IR emission from a broadband wavelength source  
166 is passed through an optical cell and two filters, and then the light intensities are detected by two IR  
167 detectors. The one optical filter covers the whole absorption band of CO<sub>2</sub> around 4.3  $\mu$ m, while the

168 other covers a neighboring non-absorbed region around 4.0  $\mu\text{m}$ . provided that the chosen active and  
169 reference channel filters do not significantly overlap with the absorption bands of other gas species  
170 present in the application. (Hodgkinson et al., 2013).

171 The Beer–Lambert Law is expressed by Eq. (1), defining the light intensity in the absence of  $\text{CO}_2$   
172 in the cell as  $I_0$  and the light intensity in the presence of  $\text{CO}_2$  in the cell as  $I$ ,

$$\frac{I}{I_0} = \exp(-\varepsilon C L) \quad (1),$$

173 where  $C$  is the  $\text{CO}_2$  concentration in molecules  $\text{cm}^{-3}$ ,  $L$  is the optical path length in  $\text{cm}$ , and  $\varepsilon$  is  
174 the absorption cross-section in  $\text{cm}^2 \text{molecule}^{-1}$ . Using the relationship of  $C = X P (k_B T)^{-1}$ , where  $X$   
175 is the  $\text{CO}_2$  mole fraction and  $P$  is the pressure of dehumidified ambient air, and the approximation  
176 of  $\exp(-\varepsilon C L) = 1 - \varepsilon C L$ , under the condition of  $\varepsilon C L \ll 1$ , Eq. (1) is rewritten as:

$$\frac{(I_0 - I)}{P} = X \frac{I_0 \varepsilon L}{k_B T_C} \quad (2),$$

177 where  $T_c$  is the sample air temperature in the sensor cell and  $k_B$  is the Boltzmann constant. Although  
178 the NDIR analyzer potentially exhibits non-liner absorption due to the saturation of strong absorption  
179 lines, the NDIR analyzer is known to have a good linearity within a certain concentration range [Galais  
180 et al. 1985]. In our analyses of the balloon data, eq. (2) was used only for the interpolation between  
181 the low and high mole fractions of the in-flight calibration gases to obtain the ambient  $\text{CO}_2$  mole  
182 fractions. With a 120 mm long absorption cell, the absorption intensity is approximately 3% at 400  
183 ppm  $\text{CO}_2$  with our  $\text{CO}_2$  NDIR system, i.e.,  $\varepsilon C L \approx 0.03$  and the approximation of  
184  $\exp(-\varepsilon C L) = 1 - \varepsilon C L$  are well fitted. The values of  $[I(4.0) - I(4.3)]$  were used instead of  $(I_0 - I)$   
185 to obtain the  $\text{CO}_2$  mole fraction values in the NDIR measurements, where  $I(4.0)$  and  $I(4.3)$  were  
186 the signal intensities at the 4.0  $\mu\text{m}$  wavelength for background measurements and the 4.3  $\mu\text{m}$   
187 wavelength for  $\text{CO}_2$  absorption measurements, respectively. Thus, the value of  $[I(4.0) - I(4.3)]/P$  is  
188 thus proportional to the  $\text{CO}_2$  mole fraction  $X$  in the optical cell. The proportionality constant is usually  
189

191 determined by the measurements of the standard gases. In the NDIR measurements at the ground  
192 WMO/GAW stations, carbon dioxide mole fractions are referenced to a high working standard and a  
193 low working standard and are determined by the interpolations of the signals with the two standards,  
194 and the calibration with the two standard gases are carried out every 12 h (Fang et al., 2014).

195

196 **b. System configuration of the CO<sub>2</sub> sonde system**

197 A schematic diagram and photograph of the CO<sub>2</sub> measurement instrument are shown in Fig. 1. The  
198 CO<sub>2</sub> sonde has three inlets installed for ambient air and two calibration gases with mesh filters (EMD  
199 Millipore, Millex-HA, 0.45  $\mu\text{m}$  pore size) to remove the atmospheric particles. Three solenoid valves  
200 (Koganei, G010LE1-21) were used to switch the gas flow to the CO<sub>2</sub> sensor. A constant-volume piston  
201 pump with a flow rate of 300  $\text{cm}^3 \text{ min}^{-1}$  (Meisei Electric co., Ltd.), which is originally used for  
202 ozonesonde instruments, directed the gas flows from the inlets through the solenoid valves into a  
203 dehumidifier, a flow meter, and a CO<sub>2</sub> sensor. The absolute STP (standard temperature and pressure)  
204 flowrate decreased with a decrease in pressure. Since the exit port of the CO<sub>2</sub> sensor was opened to  
205 the ambient air, the pressure of dehumidified outside air and calibration gases in the absorption cell  
206 were equal to the ambient pressure during the flight. Next to the pump, the gases were introduced to a  
207 glass tube filled with the magnesium perchlorate grains (dehumidifier) installed upstream to the CO<sub>2</sub>  
208 sensor to remove the water vapor. Fabric filters were installed on both ends of the dehumidifier, and a  
209 mesh filter was installed downstream of the dehumidifier to prevent the CO<sub>2</sub> sensor from the incursion  
210 of magnesium perchlorate grains to the optical cell.

211 The infrared absorption cell consisted of a gold-coated glass tube, a light source, and a photodetector.  
212 The light source (Helioworks, EP3963) consisted of a tungsten filament with a spectral peak intensity  
213 wavelength of approximately 4  $\mu\text{m}$ . The light from the source passed through a gold-coated glass tube  
214 (length 120 mm, and inside diameter 9.0 mm). The commercial CO<sub>2</sub> NDIR photodetector (Perkin-  
215 Elmer TPS2734) had two thermopile elements, one of which was equipped with a band-pass filter at a

216 wavelength of 4.3  $\mu\text{m}$  for the measurement of the CO<sub>2</sub> absorption signal, whereas the other was  
217 equipped with a band-pass filter at a wavelength of 4.0  $\mu\text{m}$  for the measurement of the background  
218 signal. The signals from the sensors were amplified by an operational amplifier and converted to 16  
219 bit digital values by an A/D convertor. The signal intensities of the detectors at 4.0 and 4.3  $\mu\text{m}$  without  
220 CO<sub>2</sub> gas were set to the equal levels by adjusting the amplification factors in the laboratory. The electric  
221 power for the CO<sub>2</sub> sensor, pump, and valves was supplied through a control board using three 9 V  
222 lithium batteries, lasted for more than 3 h during the flight. The control board connected to the  
223 components regulated the measurement procedures, such as switching the solenoid valves and  
224 processing the signal. As shown in Fig. 1, the measurement system has an expanded polystyrene box  
225 molded specially to settle the optical absorption cell, electronic board, pump, battery and other  
226 components.

227

### 228 **c. Calibration gas package**

229 Under the wide ranges of temperature and pressure conditions, the CO<sub>2</sub> sensor signal was unstable,  
230 and the calibration of the CO<sub>2</sub> sensor only on the ground before launch was insufficient to obtain the  
231 precise values of the CO<sub>2</sub> concentrations. To solve this problem, an in-flight calibration system was  
232 incorporated into the CO<sub>2</sub> sonde. A calibration gas package was attached to the CO<sub>2</sub> sonde for the in-  
233 flight calibration, as shown in Fig. 2. The calibration gas package consisted of two aluminum coated  
234 with polytetrafluoroethylene (PTFE) bags (maximum volume: 20 L), containing reference gases with  
235 low (~370 ppm) and high (~400 ppm) CO<sub>2</sub> concentrations. In each bag, ~8 L (STP) of the reference  
236 gas was introduced from standard CO<sub>2</sub> gas cylinders just before launch. Since the gas bags were soft,  
237 their inner pressures were equal with the ambient air pressures during the balloon flight. The gas  
238 volumes in the bags increased with the altitude during the ascent of the balloon due to a decrease in  
239 the ambient pressure, while the reference gases were consumed during the calibration procedures. The  
240 optimum amounts of gas in the bags were determined by both the ascending speed of the balloon and

241 the consumption rate to avoid the bursting of the bags and exhaustion of the gases. The CO<sub>2</sub>  
242 concentrations of the reference gases in the bags were checked by the NDIR instrument (LICOR, LI-  
243 840) before launching. Thereafter, approximately 6 L of the reference gas was left in each bag for a  
244 subsequent in-flight calibration. The change in the CO<sub>2</sub> mole fraction in the bags was less than 1 ppm  
245 over a 3 days period, which was negligible over the observations time during the balloon flight. All  
246 measurements were reported as dry-air mole fractions relative to the internally consistent standard  
247 scales maintained at Tohoku University (Tanaka et al. 1987; Nakazawa et al. 1992).

248 Since the gas exit port of the optical absorption cell was opened to the ambient air, the cell pressure  
249 was equalized with the ambient pressure for measuring both the ambient air and two standard gases.  
250 During the balloon-borne flights, the temperatures inside the CO<sub>2</sub> sonde package were measured with  
251 thermistors. The temperature inside the CO<sub>2</sub> sonde package gradually decreased by approximately 5  
252 K, from 298 K on the ground to 293 K at an altitude of 10 km during the flights. Probably due to the  
253 polystyrene box, and the heat produced by the NDIR lamp, pump and solenoid valves, temperature  
254 inside the sonde package remained virtually constant in spite of low ambient temperatures at high  
255 altitudes (~220 K). Within one measurement cycle time (160 s) with the standard gases, the  
256 temperature change was less than 0.4 K in the sonde package. The temperatures of the sample gas in  
257 the tube just before the inlet of the CO<sub>2</sub> NDIR cell were also measured using a thin wire thermistor,  
258 commonly used for ambient temperature measurement in GPS sonde equipment with a quick response  
259 time (shorter than 2 s). The gas temperature change was negligible at the valve change timings between  
260 the standard gas and ambient air (< 0.1 K). The result indicated that the gas temperatures were  
261 relatively constant after passing through the valves, pump, dehumidifier cell, and piping for both the  
262 standard gases and ambient air.

263 The performances of the CO<sub>2</sub> sonde instruments were checked before the balloon launching since  
264 the CO<sub>2</sub> sonde systems were not recovered after the launch experiments were performed. For about 60  
265 min. before the launch, the values of  $[I(4.0) - I(4.3)]/P$  were measured with the valve cycles (each

266 step 40 s, total 160 s) for two standard gas packages (~370 ppm and ~400 ppm) for calibration and one  
267 intermediate concentration gas package (~385 ppm) as a simulated ambient gas sample.

268

269 **d. Total sonde system**

270 The CO<sub>2</sub> sonde was equipped with a GPS radiosonde (Meisei Electric co., Ltd., RS-06G). The  
271 balloon carried the instrument packages in the altitude with measuring CO<sub>2</sub> and meteorological data  
272 (GPS position and time, temperature, pressure, and humidity). The CO<sub>2</sub> sonde transmitted those data  
273 to a ground receiver (Meisei Electric co., Ltd., RD-08AC) at 1 s intervals, thus it was unnecessary to  
274 recover the CO<sub>2</sub> sonde after the balloon burst. Figure 2 showed an overall view of the CO<sub>2</sub> sonde  
275 developed in this study, which consisted of a CO<sub>2</sub> measurement package, a calibration gas package, a  
276 GPS radiosonde, a balloon, and a parachute. The total weight of the CO<sub>2</sub> sonde was 1700 g, including  
277 the GPS radiosonde (150 g), CO<sub>2</sub> measurement package (1000 g), and calibration gas package (550 g).  
278 The dimensions of the CO<sub>2</sub> measurement package were width (W) 280 mm × height (H) 150 mm ×  
279 depth (D) 280 mm. The size of the calibration gas package was W 400 mm × H 420 mm × D 490 mm.

280 The CO<sub>2</sub> sonde system was flown by a 1200 g rubber balloon (Totex). The ascending speed was  
281 around 4 m / s by controlling the helium gas amount in the rubber balloon and checking the buoyancy  
282 force. In practice, it was difficult to precisely control the ascending speed of the balloon, and the actual  
283 resulting speeds were in the range of 3 - 5 m s<sup>-1</sup>. This corresponds to the height resolution of  
284 approximately 240–400 m for the measurements of the CO<sub>2</sub> vertical profiles.

285 Ascending speed slower than 3 m s<sup>-1</sup> can lead to a collision with a nearby tree and building, result  
286 in equipment falling in the urban areas. With faster ascending speeds, the altitude resolution of the  
287 measurements decreased and the gas standard bag became full and the pressure inside the gas bags  
288 became higher than the ambient pressure because of the lower ambient pressures at higher altitudes.  
289 The high pressure inside the gas bag resulted in the fast flow speed in the optical absorption cell of  
290 NDIR, which shifted the signal values for the pressurized gas sample. Since pressure relief valves for

291 the bags did not work at low pressures at high altitudes, we did not use the pressure relief valve for the  
292 standard gas bags. When the ascending speed was low, the standard gas bags became empty since they  
293 were consumed by the in-flight calibration procedures during the long ascending time. Since the  
294 measurements after the over-pressurization or the exhaustion of the reference gas bag are useless, this  
295 technical problem determines the upper limit (10 km) of altitude for the measurements in this study.  
296 Based on our experiences, this problem generally occurred at an altitude above approximately 10 km.  
297 A prototype of the CO<sub>2</sub> sonde is available from Meisei Co. Ltd. (Isesaki, Japan) with about \$4,500.

298

299 **e. Data processing procedures**

300 Since the surrounding conditions of the sonde change significantly during the ascending period,  
301 the NDIR measurement system is calibrated with the two standard gases at every altitudes. However,  
302 since the balloon-borne instrument is only equipped with one NDIR absorption cell and the balloon  
303 ascends continuously, it is not possible to measure the ambient air sample and the two standard gases  
304 at the same time and at the same altitude. Therefore, the measurement cycle during the flights consisted  
305 of the following steps: (1) low concentration standard gas, (2) ambient air, (3) high concentration  
306 standard gas, and (4) ambient air. The measurement time for each step was 40 s. At switching timings  
307 of the valve cycles, the signal became stable within 10 s, and the averages of residual 30-s period  
308 signals were used for the calculation of the CO<sub>2</sub> mole fractions. Since the gas exit port of the NDIR  
309 optical absorption cell was opened to the ambient air, the cell pressure was equalized with the ambient  
310 pressure. During the period of the 40 s gas change, the pressure would change about 2 % when the  
311 ascending speed of the balloon was 4 m s<sup>-1</sup>. The temperature of the ambient air and standard gas  
312 samples at the inlet port of the optical cells was measured and found to be constant during each cycle  
313 of the calibration procedure.

314 Figure 3 shows an example of the raw data obtained from the CO<sub>2</sub> sonde experiment. Figure 3  
315 presents the plots of the values of  $[I(4.0) - I(4.3)]/P$  against the altitude, where  $I(4.0)$  and  $I(4.3)$

316 are the signal intensities at the wavelength of 4.0  $\mu\text{m}$  for background measurements and the 4.3  $\mu\text{m}$   
317 wavelength for  $\text{CO}_2$  absorption measurements, as obtained by the NDIR  $\text{CO}_2$  sensor on the balloon,  
318 and  $P$  is the ambient atmospheric pressure obtained by the GPS sonde data and pressure  
319 measurements on the ground.

320 The values of  $[I(4.0) - I(4.3)]/P$  are proportional to the  $\text{CO}_2$  mole fraction X according to the  
321 Beer-Lambert law as expressed by Eq. (2). By using the values of  $[I(4.0) - I(4.3)]/P$ , we can  
322 compensate for the pressure change to determine the  $\text{CO}_2$  concentration. As shown in Fig. 3, the  
323 differences in the  $[I(4.0) - I(4.3)]/P$  values between the low and high standard gases remained  
324 relatively constant while ascending to the higher altitudes. However, the  $[I(4.0) - I(4.3)]/P$  values  
325 for the each standard gas did not change linearly but sometimes displayed some curvatures as shown  
326 in Fig. 3. This may be due to the differences between the baseline drift of the two sensors at 4.3  $\mu\text{m}$   
327 and 4.0  $\mu\text{m}$  in the NDIR detector. Since the measurements were performed alternately for the standard  
328 gases and the ambient air with the NDIR cell and are not performed simultaneously, the values for the  
329 standard gas signals at the time of the ambient air measurement was estimated. Therefore, the cubic  
330 spline fitting curves for the observation points of the 30 s average values (red circles in Fig. 3) of the  
331 same standard gas were used to obtain the low and high calibration points for the calculation of the  
332 mole fractions in the ambient air. In Fig. 3, the cubic spline fitting curves are represented by the red  
333 curves, and the estimated values for the standard gases at the ambient gas measuring time are  
334 represented by the small black dots on the cubic spline curves, which are used for the interpolation to  
335 determine the ambient air concentrations. Linear line fitting between the standard gas values did not  
336 work well because the connection lines of the values sometimes displayed curvatures as shown in Fig.  
337 3. Since there were in-phase fluctuations in the  $I(4.0)$  and  $I(4.3)$  signals during the flights, the  
338 subtraction of  $[I(4.0) - I(4.3)]$  could partly improve the signal-to-noise ratios by canceling in-phase  
339 fluctuations with each other.

340

341 **3. Results and discussion**

342 **a. Laboratory tests**

343 Since the linear interpolation method for the  $[I(4.0) - I(4.3)]/P$  values was used to determine the  
344 ambient air CO<sub>2</sub> mole fractions in the balloon-borne experiments, the deviations from the linear  
345 interpolation process were also investigated. The measurements of various mole fractions gas samples  
346 in the laboratory indicated that the linear interpolation error with the two standard gas packages (~370  
347 ppm and ~400 ppm) was less than 0.2 ppm in the range between 360 and 410 ppm. Figure 4 shows the  
348 measurement results of the NDIR cell developed in this study at various CO<sub>2</sub> mole fractions. The outlet  
349 port of the NDIR system was connected to the commercial CO<sub>2</sub> instrument (LICOR, LI-840A) as a  
350 standard device, and the two instruments simultaneously measure the sample gas at 1010 hPa. The  
351 standard gases of 365 and 402 ppm were used for the calibration, and the mixtures of the standard  
352 gases were used for the samples. This indicated the values of  $[I(4.0) - I(4.3)]/P$  of the system were  
353 proportional to the mole fraction of CO<sub>2</sub>. This type of experiment could not be performed at low  
354 pressures, since we did not have a standard device which can be operated under low pressures.

355 Figure 5 shows the results of an experiment using a vacuum chamber in the laboratory, where the  
356 flight pressure conditions were simulated and the performances of the CO<sub>2</sub> sonde instruments was  
357 evaluated. The temperature inside the chamber was not controlled and was about 298 K. In the actual  
358 flights, the temperature inside the sonde package did not change more than 5 K. The CO<sub>2</sub> sonde system  
359 and two standard gas packages were placed in the vacuum chamber. The chamber was filled with the  
360 mole fraction sample gas of 377.3 ppm before the pumping. The pressure of the chamber was gradually  
361 and continuously decreased using a mechanical pump from 1010 hPa (ground surface pressure) to 250  
362 hPa (about 10 km altitude pressure) over 60 min, corresponded to a balloon ascending speed of 3 m /s  
363 in actual flights, whereas the sample gas was slowly and continuously supplied to the chamber. The  
364 values  $[I(4.0) - I(4.3)]/P$  were measured for the two standard gas packages, and the sample gas with  
365 the valve cycles (each step 40 s, total 160 s) as described in the previous section. The mole fractions

366 of the sample gas in the chamber were calculated by the interpolation of the signals for the two standard  
367 gases. The 30 s signals 10 s after the valve changes were used for the interpolation calculations to  
368 avoid the incomplete gas exchanges in the NDIR optical cell. The black circle in Fig. 5 indicates the  
369 sample gas mole fraction obtained from the linearly interpolated standard gas signals in each  
370 calibration cycle. The vertical error bar in Fig. 5 indicates the square-root of the sum of squares for the  
371 standard deviations of the sample and standard gas signals at each step. The errors in the CO<sub>2</sub> mole  
372 fractions were estimated to be 0.6 ppm at 1010 hPa and 1.2 ppm at 250 hPa using the calibration cycles.  
373 The results in Fig. 5 indicated that the determination of the sample gas concentration using the linear  
374 interpolation with the standard gases was appropriate within the error, when the pressure continuously  
375 decreased from 1000 to 250 ppm over 60 min.

376 When the CO<sub>2</sub> sonde instrument was inclined and vibrated in the laboratory, the fluctuations in the  
377 signals were observed. The quantitative correlation between the signal fluctuation intensities and  
378 acceleration speed, measured by a 3-dimensional acceleration sensor, was investigated, but no distinct  
379 correlation was detected. However, the in-flight calibration system partly solved this problem by taking  
380 the signal difference of  $[I(4.0) - I(4.3)]$  and also by measuring alternately the two standard gases  
381 every 40 s during the balloon flights.

382 The temperature characteristics of the CO<sub>2</sub> sensor were also investigated by changing the sensor cell  
383 block temperature from 273 to 323 K at the pressure of ~1010 hPa, using a heater in the laboratory.  
384 The laboratory experiment related to the temperature dependence suggested that the measurement error  
385 is less than 0.2 ppm due to the temperature change during one valve cycle (160 s) in the balloon-borne  
386 experiments.

387 In principle, the absorption intensities  $(I_0 - I)$  in the NDIR measurements are proportional to the  
388 absolute CO<sub>2</sub> concentrations in the sample air in the absorption cell. Therefore, at higher altitudes  
389 where the pressures were lower, the values of  $[I(4.0) - I(4.3)]$  were smaller and the signal-to-noise  
390 ratios of  $[I(4.0) - I(4.3)]/P$  decreased. The error of the CO<sub>2</sub> mole fractions of 1.2 ppm at 250 hPa

391 corresponds to an absolute CO<sub>2</sub> concentration of  $3.2 \times 10^{13}$  molecule cm<sup>-3</sup>. The equivalent altitude for  
392 this value was 90 km with a CO<sub>2</sub> molar fraction of 400 ppm. As described previously, the purpose of  
393 CO<sub>2</sub> balloon observations is to measure the CO<sub>2</sub> mole fraction within 1 ppm errors in the atmospheres  
394 around 400 ppm CO<sub>2</sub>. The upper limit of the altitude for the observations with the developed CO<sub>2</sub>  
395 sonde is considered to be ~10 km. Furthermore, as described in section 2d, the problems of the vacancy  
396 or over-pressure in the standard gas bags took place around 10 km altitudes, which resulted in large  
397 errors. This also practically determines the upper altitude limit for CO<sub>2</sub> sonde observations.

398

399 **b. Comparison with aircraft data**

400 Two types of aircraft measurement data, the NIES/JAXA chartered aircraft and the CONTRAIL  
401 data, were used for comparison with the CO<sub>2</sub> sonde measurement data. The NIES/JAXA chartered  
402 aircraft measurements were conducted on the same days as the CO<sub>2</sub> sonde observations (January 31st,  
403 2011 and February 3rd, 2011). The chartered aircraft observations were performed as a part of the  
404 campaign for validating the GOSAT data and calibrating the TCCON FTS data at Tsukuba (36.05°N,  
405 140.12°E) (Tanaka et al., 2012). The chartered aircraft data were obtained using an NDIR instrument  
406 (LICOR LI-840) that had a control system of constant pressure and had the uncertainty of 0.2 ppm.  
407 On both January 31st and February 3rd, the chartered aircraft measured the CO<sub>2</sub> mole fractions during  
408 descent spirals over Tsukuba and Kumagaya (Fig. 6). Because the air traffic was strictly regulated near  
409 the Haneda and Narita international airports, the aircraft observations at altitudes above 2 km over  
410 Tsukuba were prohibited. Therefore, the descent spiral observations were conducted over Kumagaya  
411 at altitudes of 7–2 km and over Tsukuba at altitudes of 2–0.5 km. Tsukuba is located approximately 20  
412 km northeast of Moriya, whereas Kumagaya is located approximately 70 km northwest of Moriya.

413 Seven profiles based on the CONTRAIL measurements, obtained during the ascent and descent of  
414 aircrafts over Narita airport and had passage times close to the CO<sub>2</sub> sonde observations, were available  
415 within two days after or before the dates of the CO<sub>2</sub> sonde measurements (Table 1). The CO<sub>2</sub> sonde

416 observations were conducted on January 31st and February 3rd, 2011 from Moriya. One set of  
417 CONTRAIL data, obtained from the flight from Hong Kong to Narita (data set name: 11\_060d), was  
418 available on January 31st, but no CONTRAIL data were available for February 3rd. Therefore, the  
419 CONTRAIL data, obtained from the flight from Hong Kong to Narita on February 2nd (data set name:  
420 11\_062d), were used for comparison with the February 3rd CO<sub>2</sub> sonde data. Figure 6 also shows the  
421 CONTRAIL 11\_060d and 11\_062d flight paths and the CO<sub>2</sub> sonde launched at Moriya on January 31st  
422 and February 3rd, 2011. On January 31st, the flight time of the CONTRAIL 11\_060d over the Narita  
423 airport and the launch time of the CO<sub>2</sub> sonde at Moriya were relatively close to one another. The flight  
424 path of the CONTRAIL 11\_062d data on February 2nd, 2011 was close to that of the CO<sub>2</sub> sonde on  
425 February 3rd, 2011 and both observations were conducted in the early afternoon. The CONTRAIL  
426 data referred in the present study was obtained using the Continuous CO<sub>2</sub> Measuring Equipment  
427 (CME) located onboard commercial airliners (Machida et al. 2008; Matsueda et al. 2008). The typical  
428 measurement uncertainty (1 $\sigma$ ) of the CME has been reported as 0.2 ppm (Machida et al. 2008).

429 Figure 7 shows the vertical profiles of CO<sub>2</sub> observed by the CO<sub>2</sub> sonde at Moriya, the chartered  
430 aircraft at Kumagaya and Tsukuba, and the CONTRAIL over the Narita airport on January 31st, 2011.  
431 The overall vertical distribution of the CO<sub>2</sub> sonde data resembled with those of the chartered aircraft.  
432 The vertical profiles of the CONTRAIL 11\_060d flight on January 31st at the 5.3–6.8 km altitude  
433 range consisted of the missing data because of the CME calibration period.

434 Figure 8 shows the comparison of the CO<sub>2</sub> vertical profiles obtained by the CO<sub>2</sub> sonde over Moriya,  
435 NIES/JAXA chartered aircraft over Kumagaya and Tsukuba on February 3rd, 2011, and the  
436 CONTRAIL on February 2nd, 2011 over Narita. The shape of the vertical profile obtained by the  
437 chartered aircraft on February 3rd resembled that obtained by the CO<sub>2</sub> sonde, although the profile from  
438 the chartered aircraft was shifted to the lower CO<sub>2</sub> concentration side compared to that of the CO<sub>2</sub>  
439 sonde.

440 Table 2 lists the comparisons of the CO<sub>2</sub> mole fractions measured by the balloon CO<sub>2</sub> sonde and

441 NIES/JAXA chartered aircraft on January 31st and February 3rd, 2011. The averaged values of the  
442 aircraft measurement over the range of each balloon altitude  $\pm 100$  m are listed in Table 2, since the  
443 altitude resolution of the aircraft measurements is higher than that of the CO<sub>2</sub> sonde. From the February  
444 3rd measurements, the height of the boundary layer around an altitude of 1 km was different between  
445 the CO<sub>2</sub> sonde and the NIES/JAXA aircraft measurements as shown in Fig. 8. Therefore, the data  
446 below 1 km on February 3rd are not included in Table 2. From the data on January 31st, the averaged  
447 value of the differences between the CO<sub>2</sub> sonde and the NIES/JAXA aircraft was relatively small (0.42  
448 ppm), which corresponded to the bias of the measurements. The standard deviation of the differences  
449 was 1.24 ppm. From the February 3rd data, the bias was large (1.41 ppm), whereas the standard  
450 deviation of the differences was not so large (1.00 ppm), which corresponded to the similar but shifted  
451 vertical profiles in shapes between the CO<sub>2</sub> sonde and aircraft measurements as shown in Fig. 8. The  
452 difference between the CO<sub>2</sub> sonde data and the NIES/JAXA chartered aircraft data on February 3rd is  
453 nearly equal to the difference between CONTRAIL data on February 2nd and the NIES/JAXA  
454 chartered aircraft data on February 3rd.

455 Table 3 lists the comparisons of the CO<sub>2</sub> mole fractions measured by the balloon CO<sub>2</sub> sonde and  
456 CONTRAIL aircraft, 11\_060d on January 31st and 11\_062d on February 2nd, 2011 up to the altitude  
457 of 7,000 m. The averaged values of the aircraft measurements over the range of each balloon altitude  
458  $\pm 100$  m are listed in Table 3. The biases between the CO<sub>2</sub> sonde and the CONTRAIL aircraft results  
459 were relatively small, 0.33 and 0.35 ppm, and the standard deviations of the differences were 1.16 and  
460 1.30 ppm for the results on January 31st and February 3rd, respectively.

461 From the comparison between the CO<sub>2</sub> sonde data and the aircrafts (NIES/JAXA and CONTRAIL)  
462 data, it was found that the CO<sub>2</sub> sonde observation was larger than those of aircrafts by about 0.6 ppm  
463 on average. The standard deviation of the difference from the CO<sub>2</sub> sonde and aircraft observations was  
464 1.2 ppm (1 $\sigma$ ). If the 4 sets of aircraft measurement data obtained by the NIES/JAXA and CONTRAIL  
465 observations were accurate within the published uncertainties, ignoring the differences in the flight

466 time and geographical routes, the measurement error of the CO<sub>2</sub> sonde system was estimated from the  
467 standard deviations of all the difference values in Tables 2 and 3. The estimated error value up to an  
468 altitude of 7 km was  $0.6 \pm 1.2$  ppm for the CO<sub>2</sub> sonde observation with a 240 m altitude resolution and  
469 3 m s<sup>-1</sup> ascending speed. The root mean square value (1.3 ppm) from all the difference value in Table  
470 2 and 3 indicated that the CO<sub>2</sub> sonde could measure the CO<sub>2</sub> vertical profiles within 1.3 ppm on average  
471 compared to the aircraft observations. It is noted that, although error estimation was conducted for the  
472 data up to an altitude of 7 km due to the availability of the chartered aircraft data, the CO<sub>2</sub> sonde data  
473 above 7 km up to about 10 km. The measurement errors for the data above 7 km are expected to be  
474 larger than the above estimation.

475

#### 476 **c. CO<sub>2</sub> sonde observations over a forested area**

477 Figure 9 shows the vertical profiles of the CO<sub>2</sub> mole fraction, temperature, and relative humidity  
478 obtained from the balloon-borne experiments of the CO<sub>2</sub> sonde at Moshiri (44.4°N, 142.3°E) on  
479 August 26, 2009. The launch site is in a rural area of Hokkaido, Japan and is surrounded by forests.  
480 The CO<sub>2</sub> sonde was launched at 13:29 LST and ascended with a mean vertical speed of approximately  
481 3 m s<sup>-1</sup>. The CO<sub>2</sub> sonde reached an altitude of 10 km after 56 min. The wind horizontally transported  
482 the CO<sub>2</sub> sonde distances of 10 km and 21 km northeast when the CO<sub>2</sub> sonde reached the altitudes of 5  
483 km and 8 km, respectively. The CO<sub>2</sub> sonde rapidly moved 52 km southeast at an altitude of 16 km.  
484 Finally, the CO<sub>2</sub> sonde reached an altitude of 28 km before the balloon burst and the subsequent fall  
485 of the sonde was directed by the parachute into the Sea of Okhotsk located 80 km east of the launch  
486 site. The error bars for the CO<sub>2</sub> mole fraction in Fig. 9a were calculated from the deviation of the signal  
487 intensities from the CO<sub>2</sub> sensor during the 40 s measurement periods for the ambient air and the two  
488 standard gases.

489 The vertical temperature profile in Fig. 9b indicated the existence of three inversion layers of the  
490 altitudes of approximately 2.0, 3.2, and 4.3 km. The relative humidity from the ground to the first

491 inversion layer at 2.0 km and between the second and third inversion layers from 3.2 to 4.3 km were  
492 higher compared with those observed from 2.0 to 3.2 km and from 4.3 to 7.5 km. The CO<sub>2</sub> mole  
493 fraction was the lowest near the ground (~373 ppm) and increased to approximately 384 ppm at an  
494 altitude of 4–5 km around the third inversion layer before reaching a value of 387 ppm in the upper  
495 troposphere (5–9 km). Significant decreases in the CO<sub>2</sub> mole fractions were observed in the two lower  
496 layers from the ground to 3.2 km. Considering the clear weather on the day of the balloon experiment,  
497 these results are explained by the uptake of CO<sub>2</sub> near the surface by plants in the forests through  
498 photosynthesis processes in the daytime hours, and the diffusion and advection of the air mass  
499 containing low CO<sub>2</sub> concentrations in the upper altitudes.

500 Because the CO<sub>2</sub> mole fraction for the vertical profiles near the surface is critically important to  
501 estimating the flux around the observation point, the vertical profile data taken by our CO<sub>2</sub> sonde is  
502 useful.

503

#### 504 **d. CO<sub>2</sub> sonde observations over an urban area**

505 Figure 10 shows the vertical profiles of the CO<sub>2</sub> mole fraction, temperature, and relative humidity  
506 obtained by the CO<sub>2</sub> sonde at Moriya (35.93°N, 140.00°E) on February 3rd, 2011. The launching time  
507 was 13:10 LST and the sonde ascended with a mean vertical speed of approximately 2.9 m s<sup>-1</sup>. Moriya  
508 is located in the Kanto region and is 40 km northeast of the Tokyo metropolitan area. The launching  
509 site was surrounded by the heavy traffic roads and residential areas. As seen in Fig. 10a, high CO<sub>2</sub>  
510 mole fractions were observed from the ground up to an altitude of 1 km. The average CO<sub>2</sub> volume  
511 mole fraction in this layer was higher than that measured in the free troposphere approximately above  
512 15 ppm. A small temperature inversion layer appeared at approximately 1 km, and the maximum  
513 relative humidity was observed just below this inversion layer (Figs. 10b and c). These results  
514 suggested that the CO<sub>2</sub> emitted from anthropogenic sources in and/or around the Tokyo metropolitan  
515 area accumulated in the boundary layer at altitudes below 1 km.

516 An analysis of Figs. 9 and 10 indicated that there were a clear local consumption and emission of  
517 CO<sub>2</sub> from the comparison of the levels of CO<sub>2</sub> concentration in the free troposphere, which suggested  
518 a decoupling with the boundary-layer and synoptic inversion layers (Mayfield and Fochesatto, 2013).  
519 When a small increase in a column XCO<sub>2</sub> value is observed by a satellite, it is difficult to estimate  
520 which part of the atmosphere is responsible for the increase in XCO<sub>2</sub>, the boundary layer with strong  
521 CO<sub>2</sub> emission in the nearby area, or the free troposphere. Considering this fact, the vertical profile data  
522 obtained by the CO<sub>2</sub> sonde around urban areas should provide more useful information than the column  
523 averaged observations obtained by the satellites and FTS measurements to estimate the flux of  
524 anthropogenic CO<sub>2</sub> emitted in and/or around the urban areas.

525

#### 526 **4. Conclusion**

527 The CO<sub>2</sub> sonde is shown to be a feasible instrument for CO<sub>2</sub> measurements in the troposphere. The  
528 laboratory test with a vacuum chamber has shown the precision of the CO<sub>2</sub> sonde at ~1010 hPa for 0.6  
529 ppm and at ~250 hPa for 1.2 ppm. Comparisons of the CO<sub>2</sub> vertical profiles obtained by the CO<sub>2</sub> sonde  
530 with two types of aircraft observations, the CONTRAIL and the NIES/JAXA chartered aircraft, were  
531 carried out. The CO<sub>2</sub> sonde and CONTRAIL data were consistent. The CO<sub>2</sub> sonde data on January  
532 31st, 2011 was in good agreement with the chartered aircraft data on the same day, but the CO<sub>2</sub> sonde  
533 data observed on February 3rd, 2011 was larger by approximately 1.4 ppm, as compared with the  
534 chartered aircraft data obtained on the same day from the ground to an altitude of 7 km. The  
535 measurement errors of the CO<sub>2</sub> sonde system up to an altitude of 7 km were estimated to be 1.4 ppm  
536 for a single point of 80 s period measurements with a vertical height resolution of 240–400 m. We  
537 conducted the field CO<sub>2</sub> sonde observations more than 20 times in Japan and successfully obtained  
538 CO<sub>2</sub> vertical profiles from the ground up to altitudes of approximately 10 km.

539 Our results showed that low-cost CO<sub>2</sub> sondes could potentially be used for frequent measurements  
540 of vertical profiles of CO<sub>2</sub> in many parts of the world providing as useful information to understand

541 the global and regional carbon budgets by replenishing the present sparse observation coverage. The  
542 CO<sub>2</sub> sondes can detect the local and regional transport evidence by determining CO<sub>2</sub> concentrations in  
543 the air layer trapped between elevated inversion layers. Also, the CO<sub>2</sub> sonde observation data could  
544 help improve the inter-comparison exercise for inverse models and for the partial validation of satellite  
545 column integral data. In future, the CO<sub>2</sub> sonde data will be used for the validation of satellites and the  
546 calibration of ground-based observations of sunlight spectroscopic measurements for column values  
547 of CO<sub>2</sub> concentration.

548

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560

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697

698 **Table 1.** CONTAIL flight data near to the CO<sub>2</sub> sonde measurements on 31 January and 3 February

699 2011.

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Data set name	Date	Time (LST) <sup>a</sup>
11_057a	CONTRAIL (29 January)	19:01
11_058d	CONTRAIL (30 January)	15:06
11_059a	CONTRAIL (30 January)	18:46
11_060d	CONTRAIL (31 January)	15:07
11_061a	CONTRAIL (1 February)	18:46
11_062d	CONTRAIL (2 February)	14:58
11_063a	CONTRAIL (4 February)	18:58
	CO <sub>2</sub> sonde (31 January)	13:06
	CO <sub>2</sub> sonde (3 February)	13:10

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703 <sup>a</sup> Time for the CONTRAIL data represents the flight time in Japan Standard Time at an altitude of 1  
704 km over the Narita airport. Time for the CO<sub>2</sub> sonde data represents the launching time at Moriya.

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707

708 **Table 2.** Comparisons of the CO<sub>2</sub> mole fractions between the balloon CO<sub>2</sub> sonde and NIES/JAXA  
 709 chartered aircraft measurements on 31st January and 3rd February 2011.  
 710

JAXA-NIES Chartered Aircraft (31 January 2011)				JAXA-NIES Chartered Aircraft (3 February 2011)			
Altitude (m) <sup>a</sup>	Balloon CO <sub>2</sub> (ppm)	Aircraft CO <sub>2</sub> (ppm) <sup>b</sup>	Difference (ppm) <sup>c</sup>	Altitude (m) <sup>a</sup>	Balloon CO <sub>2</sub> (ppm)	Aircraft CO <sub>2</sub> (ppm) <sup>b</sup>	Difference (ppm) <sup>c</sup>
849	399.05	397.62	1.43	1324	396.60	394.45	2.15
1202	398.16	397.53	0.63	1612	394.65	393.03	1.62
1610	398.00	397.17	0.83	1917	394.86	394.10	0.76
2038	396.50	396.95	-0.45	2223	395.77	393.54	2.23
2291	398.03	396.04	1.99	2539	395.41	393.95	1.45
2463	396.54	395.65	0.89	2867	394.71	395.11	-0.40
2844	393.44	395.24	-1.79	3215	394.99	392.99	2.00
3329	395.45	394.15	1.30	3543	393.59	393.07	0.52
3732	393.51	393.63	-0.12	3764	393.69	393.40	0.28
4161	395.47	393.54	1.93	3938	395.15	393.11	2.04
4575	394.62	392.94	1.68	4169	393.83	392.68	1.15
4918	393.24	393.64	-0.41	4458	396.57	393.51	3.06
5273	392.41	393.25	-0.84	4750	394.88	393.69	1.19
5654	393.02	393.47	-0.45	5047	396.53	394.01	2.53
6083	391.87	392.91	-1.04	5214	395.91	393.45	2.46
6510	392.76	391.65	1.11	5383	396.78	393.58	3.20
				5565	395.83	393.67	2.15
				5781	395.18	393.39	1.80
				6092	391.75	392.83	-1.09
				6287	392.44	392.42	0.02
				6467	393.67	392.23	1.44
				6639	395.07	392.42	2.65
				6815	394.00	393.00	1.00
				Average = 1.41			
				Std Dev <sup>d</sup> = 1.00			
				RMS <sup>e</sup> = 1.62			

711 a. Altitudes of the balloon-borne experiments using the in-flight calibration with 40-s time intervals.  
 712 b. Averaged values of the aircraft measurement results over the range of the balloon altitudes  $\pm 100$  m.  
 713 c. Difference values of [balloon CO<sub>2</sub>] - [Aircraft CO<sub>2</sub>]  
 714 d. Standard deviation of the differences (1 $\sigma$ ).  
 715 e. Root mean square values.  
 716

717 **Table 3.** Comparisons of the CO<sub>2</sub> mole fractions between the balloon CO<sub>2</sub> sonde measurements on  
 718 31 January and CONTRAIL aircraft CME on 31 January (11\_060d) and between the CO<sub>2</sub> sonde on 3  
 719 February and CONTRAIL on 2 February (11\_062d) up to the altitude of 7 km. The annotations are  
 720 same as Table 2.

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CONTRAIL 11_060d (31 January 2011)				CONTRAIL 11_062d (2 February 2011)			
Altitude (m)	Balloon CO <sub>2</sub> (ppm)	Aircraft CO <sub>2</sub> (ppm)	Difference (ppm)	Altitude (m)	Balloon CO <sub>2</sub> (ppm)	Aircraft CO <sub>2</sub> (ppm)	Difference (ppm)
849	399.05	398.21	0.84	1917	394.86	396.59	-1.73
1202	398.16	399.56	-1.40	2223	395.77	396.45	-0.68
1610	398.00	398.77	-0.76	2539	395.41	395.71	-0.30
2038	396.50	397.07	-0.57	2867	394.71	394.67	0.04
2291	398.03	395.97	2.06	3215	394.99	393.34	1.65
2463	396.54	394.55	1.99	3543	393.59	394.25	-0.66
2844	393.44	393.41	0.04	3764	393.69	394.33	-0.64
3329	395.45	394.25	1.20	3938	395.15	394.69	0.46
3732	393.51	393.58	-0.07	4458	396.57	394.09	2.48
4161	395.47	393.86	1.61	4750	394.88	395.02	-0.14
4575	394.62	393.18	1.44	5047	396.53	396.55	-0.01
4918	393.24	393.62	-0.38	5214	395.91	396.01	-0.10
5273	392.41	392.76	-0.35	5383	396.78	394.78	2.00
6866	392.31	393.26	-0.96	5565	395.83	393.69	2.14
		Average =	0.33	5781	395.18	393.79	1.39
		Std Dev =	1.16	6092	391.75	393.57	-1.82
		RMS =	1.17	6287	392.44	393.32	-0.88
				6467	393.67	392.89	0.78
				6639	395.07	392.84	2.23
				6815	394.00	393.11	0.90
						Average =	0.35
						Std Dev =	1.30
						RMS =	1.31

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724 **Figure captions**

725 **Figure 1.** Left: Schematic diagram of the CO<sub>2</sub> measurement package, where F1 and F2 represent the  
726 band-pass filters at wavelengths of 4.0  $\mu\text{m}$  and 4.3  $\mu\text{m}$ , respectively. The outlet port of the CO<sub>2</sub> sensor  
727 is opened to ambient air. Details of the system are described in the text. Right: Photograph of the inside  
728 of the CO<sub>2</sub> sonde package. The components were placed in a specially modeled expanded polystyrene  
729 box.

730 **Figure 2.** Photograph of the CO<sub>2</sub> sonde developed in this study before launching. a. CO<sub>2</sub>  
731 measurement package is shown in Fig. 1, b. GPS sonde, and c. Calibration gas package.

732 **Figure 3.** Raw data obtained by the CO<sub>2</sub> sonde launched on September 26, 2011 at Moriya, Japan. The  
733 vertical axis is the difference between the 4.0  $\mu\text{m}$  and 4.3  $\mu\text{m}$  signal intensities divided by the ambient  
734 pressure. The black line indicates the observation results during the balloon flight with calibration  
735 cycles. The red circle indicates the 30 s average values in each step of the calibration. Red curve  
736 indicates the cubic spline fitting curves for the observation points of the 30 s average values of the  
737 same standard gas. The small black dots on the cubic spline curves indicate the estimated values for  
738 the standard gases at the ambient gas measuring timing, which were used for the interpolation to  
739 determine the ambient air concentrations.

740 **Figure 4.**  $[I(4.0) - I(4.3)]/P$  values versus CO<sub>2</sub> mole fraction, where  $I(4.0)$  and  $I(4.3)$  are the  
741 signal intensities at the 4.0  $\mu\text{m}$  wavelength for background measurements and the 4.3  $\mu\text{m}$  wavelength  
742 for CO<sub>2</sub> absorption measurements, obtained by the NDIR CO<sub>2</sub> sensor, and  $P$  is the ambient  
743 atmospheric pressure. CO<sub>2</sub> mole fractions were measured with a standard NDIR instrument (LICOR,  
744 LI-840A) connected to the balloon sensor in series. The pressure while carrying out the  
745 measurements was constant at 1010 hPa.

746 **Figure 5.** Results of a chamber experiment of the CO<sub>2</sub> sonde. Pressure in the chamber was reduced  
747 from 1010 hPa (ground level pressure) to 250 hPa (about 10 km altitude pressure) at a temperature of  
748 about 298 K. The black circles indicate the value of the CO<sub>2</sub> mole fraction of the sample air in the

749 chamber, which was obtained from the interpolation of the standard gas values in each calibration  
750 cycle. Vertical error bars indicate the square-root of sum of squares for the standard deviations of  
751 the sample and standard gas signals at each step in the calibration cycle. The black dashed line shows  
752 an average of all the values obtained for the sample gas. See the text for more details.

753 **Figure 6.** Flight paths of the CO<sub>2</sub> sonde observations launched at Moriya on January 31st (blue solid  
754 line) and February 3rd (red solid line), 2011, the CONTRAIL 11\_060d data on January 31st, 2011  
755 (black solid line) and 11\_062d data on February 2nd, 2011 (black dashed line) from Hong Kong to  
756 Narita, and the NIES/JAXA chartered aircraft experiment on January 31st (green solid line) and  
757 February 3rd (purple dotted line). The altitudes of the flight paths are also indicated.

758 **Figure 7.** The CO<sub>2</sub> vertical profiles obtained by the CO<sub>2</sub> sonde (circles connected with blue lines),  
759 NIES/JAXA chartered aircraft data (dots connected with green lines), and the CONTRAIL data  
760 (diamonds connected with black lines) on January 31st, 2011.

761 **Figure 8.** The CO<sub>2</sub> vertical profiles obtained by the CO<sub>2</sub> sonde (circles connected with red lines),  
762 NIES/JAXA chartered aircraft data (dots connected with purple lines) on February 3rd, and  
763 CONTRAIL data (diamonds connected with black lines) on February 2nd, 2011.

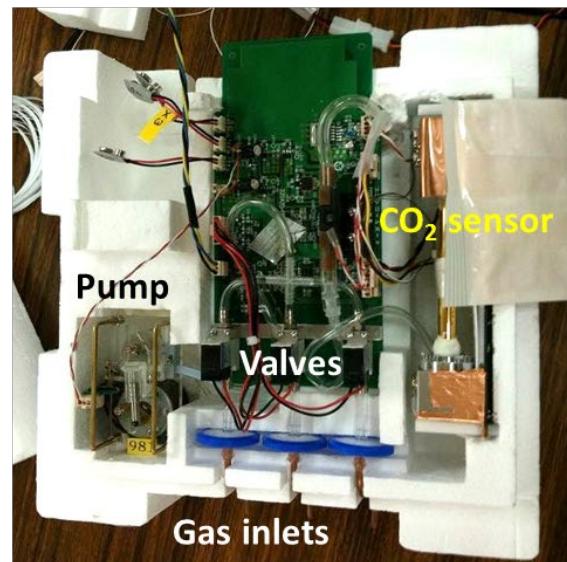
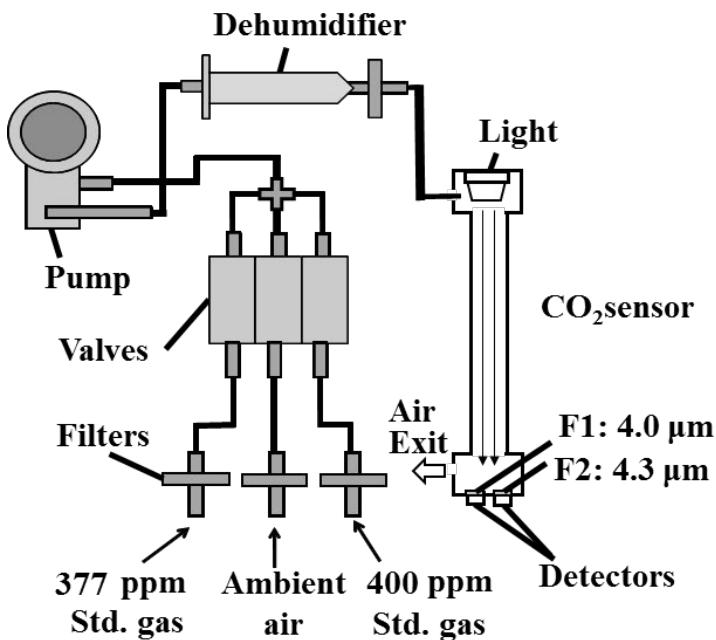
764 **Figure 9.** Profiles of (a) CO<sub>2</sub> mole fraction, (b) temperature (solid line) and potential temperature  
765 (dotted line), and (c) relative humidity observed over a forest area, Moshiri in Hokkaido, Japan by  
766 the balloon launched on August 26, 2009 at 13:30 (LST). The black circles with error bars in panel  
767 (a) represent the data obtained by the CO<sub>2</sub> sonde.

768 **Figure 10.** Profiles of (a) CO<sub>2</sub> mole fraction, (b) temperature (solid line) and potential temperature  
769 (dotted line), and (c) relative humidity observed over an urban area, Moriya near Tokyo on February  
770 3rd, 2011 at 13:10 (LST).

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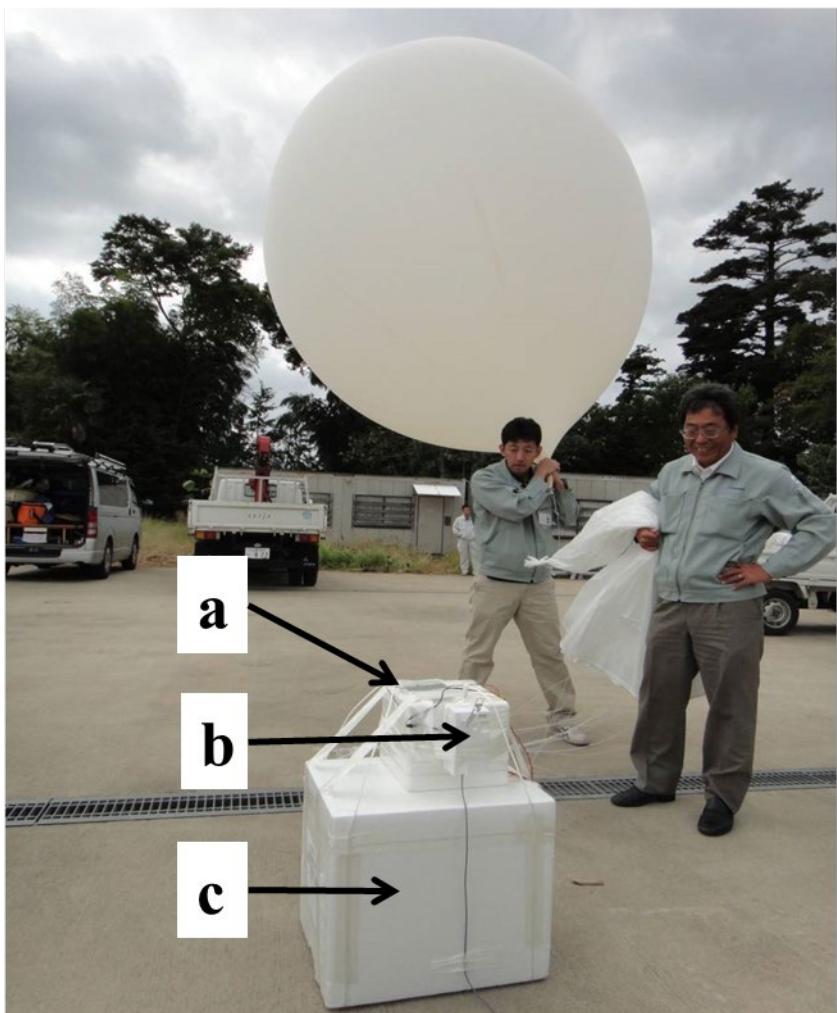


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775 **Figure 1.** Left: Schematic diagram of the CO<sub>2</sub> measurement package, where F1 and F2 represent the  
776 band-pass filters at wavelengths of 4.0 μm and 4.3 μm, respectively. The outlet port of the CO<sub>2</sub> sensor  
777 is opened to ambient air. Details of the system are described in the text. Right: Photograph of the inside  
778 of the CO<sub>2</sub> sonde package. The components were placed in a specially modeled expanded polystyrene  
779 box.

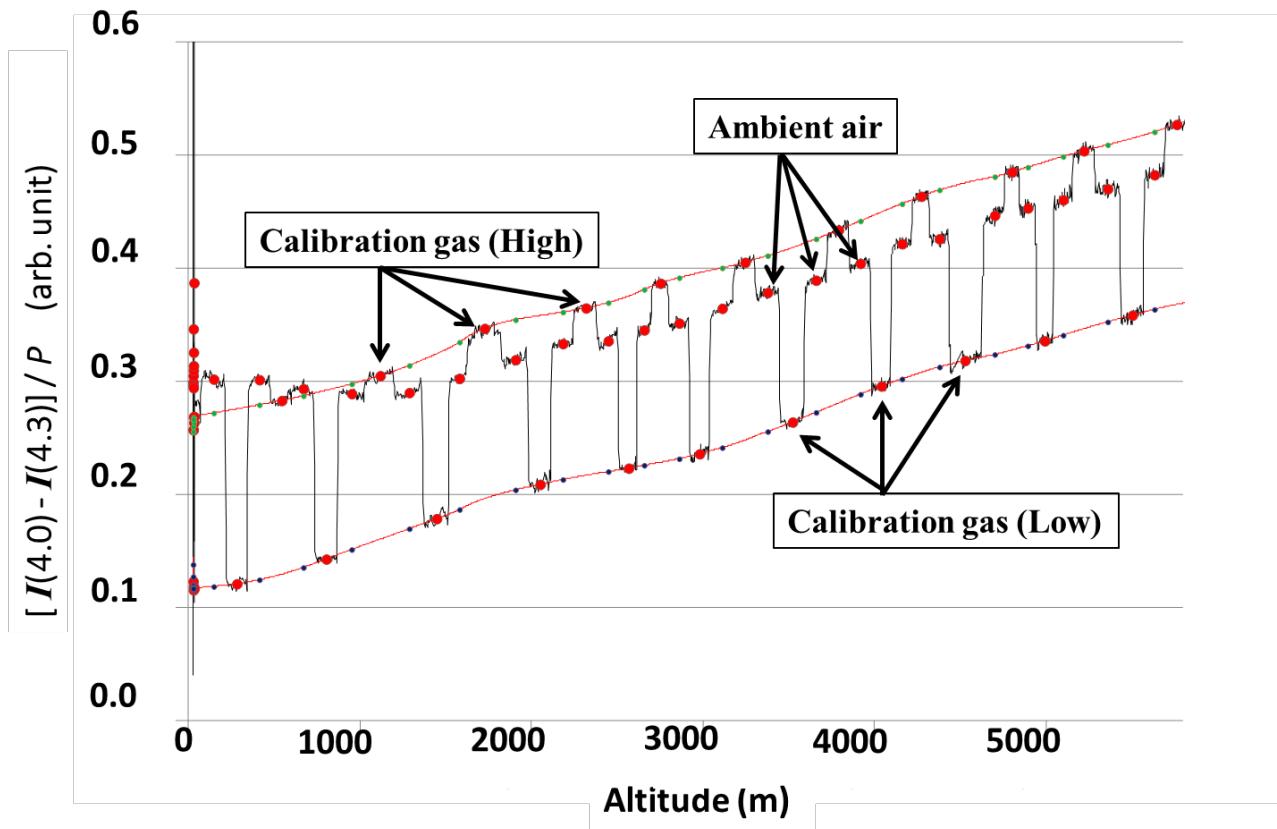
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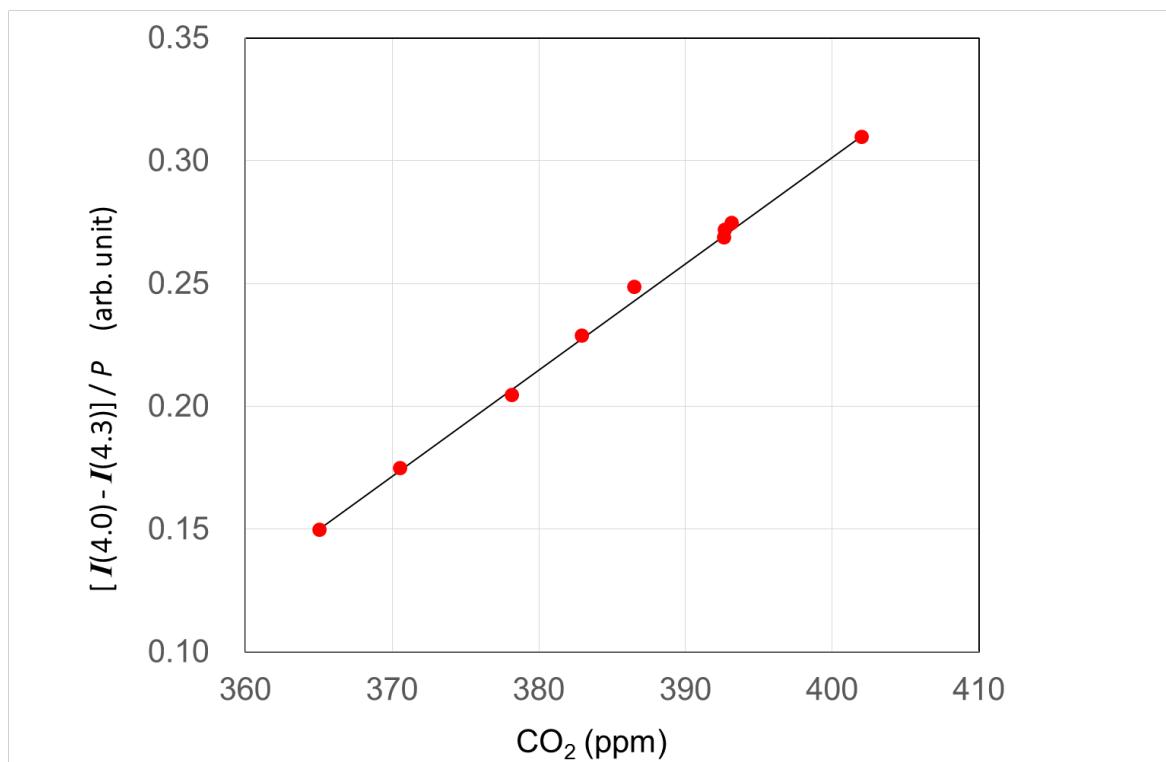
783 **Figure 2.** Photograph of the CO<sub>2</sub> sonde developed in this study before launching. a. CO<sub>2</sub>  
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785



786 **Figure 3.** Raw data obtained by the CO<sub>2</sub> sonde launched on September 26, 2011 at Moriya, Japan.  
 787 The vertical axis is the difference between the 4.0  $\mu\text{m}$  and 4.3  $\mu\text{m}$  signal intensities divided by the  
 788 ambient pressure. The black line indicates the observation results during the balloon flight with  
 789 calibration cycles. The red circle indicates the 30 s average values in each step of the calibration. Red  
 790 curve indicates the cubic spline fitting curves for the observation points of the 30 s average values of  
 791 the same standard gas. The small black dots on the cubic spline curves indicate the estimated values  
 792 for the standard gases at the ambient gas measuring timing, which were used for the interpolation  
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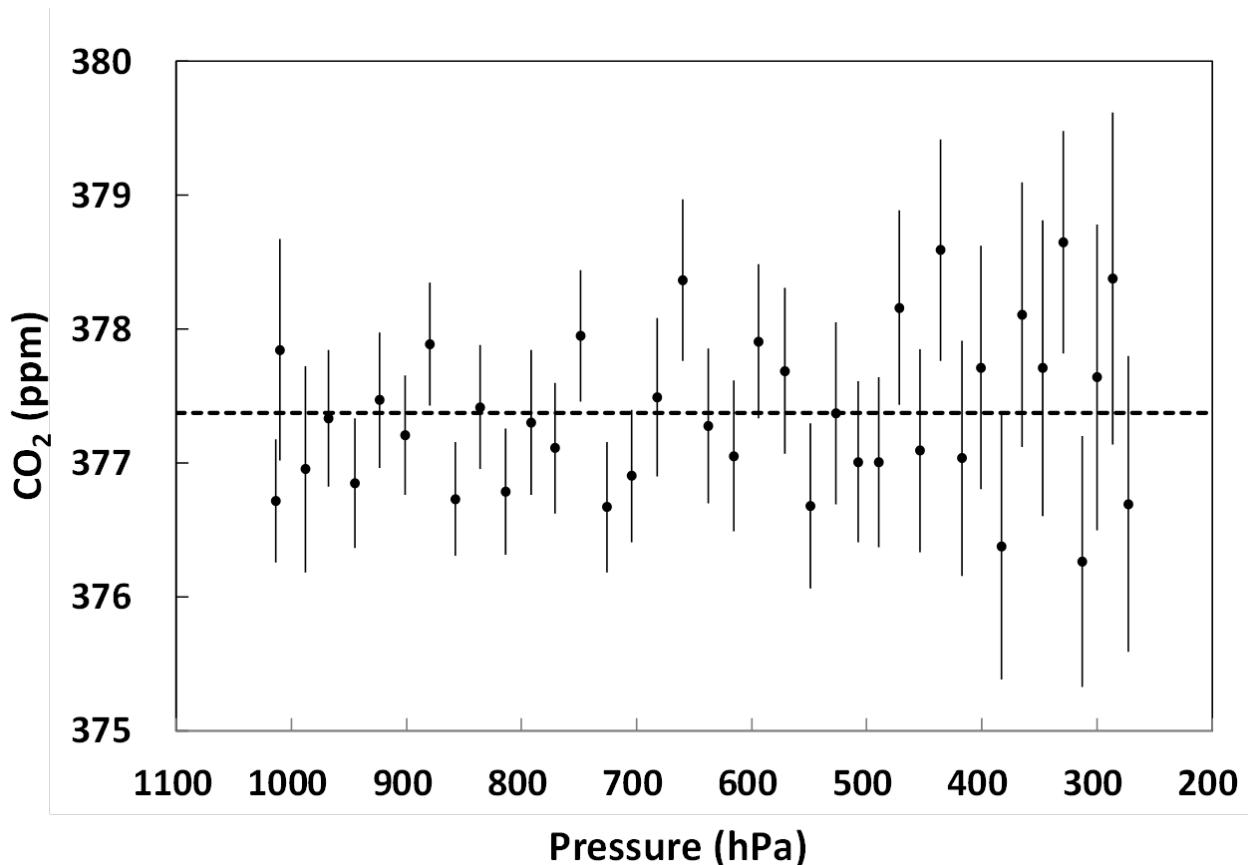


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798 **Figure 4.**  $[I(4.0) - I(4.3)]/P$  values versus CO<sub>2</sub> mole fraction, where  $I(4.0)$  and  $I(4.3)$  are the  
 799 signal intensities at the 4.0  $\mu\text{m}$  wavelength for background measurements and the 4.3  $\mu\text{m}$  wavelength  
 800 for CO<sub>2</sub> absorption measurements, obtained by the NDIR CO<sub>2</sub> sensor, and  $P$  is the ambient  
 801 atmospheric pressure. CO<sub>2</sub> mole fractions were measured with a standard NDIR instrument (LICOR,  
 802 LI-840A) connected to the balloon sensor in series. The pressure while carrying out the  
 803 measurements was constant at 1010 hPa.

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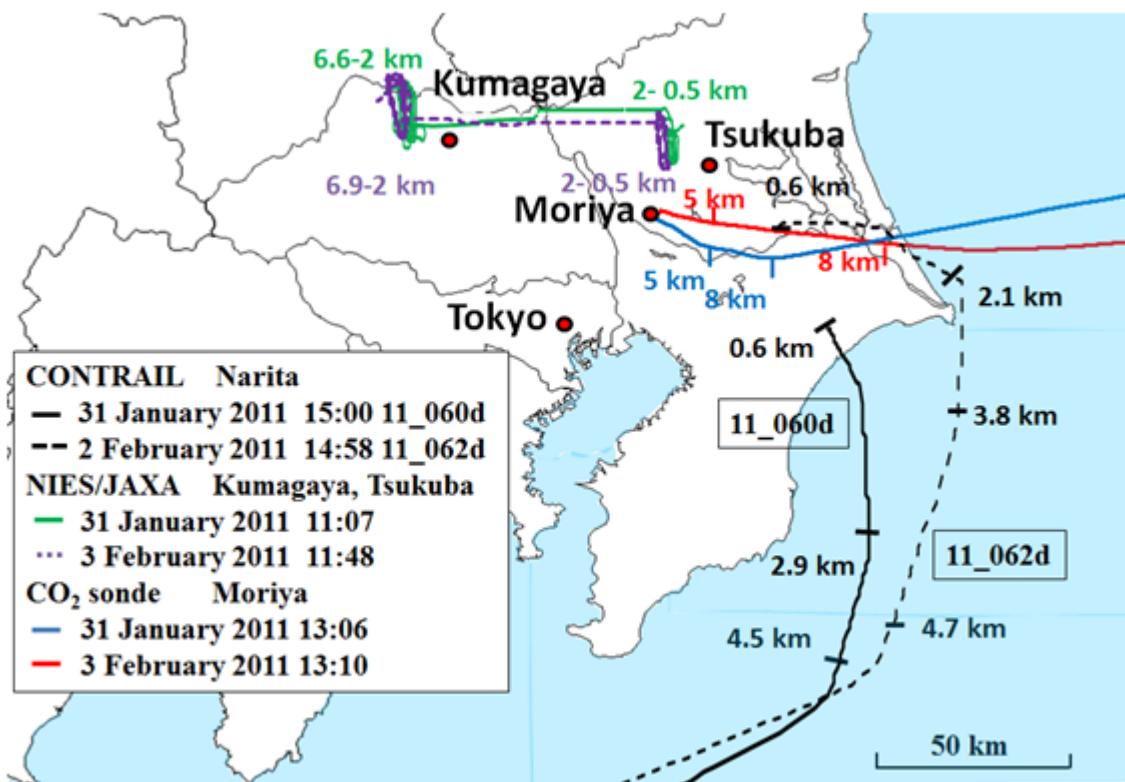
808 **Figure 5.** Results of a chamber experiment of the CO<sub>2</sub> sonde. Pressure in the chamber was reduced  
 809 from 1010 hPa (ground level pressure) to 250 hPa (about 10 km altitude pressure) at a temperature of  
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 811 chamber, which was obtained from the interpolation of the standard gas values in each calibration  
 812 cycle. Vertical error bars indicate the square-root of sum of squares for the standard deviations of  
 813 the sample and standard gas signals at each step in the calibration cycle. The black dashed line shows  
 814 an average of all the values obtained for the sample gas. See the text for more details.

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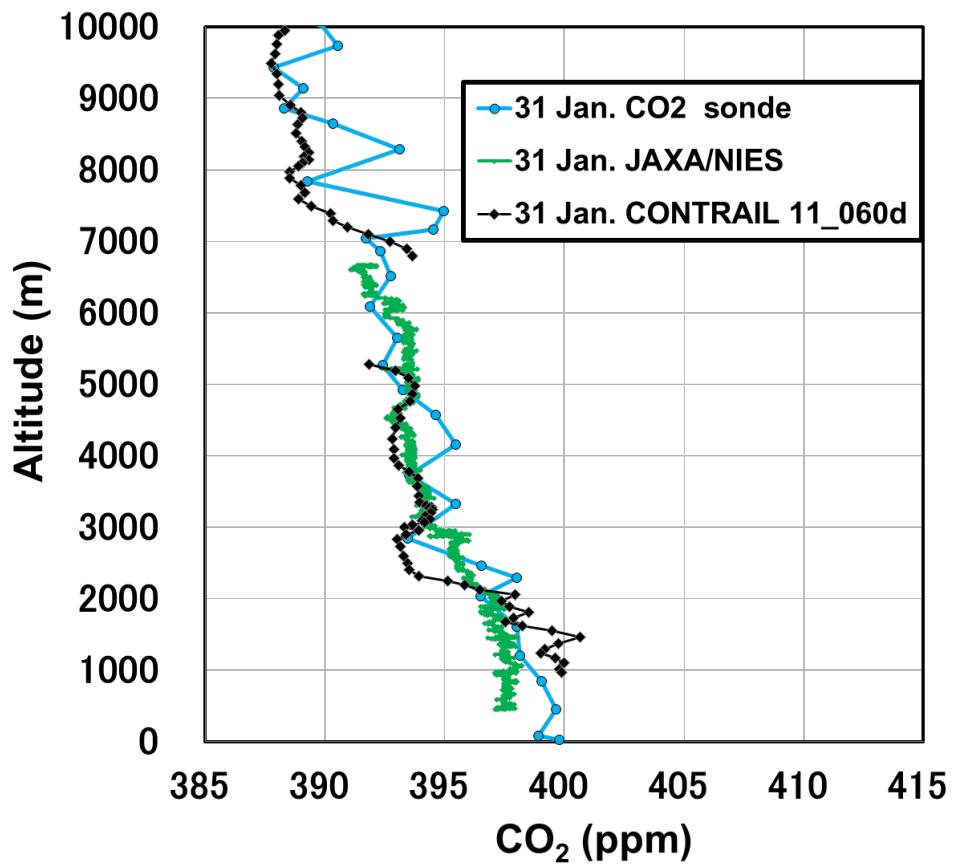
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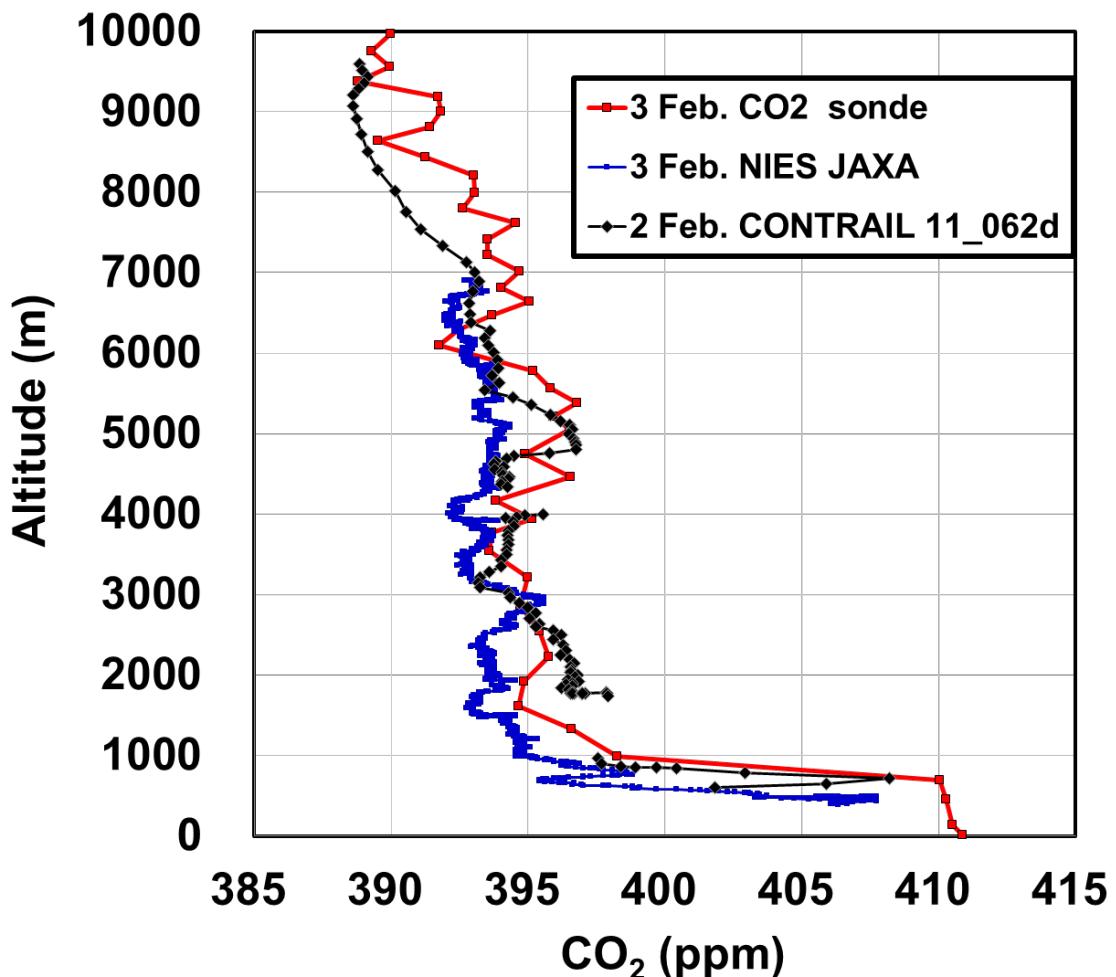
821 **Figure 6.** Flight paths of the CO<sub>2</sub> sonde observations launched at Moriya on January 31st (blue solid  
822 line) and February 3rd (red solid line), 2011, the CONTRAIL 11\_060d data on January 31st, 2011  
823 (black solid line) and 11\_062d data on February 2nd, 2011 (black dashed line) from Hong Kong to  
824 Narita, and the NIES/JAXA chartered aircraft experiment on January 31st (green solid line) and  
825 February 3rd (purple dotted line). The altitudes of the flight paths are also indicated.  
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828 **Figure 7.** The CO<sub>2</sub> vertical profiles obtained by the CO<sub>2</sub> sonde (circles connected with blue lines),  
 829 NIES/JAXA chartered aircraft data (dots connected with green lines), and the CONTRAIL data  
 830 (diamonds connected with black lines) on January 31st, 2011.

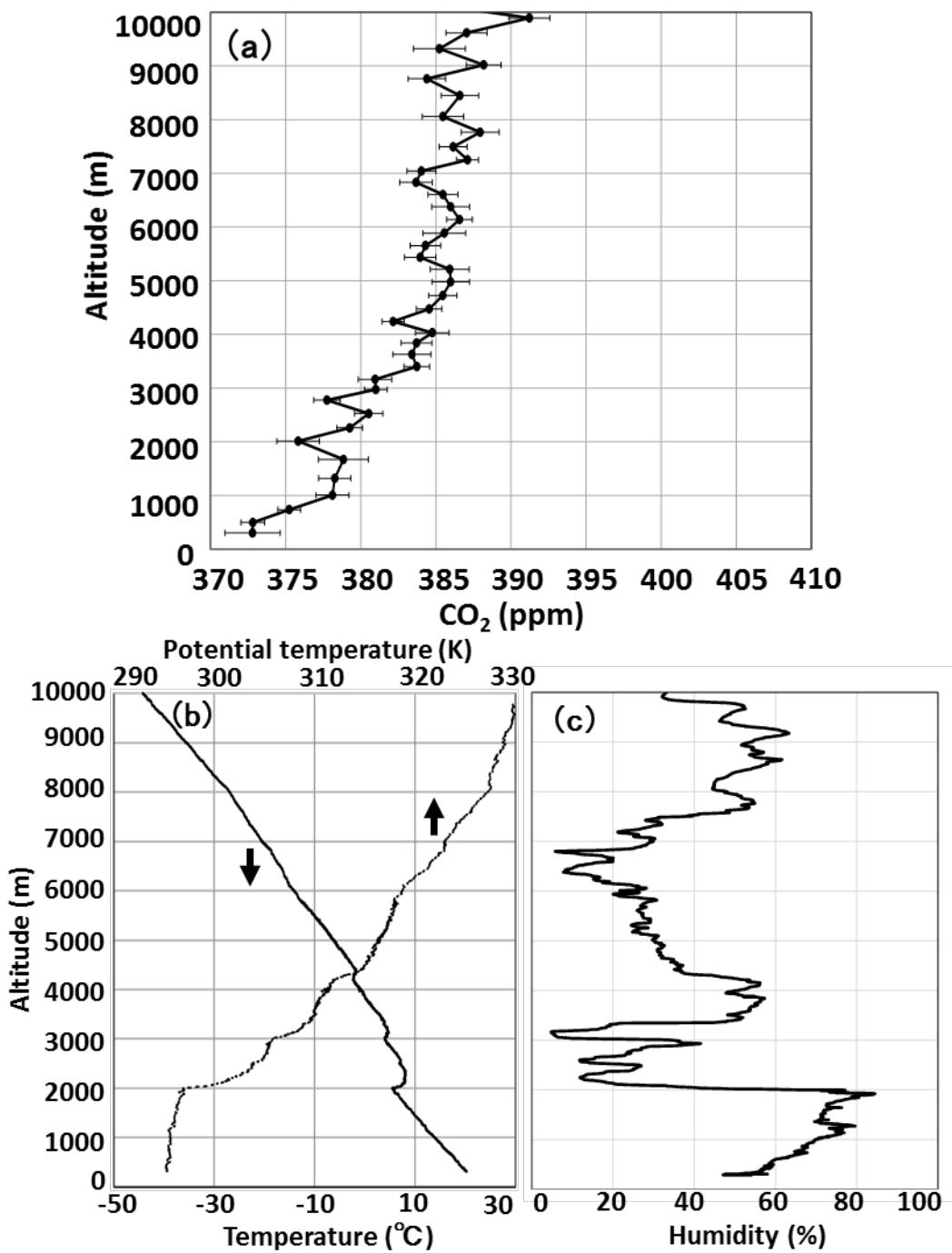
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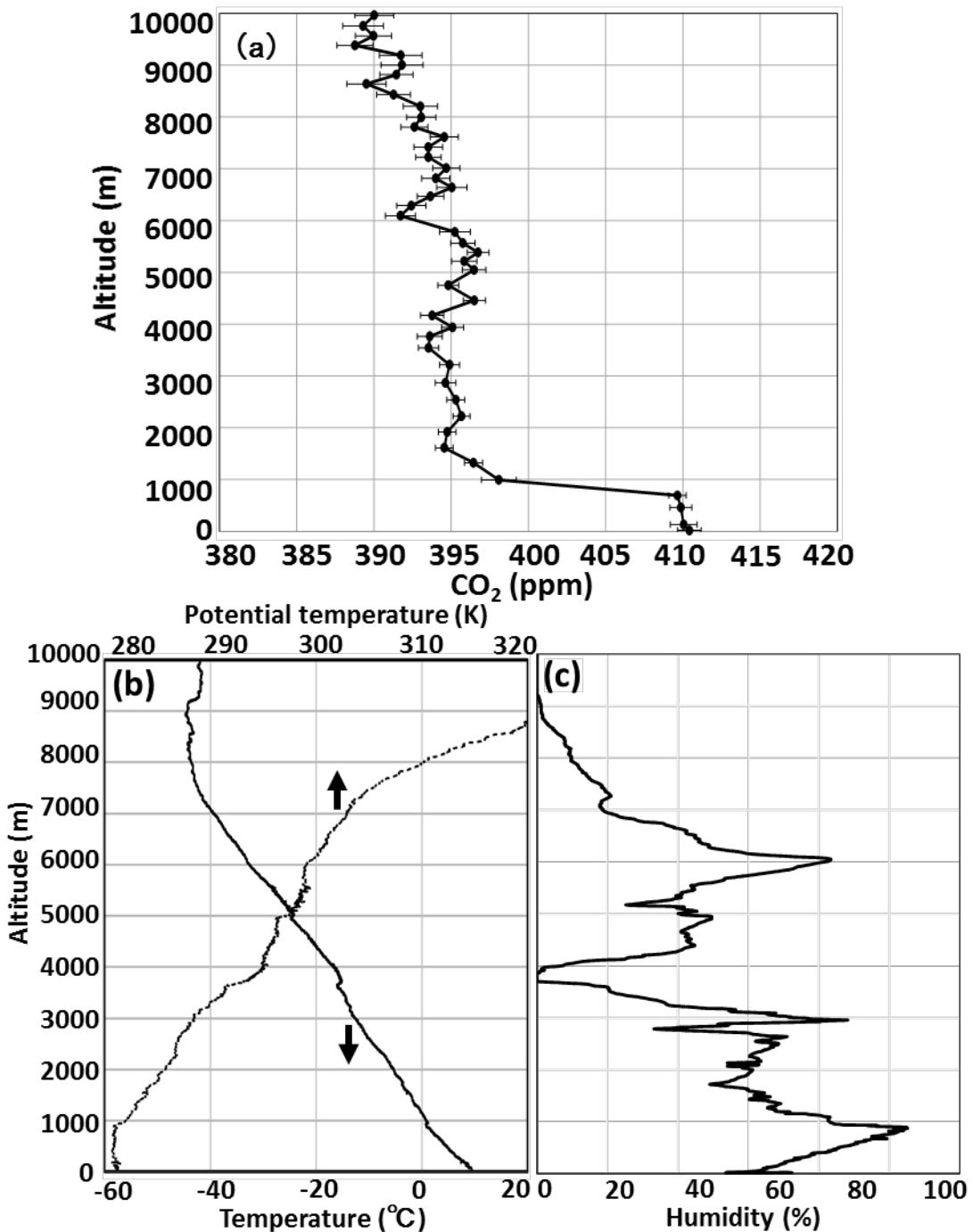
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834 **Figure 8.** The CO<sub>2</sub> vertical profiles obtained by the CO<sub>2</sub> sonde (circles connected with red lines),  
 835 NIES/JAXA chartered aircraft data (dots connected with purple lines) on February 3rd, and  
 836 CONTRAIL data (diamonds connected with black lines) on February 2nd, 2011.



839 **Figure 9.** Profiles of (a) CO<sub>2</sub> mole fraction, (b) temperature (solid line) and potential temperature  
 840 (dotted line), and (c) relative humidity observed over a forest area, Moshiri in Hokkaido, Japan by  
 841 the balloon launched on August 26, 2009 at 13:30 (LST). The black circles with error bars in panel  
 842 (a) represent the data obtained by the CO<sub>2</sub> sonde.



844 **Figure 10.** Profiles of (a) CO<sub>2</sub> mole fraction, (b) temperature (solid line) and potential temperature  
 845 (dotted line), and (c) relative humidity observed over an urban area, Moriya near Tokyo on February  
 846 3rd, 2011 at 13:10 (LST).

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