

20 **Abstract**

21 The Atmospheric Infrared Sounder (AIRS) instrument onboard the NASA Aqua satellite is used
22 to observe aurora associated with the CO₂ 4.26 μm emission. These observations are due to non-
23 local thermodynamic equilibrium (NLTE) resulting from the vibrational excitation of CO₂,
24 which arises in the process of auroral energetic particle precipitation, as opposed to the dayside
25 NLTE occurring due to solar radiation. The observations are confirmed to be associated with
26 aurora using the Sounding of the Atmosphere using Broadband Emission Radiometry (SABER)
27 limb measurements and the SuperMAG Electrojet (SME) index. The high spectral resolution and
28 low noise associated with the AIRS instrument allows for the emission spectrum to be calculated
29 and confirmed to arise from CO₂. Our new NLTE index values derived from AIRS provide the
30 ability to globally measure auroral events associated with CO₂ with a spatial resolution on the
31 order of ~13.5 km.

32 **Plain Language Summary**

33 The aurora are caused by energetic particle precipitation into Earth's atmosphere due to energy
34 buildup and release in Earth's magnetic field from interaction with the solar wind. These
35 energetic particles smash into Earth's atmosphere with high energy, and react with atoms and
36 molecules in the atmosphere. There are many types of emissions of light that are associated with
37 Earth's aurora. One of these emissions is the infrared emission centered near 4.26 μm associated
38 with excited CO₂ molecules. When CO₂ is vibrationally excited through an exchange of energy
39 with an N₂ molecule excited by auroral particles, the CO₂ molecule eventually relaxes from this
40 state and releases a photon near 4.26 μm. This research presents a satellite observation from
41 NASA's AIRS instrument allowing for the CO₂ auroral emission to be viewed and mapped from
42 space.

43 **1 Introduction**

44 The Atmospheric Infrared Sounder (AIRS) instrument onboard the NASA Aqua satellite was
45 launched in 2002 and has been used to study the temperature in the stratosphere using CO₂
46 emissions at 4.26 μm and 15 μm [Hoffmann and Alexander, 2009]. While both of these
47 emissions can be used to study temperatures during thermodynamic equilibrium, the 4.26 μm
48 emission specifically is more sensitive non-local thermodynamic equilibrium (NLTE) during the
49 daytime [DeSouza-Machado et al., 2007]. For a nadir sounder such as AIRS, the 4.3 μm NLTE
50 effect can be measured, while the 15 μm NLTE effect is too small to be observed. Additionally,
51 the 4.26 μm emission itself is susceptible to enhancements due to energetic particle precipitation
52 during geomagnetic disturbances. This emission enhancement is known for both NO⁺ [Mertens
53 et al., 2008a; Mertens et al., 2008b; O'Neil et al., 2007] and CO₂ [Winick et al., 1987; Kumer,
54 1977; Sharma et al., 2015; Kalogerakis et al., 2016]. The CO₂ auroral excitation results in NLTE,
55 and has previously been discussed with regards to the Cross-track Infrared Sounder (CrIS) NLTE
56 observations in comparison to modeled NLTE radiances, which do not capture the full
57 contribution to NLTE due to aurora [Li et al., 2020], as models have assumed NLTE conditions
58 that occur during the daytime. Additionally, broadband IR measurements from VIIRS have also
59 detected auroral emissions [Seaman and Miller, 2013], and the range of observed infrared
60 wavelengths includes the NO⁺ and CO₂ emissions.

61

62 Energetic particle precipitation changes the thermal energy balance in the mesosphere,
63 thermosphere, and ionosphere. It results in significant chemical reactions, making energetic
64 particle precipitation of interest for understanding both the chemistry and thermodynamics in this
65 region of the atmosphere. Satellite and ground-based imaging of specific emission lines
66 associated with aurora have been used to calculate auroral input energy to energetic particle
67 precipitation [Gabrielse et al., 2021; Li et al., 2022; Hecht et al., 1989; Hecht et al., 2006;
68 Strickland et al., 1989; Sotirelis et al., 2013]. Energetic particle precipitation from aurora and
69 solar activity has also been associated with increased NO_x [Randall et al., 2007; Lopez-Puertas
70 et al., 2005]. The necessity of understanding the full spectrum of energetic electrons for
71 adequately characterizing the chemistry in the middle atmosphere has also previously been
72 discussed [Randall et al., 2015]. Additionally, understanding energetic input due to aurora and
73 particle precipitation is important for linking to atmospheric dynamics such as the generation of
74 traveling ionospheric disturbances due to joule heating [Sheng et al., 2020].
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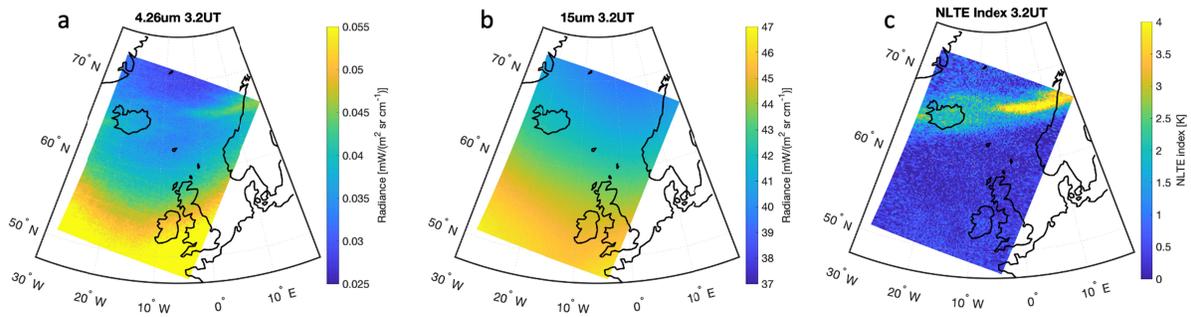
76 Observations presented here demonstrate an AIRS 4.26 μm emission associated with auroral
77 precipitation. The observations are compared with SABER observations and the SME. These
78 AIRS measurements provide a unique means of observing auroral emissions at 4.26 μm spatially
79 with a nadir viewing instrument. The emission spectra from the nadir measurements in this
80 spectral range were found to be largely due to CO₂. To isolate emissions due to 4.26 μm , a new
81 NLTE index, discussed in the following sections, is calculated. The results provide a map of CO₂
82 emissions during nighttime conditions due to energetic particle precipitation from aurora.

83 **2 Data and Methods**

84 *2.1 The AIRS instrument and a measurement derived NLTE index*

85 In this study, we initially identified the presence of NLTE effects in the AIRS observations by
86 visual inspection of radiance measurements covering the 4.26 and 15 μm carbon dioxide (CO₂)
87 fundamental bands. As an example, Fig. 1 shows spectral mean radiances of granule 32 of AIRS
88 measurements on 14 October 2016, measured from 3:12-3:18 UTC using a set of 75 channels
89 from 2310 cm^{-1} to 2380 cm^{-1} covering the 4.26 μm waveband and a set of 120 channels from
90 650 cm^{-1} to 680 cm^{-1} covering the 15 μm waveband. Here, the radiance measurements of the two
91 channel set have been averaged to reduce the measurement noise and to make some weaker
92 NLTE features visible. A visual inspection of the AIRS nighttime measurements shows locally
93 increased radiances due to NLTE in the 4.26 μm waveband (Fig. 1a), which are absent in the 15
94 μm waveband (Fig. 1b). The increased 4.26 μm radiances are found in a belt extending from
95 Iceland to Scandinavia from 65 to 70°N. The belt of increased radiances is co-located with the
96 Aurora Borealis and attributed to excitation of the CO₂ molecules to NLTE conditions, which
97 will be shown and further discussed in following sections.
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99



100
 101 Figure 1: An example AIRS granule is used at ~ 3.2 UT on 14 October 2016 to demonstrate
 102 average spectral radiances associated with aurora. Plot a shows spectral radiances averaged over
 103 75 channels from 2310 cm^{-1} to 2380 cm^{-1} covering the $4.26\text{ }\mu\text{m}$ emission. Plot b shows spectral
 104 radiances averaged over 120 channels from 650 cm^{-1} to 680 cm^{-1} covering the $15\text{ }\mu\text{m}$ waveband.
 105 Plot c shows the calculated NLTE index.

106
 107 In order to quantify the strength of the NLTE signals in the AIRS measurements, we defined a
 108 NLTE index (NI) using the 4.26 and 15 micron radiance measurements. Such an NI can be
 109 defined in various ways. In principle, it could be defined as simple as taking a brightness
 110 temperature difference of the 4.26 and $15\text{ }\mu\text{m}$ radiance measurements of each satellite footprint.
 111 However, we found this approach did not work well because the 4.26 and $15\text{ }\mu\text{m}$ AIRS channel
 112 sets considered here have different spectral mean vertical coverage and sensitivity due to the
 113 different temperature weighting functions, which would map into the calculation of the NI. Next
 114 to spectral differencing for defining the NI, another option would be spatial differencing of
 115 radiance measurements using separate footprints located inside or outside regions being affected
 116 by NLTE. However, spatial differencing requires various choices and parameter tests of the
 117 method, e. g., with respect to proper smoothing and removal of the background-state. For these
 118 reasons, we developed a more sophisticated approach to define and calculate an NI from the
 119 AIRS measurements.

120
 121 We calculate the NI from the AIRS measurements in a two-step procedure. In the first step, we
 122 conduct a full non-linear stratospheric temperature retrieval using the AIRS measurements in the
 123 $15\text{ }\mu\text{m}$ waveband. The retrieval scheme applied here is essentially the same as the retrieval
 124 scheme described by Hoffmann and Alexander (2009). The retrieval provides stratospheric
 125 temperatures in the height range of about 20 to 55 km with a vertical resolution of 7 to 11 km
 126 and retrieval noise of about 1.5 to 2 K in the same range. While the retrieval applies a radiative
 127 transfer model that is not capable of simulating NLTE effects, the retrieved temperature profile
 128 $\hat{T}_{\text{LTE}}(z, 15\mu\text{m})$ is not affected by this, because the $15\text{ }\mu\text{m}$ channels applied in the scheme are not
 129 affected by NLTE [de Souza-Machado et al., 2006]. In the second step, we apply the radiative
 130 transfer model and the temperature profile retrieved from the $15\text{ }\mu\text{m}$ radiance measurements to
 131 simulate the $4.26\text{ }\mu\text{m}$ radiance measurements AIRS would make under LTE conditions. Finally,
 132 the NI is calculated as the difference between the real AIRS spectral mean brightness
 133 temperature measurements including the NLTE effects and the simulated brightness temperature
 134 measurements assuming LTE conditions,

135

$$NI = \overline{BT}_{meas}(4.26\mu m, T_{non-LTE}(z)) - \overline{BT}_{sim}(4.26\mu m, \hat{T}_{LTE}(z, 15\mu m)) \quad (1)$$

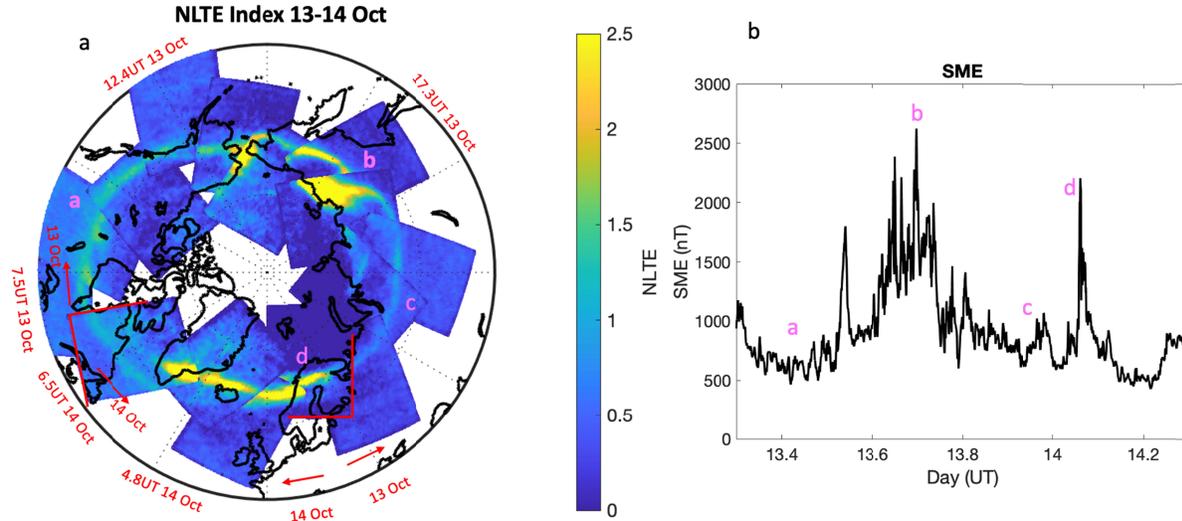
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139 As an example, Fig. 1c shows the NI calculated from the AIRS measurements for the case study
140 discussed earlier. As NLTE conditions yield increased molecular excitation and increased
141 radiance emitted by the CO₂ molecules, the NI increases in the presence of NLTE conditions.
142 From the example shown here, the maximum NI is about 4K whereas the measurement noise is
143 about 0.5 K. We note that while the NI is usually well-defined, in the case of extreme
144 temperature fluctuations, e.g., due to the presence of large-amplitude mountain waves, the index
145 may misdetect these fluctuations as NLTE signals. This issue arises from remaining, small
146 differences in terms of vertical coverage and sensitivity of the AIRS 4.26 and 15 μm channels
147 selected for this analysis. However, based on the inspection of a larger number of cases of AIRS
148 NLTE observations, we conclude that this issue is generally not severe, but should be kept in
149 mind when analysing individual cases. Such cases can be identified using gravity wave detection
150 methods for AIRS observations as described by Hoffmann et al. (2013, 2014).

151

152 *2.2 Comparison of AIRS NLTE index and SME data*

153 The NLTE index was calculated over the northern polar region for a time period of increased
154 auroral activity. The time period extends from 7.5UT on 13 October 2016 to 6.5 UT on 14
155 October 2016 and uses 15 granules. The resulting NLTE index signals in Fig. 2a clearly show the
156 shape of the aurora. AIRS nightside granules were used (solar zenith angles were between 100-
157 130 degrees for data shown), and these times approximately spanned just before magnetic
158 midnight to a few hours before magnetic midnight, which generally overlaps times of expected
159 auroral activity on the night side (Laundal and Richmond, 2016). While not shown here, similar
160 emissions can be observed in the southern hemisphere during nighttime conditions. The
161 SuperMAG Electrojet (SME) index [Newell and Gjerloev, 2011a, 2011b; Gjerloev, 2012] is
162 associated with global auroral power. The SME uses over 100 magnetometer sites as opposed to
163 the 12 used in the auroral electrojet (AE) index calculation, and has previously demonstrated a
164 strong correlation with total nightside auroral power. The SME is used here to demonstrate times
165 of increased auroral activity. The SME is plotted during an overlapped time range in Fig. 2b. As
166 can be observed from the plots in Fig 2, the times of stronger NLTE index signals correspond to
167 times of stronger SME index. This comparison provides a means of demonstrating the auroral
168 influence on AIRS NLTE index calculations. Fig 2a also shows how this data product can be
169 used to give a global snapshot of hemispheric auroral activity over a 24 hour period.



170
 171 Figure 2: Plot a shows the AIRS NLTE Index calculated for 15 granules over a 24 hour period of
 172 increased auroral activity. Plot b shows the SME index for the same time period demonstrating
 173 that times of increased SME correspond to increased NLTE Index.

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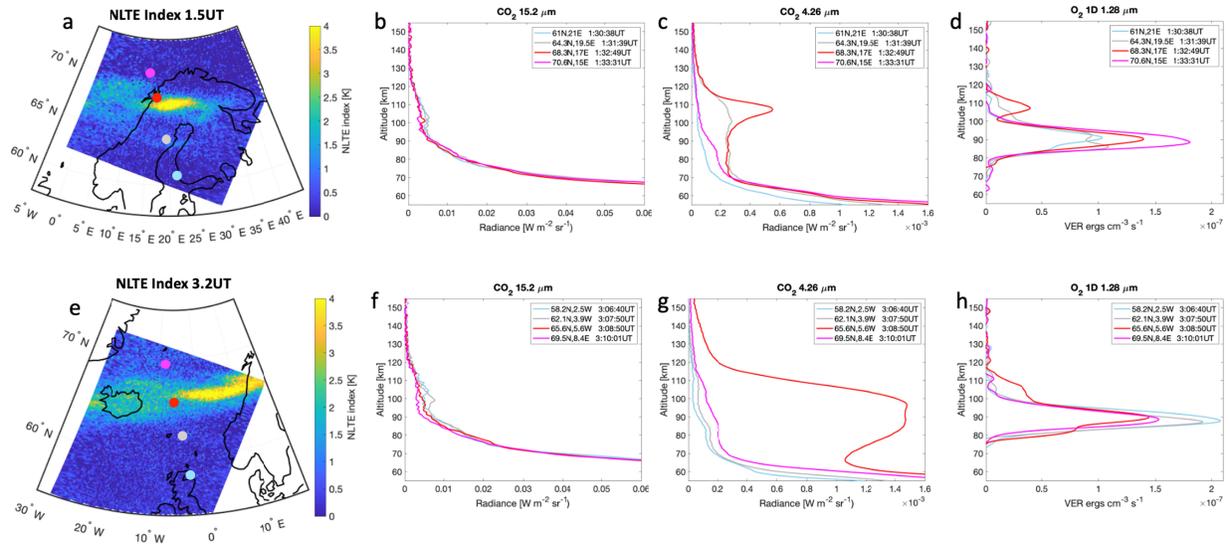
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176 2.3 Comparison with SABER coincident measurements

177 The AIRS NLTE index observations were further compared to coincident SABER measurements
 178 to verify the presence of auroral emissions. Fig. 3a shows an AIRS granule 15 (1:30-1:36UT)
 179 with calculated NLTE index values on 14 October 2016. Figs 3b-d show coincident SABER
 180 spectrally integrated radiance measurements of CO₂ 15.2 μm, CO₂ 4.26 μm, and O₂ 1.28 μm
 181 VER during this time. Fig. 3e shows AIRS granule 32 (3:12-3:18UT) and corresponding NLTE
 182 index signals on 14 October 2016. Corresponding SABER measurements are shown in Figs. 3f-
 183 h. In both cases, SABER demonstrates there is no enhancement in 15.2 μm overlapping the
 184 regions closest to the largest AIRS NLTE index calculation. SABER has previously been used to
 185 demonstrate an auroral enhancement in the 4.26 μm channel due to CO₂ [Winick et al., 2004],
 186 and at higher altitudes due to NO⁺ [Mertens et al., 2008a; Mertens et al., 2008b]. Enhancements
 187 in the SABER 4.26 μm channel are observed for these AIRS overlap examples, especially for the
 188 limb views that most closely overlap the aurora (red dots in Figs. a and e, and red lines in Figs. c
 189 and g). SABER has also been used to study auroral emissions associated with O₂ airglow at
 190 1.28 μm [Gao et al., 2020]. For these cases, enhancements are observed in the 1.28 μm channel
 191 from ~100-120km. It is noted here that SABER measurements are limb measurements, so have
 192 more sensitivity to emissions at higher altitudes associated with NO⁺ [Mertens et al, 2008b], that
 193 would otherwise be weak compared to emissions from CO₂ viewed from the nadir, as is the case
 194 with the AIRS measurements. Also, SABER does not have the spectral resolution to differentiate
 195 those 4.26 μm emissions that occur from CO₂ versus NO⁺. SABER measurements are shown
 196 here to validate that the increased AIRS NLTE index signals overlap regions of auroral

197 emissions. These measurements confirm the presence of aurora and increased $4.26\ \mu\text{m}$ emission
 198 in SABER where AIRS measurements show increased NLTE index calculations.

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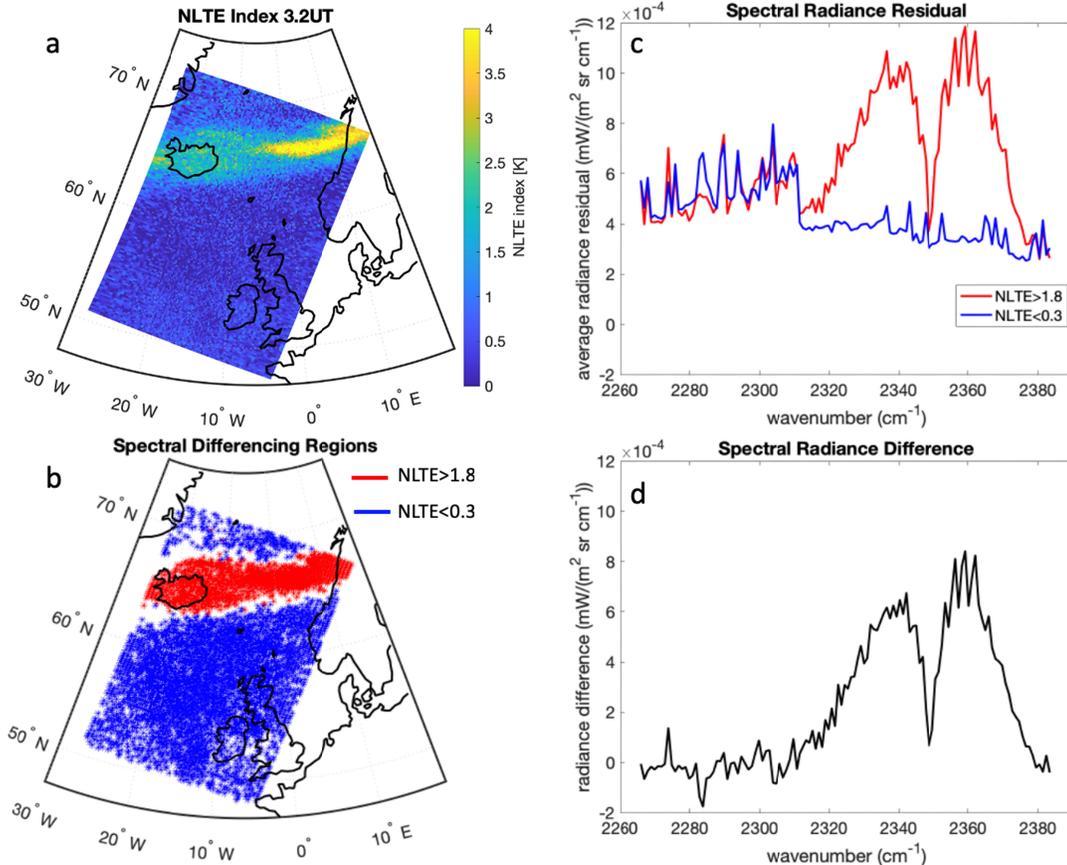
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201 Figure 3: Plot a shows the AIRS NLTE index on 14 October 2016 at 1.5UT. Plots b-d show
 202 corresponding SABER plots closely overlapping the AIRS observation in both time and spatial
 203 extent. Plots e-h show the same for observations at 3.2UT. The dots in plot a and e show the
 204 SABER location of the measurement, and the colors correspond to those used in plots b-d and
 205 f-h.

206 3 Discussion: The CO_2 auroral emission

207 The AIRS instrument can detect emissions in the range of the CO_2 $4.26\ \mu\text{m}$ ($2347\ \text{cm}^{-1}$)
 208 waveband with a spectral resolution of $\sim 1\ \text{cm}^{-1}$. Given this precision, the emissions outside of the
 209 region of NLTE index enhancement due to aurora can be subtracted from the region of enhanced
 210 NLTE emission to retrieve a spectral differencing at each wavenumber measured by AIRS,
 211 resulting in an emission spectrum associated with auroral emissions. Fig. 4 shows an example of
 212 this process. Figure 4a shows the NLTE index granule to be used, in this case the event on 14
 213 October at 3.2UT. Figure 4b shows the regions of low NI with values < 0.3 in blue, and regions
 214 of high NLTE index with values > 1.8 in red. In order to remove background emission signal and
 215 be left with perturbations solely due to the auroral emission, a fourth order polynomial was fit
 216 along each zonal direction of the granule for each emission channel, and the resulting fit was
 217 subtracted. It is noted that this was applied to a granule with no small-scale temperature
 218 fluctuations (e.g. gravity waves) that would cause significant variations in CO_2 emission
 219 intensity over the area of the granule. Since this subtraction results in the auroral region itself
 220 appearing as a perturbation, the absolute value of the residual signal was used for each channel to
 221 compare regions of high and low NI. The average of the absolute value residual radiances in the
 222 low NLTE index region is subtracted from the average of the absolute value residual radiances in
 223 the high NLTE index region for each observed frequency from $2266\ \text{cm}^{-1}$ to $2383\ \text{cm}^{-1}$. Due to
 224 degradation, some channels were removed based on quality indicators within the Level-1B data

225 files. Channels 1985, 2053, and 2075, or 2295.7 cm^{-1} , 2334.7 cm^{-1} , and 2355.4 cm^{-1} were
 226 removed. A total of 118 frequency channels were used in the differencing. The mean of the
 227 residual spectral radiance values for NLTE index > 1.8 and NLTE index < 0.3 are shown in Fig
 228 3c. The resulting mean difference for each channel is shown in Fig. 4d.



229

230 Figure 4: Plot a shows the NLTE index values at 3.2 UT on 14 October 2016. Plot b shows the
 231 masked NLTE index value regions with values < 0.3 in blue, and regions of high NLTE index
 232 with values > 1.8 in red. Plot c shows the average residual spectral radiance values for the high
 233 and low NI regions. Plot d shows the spectral radiance difference between the high NI and low
 234 NI regions.

235 From the data presented in Fig. 4d, the emission is centered at 2347 cm^{-1} , and is no longer
 236 observed at wavenumbers less than 2300 cm^{-1} , which would be expected for the CO₂ associated
 237 auroral emission. The spectral shape closely matches the spectral shape (P,R branch) of the 4.26
 238 micron CO₂ waveband. This indicates that the AIRS observations are largely from the CO₂
 239 4.26 μm emission associated with the aurora. Although NO⁺ auroral emissions are also expected,
 240 they would occur with a much weaker emission and are likely below the noise threshold of
 241 detection of AIRS. The CO₂ auroral emission has previously been discussed [Kumer, 1977;
 242 Winick et al., 2004; Kalogerakis et al., 2016; Sharma et al., 2015] and occurs due to vibrational
 243 excitation of CO₂ due to a collision with a vibrationally excited N₂ molecule, and subsequent
 244 relaxation with emission near 4.26 μm. While the study discussed here specifically focuses on

245 aurora observed during nighttime conditions during strong geomagnetic activity, it is noted that
246 this result would also be expected to occur during any energetic particle precipitation or process
247 that causes a vibrationally excited state of N₂. This includes aurora occurring on the dayside,
248 which has not been investigated with the technique presented here.

249 **4 Summary**

250 We have demonstrated that hyperspectral nadir infrared sounders such as AIRS can observe the
251 CO₂ emissions associated with aurora during nighttime conditions. The AIRS instrument has the
252 spectral resolution to demonstrate that these emissions arise from the CO₂ emission centered at
253 4.26 μm. The observations are confirmed to overlap aurora through the use of near-coincident
254 SABER measurements and the SME index data. These are the first nadir satellite observations of
255 confirmed CO₂ auroral emission. The method presented here highlights a new dataset using the
256 derived non-local thermodynamic equilibrium index, which can be used for the study of aurora
257 and associated CO₂ excitation. This method uses AIRS granules, allowing for a spatial view of
258 the auroral emission, and also providing a map view spanning the auroral oval.

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261 from the NASA Heliophysics TIMED Project that supports the SABER Instrument Team. We
262 gratefully acknowledge the SuperMAG collaborators for the use of the SME index.

264 **Open Research**

265 All datasets used in this work are publicly available.
266 AIRS calculated NLTE values (Hoffmann et al., 2023) are available at: [https://datapub.fz-
267 juelich.de/slcs/airs/nlte/](https://datapub.fz-juelich.de/slcs/airs/nlte/)
268 SABER data are available at: <https://saber.gats-inc.com/data.php>
269 SME data are available at: <https://supermag.jhuapl.edu/indices>

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Figure 1.

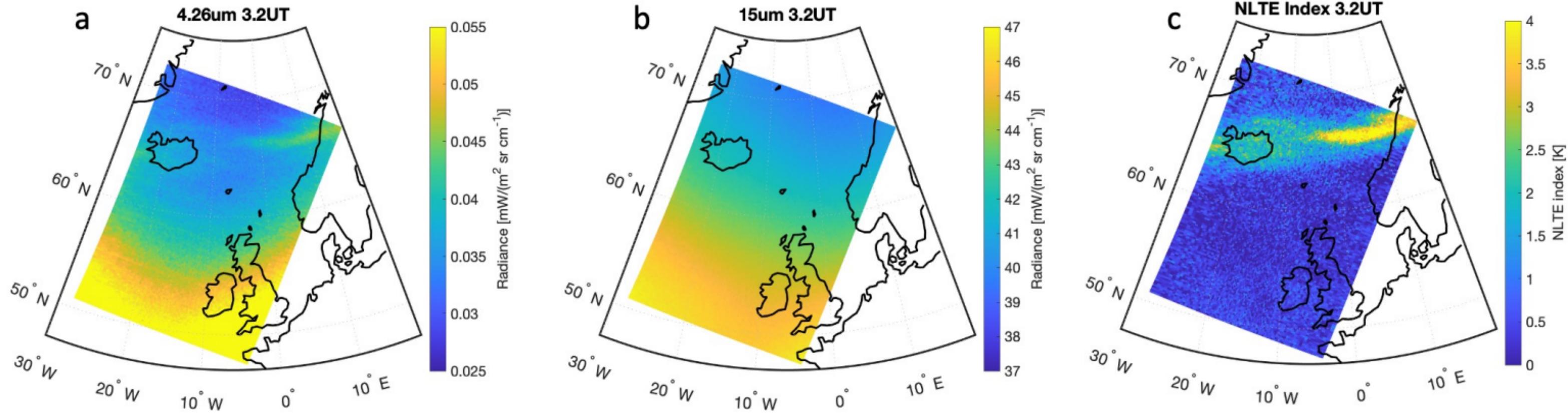


Figure 2.

NLTE Index 13-14 Oct

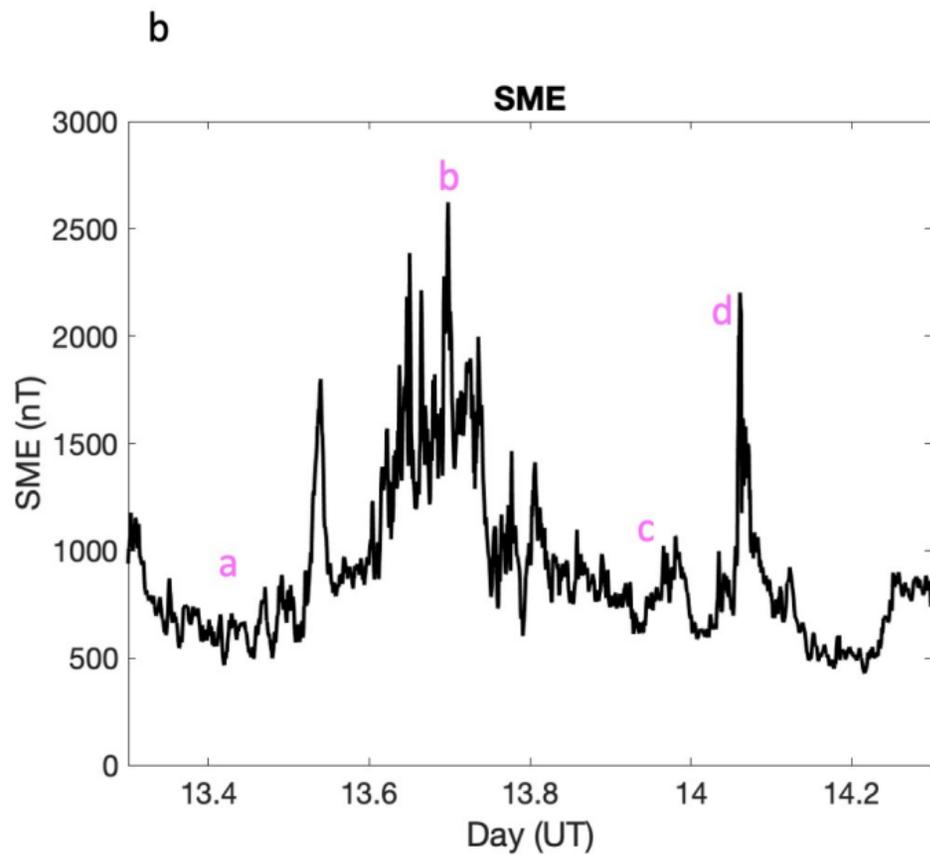
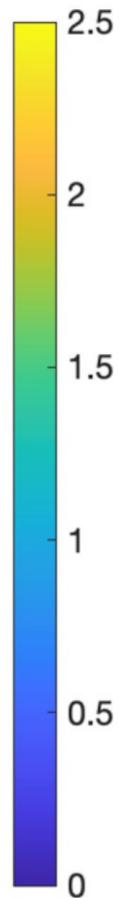
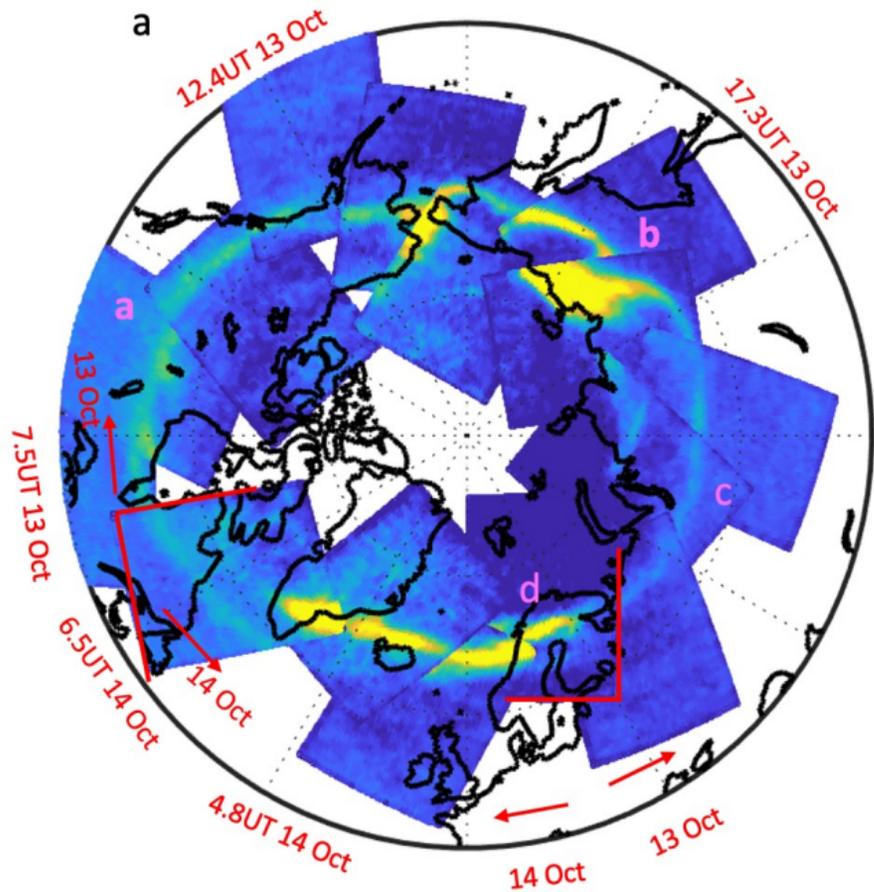


Figure 3.

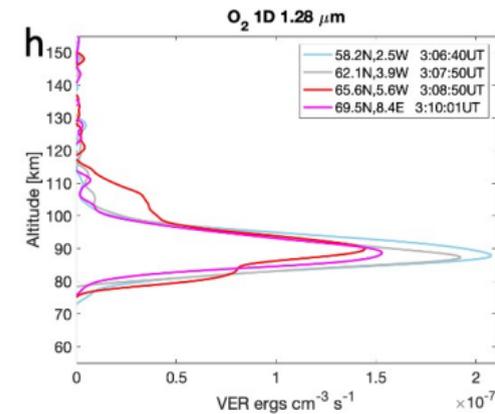
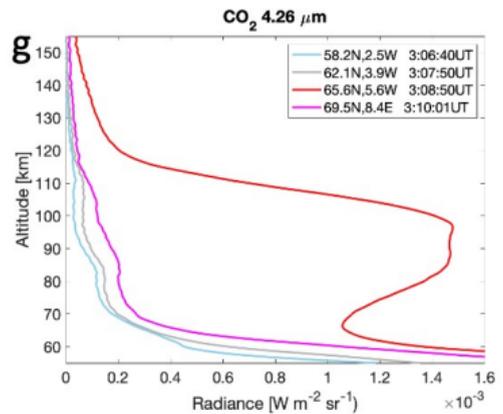
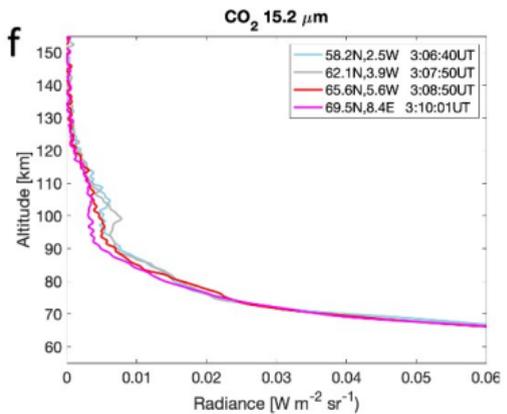
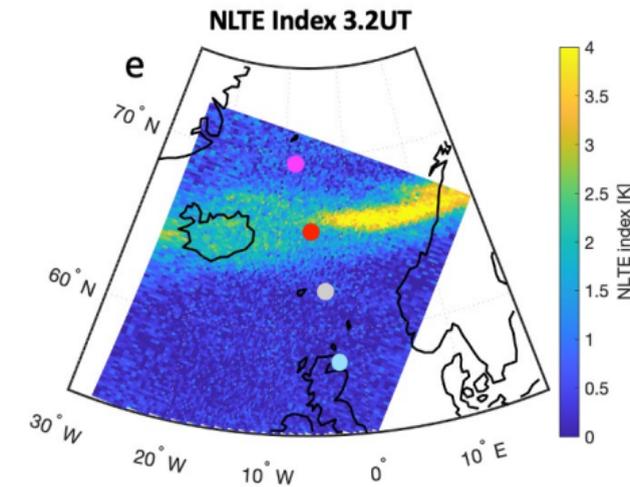
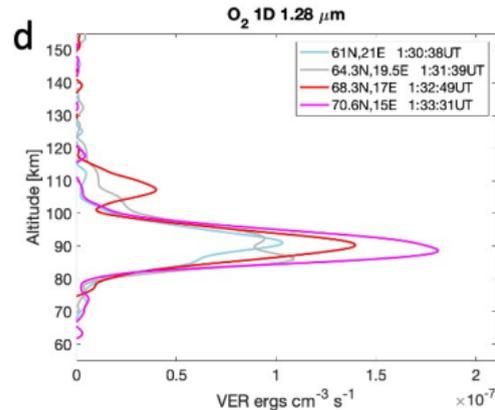
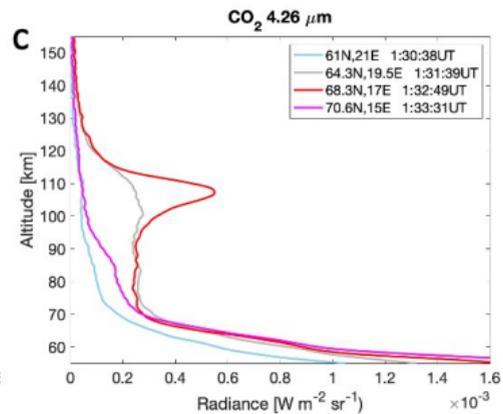
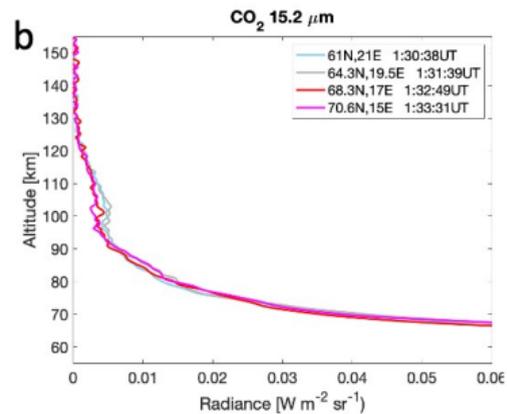
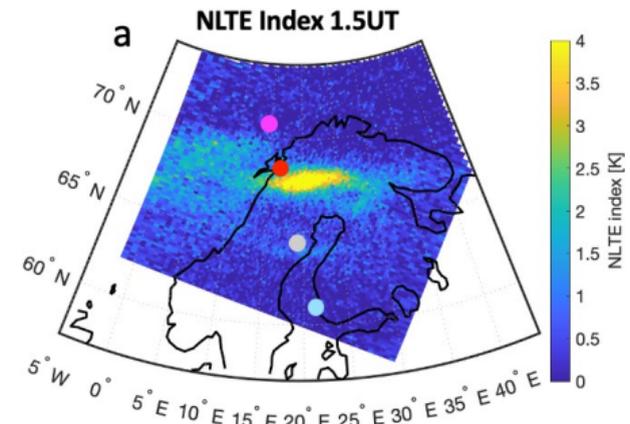


Figure 4.

