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To cite this article: Yang Yang et al 2022 Environ. Res. Lett. 17 034020

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OPEN ACCESS

RECEIVED

22 October 2021

REVISED

9 February 2022

ACCEPTED FOR PUBLICATION 14 February 2022

PUBLISHED

24 February 2022

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LETTER

ENSO modulation of summertime tropospheric ozone over China

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Keywords: O3, China, El Niño, ENSO

Supplementary material for this article is available online

Abstract

Ozone (O₃) is one of the most critical pollutants affecting air quality in China in recent years. In this study, different impacts of the El Niño–Southern Oscillation (ENSO) warm/cold phases on summertime tropospheric O₃ over China are examined based on model simulations, ground measurements, and reanalysis data. Summertime surface O₃ concentrations in China show a positive correlation with ENSO index during years 1990–2019, with the largest increases by 20% over southern China in El Niño (warm phase) relative to La Niña (cold phase) years. The ENSO modulation extends to the middle and even upper troposphere. Our analysis indicates that O₃ flux convergence associated with weakened southerlies is the primary reason for the increase in tropospheric O₃ over southern China. In addition, the O₃ increase during El Niño years is mainly from domestic emissions in China. This study highlights the potential significance of ENSO in modulating tropospheric O₃ concentrations in China, with great implications for O₃ pollution mitigation.

1. Introduction

Tropospheric ozone (O_3) is now the most critical air pollutant in China apart from particulate matter in recent years (Fu et al 2019, Gao et al 2020, Li et al 2021). In the recent decade, daily maximum 8 h average (MDA8) O₃ concentration in China in the warm season increased at a rate of 5% per year, which is faster than any other regions of the world (Lu et al 2018, 2020). Tropospheric O_3 is produced through the oxidation of carbon monoxide (CO) and volatile organic compounds (VOCs) with the sunlight in the existence of nitrogen oxides (NO_x). High O₃ concentration harms human health (Jerrett et al 2009, Malley et al 2017) and reduces crop yields (Yue et al 2017, Mills et al 2018). Therefore, it is of great significance to understand factors that modulate the variation of O₃ concentrations in China.

In addition to anthropogenic emissions of precursor gases (Qu et al 2020) and atmospheric oxidation capacity (Lu et al 2019a), meteorological conditions also exert various impacts on O₃ concentrations (Yin et al 2019). High temperature along with intense solar radiation enhances both photochemical reactions and natural precursor emissions of O₃ (Jacob and Winner 2009). Thus, O₃ pollution is generally severe in summer with strong sunlight. Relative humidity (RH) is negatively correlated with O₃ concentration due to the strong uptake of O₃ by trees under high RH conditions (Kavassalis and Murphy 2017) and water vapor from marine air also serves as a chemical sink of O₃ at low NO_x conditions (Lu et al 2018). The existence of clouds can reduce O₃ concentrations via decreasing the solar radiation and hence photochemical reactions (Jeong and Park 2013). Through changing the air stagnant condition and atmospheric transport, winds influence O₃ concentrations in both local and downwind areas (Doherty et al 2013, Zhang et al 2017). Gong et al (2019) revealed that O3 pollution events in

northern China occurred with high temperature, low RH, an anomalous high in the mid-troposphere, and downdraft in the lower troposphere. Changes in meteorological conditions are strongly associated with large-scale atmospheric circulation anomalies. Yang et al (2014) found that the year-by-year changes in the East Asian summer monsoon strength caused an interannual variation in near-surface O₃ concentrations over central-eastern China by 2%-5%, attributed to the changing transboundary transport of O₃, with high O3 levels appearing in strong monsoon years. A stronger western Pacific subtropical high can bring in more humid air, resulting in more clouds and lower temperature in southern China, which decreases O₃ concentrations there (Zhao and Wang 2017, Yin et al 2019).

El Niño–Southern Oscillation (ENSO) is the dominant mode of variability in Earth's climate system at interannual time scales (Ropelewski and Halpert 1987). It features anomalous high sea surface temperatures (SSTs) over the tropical eastern Pacific Ocean during the warm phase (i.e. El Niño) and anomalous low SST during the cold phase (i.e. La Niña). ENSO can influence atmospheric circulations and weather conditions across the globe and further change global O₃ distributions. Numerous studies have examined the ENSO influences on tropical O₃ (e.g. Oman *et al* 2011, Xie *et al* 2014, Olsen *et al* 2016) and the transpacific transport of O₃ (Lin and McElroy 2010, Xue *et al* 2021).

Although ENSO signal weakens in boreal summer season, when an ENSO event is developing, until its mature phase in boreal winter of the year, ENSO has been reported to have remarkable impacts on summertime O₃ in the mid-latitudes of the Northern Hemisphere (Zhang et al 2015, Shen and Mickley 2017, Xu et al 2017, Wie et al 2021). Based on surface ozone observations and meteorological variables from reanalysis data, Xu et al (2017) found that surface O₃ concentrations decreased during El Niño and increased during La Niña years (including summer) over the continental United States over 1993–2013, which was attributed to ENSO-induced changes in chemical processes and dynamic transport. Shen and Mickley (2017) also reported an El Niño-O₃ connection in eastern United States and found that El Niño reduced moisture transport into the Atlantic coast states but enhanced moisture flux into the southcentral states, leading to surface O3 increases and decreases, respectively, over these two regions in summer. Zhang et al (2015) investigated the influence of ENSO on the total O₃ column (TOC) in China using satellite data and found that summertime TOC increased over northeastern and northwestern China during El Niño events, while it decreased over southern and southwestern China as well as in the middle reach of the Yellow River during La Niña events. Based

on satellite measurements and chemistry-climate model simulations, Wie *et al* (2021) examined the variability of tropospheric column O₃ over East Asia and found that that O₃ increased in the troposphere 4–5 months after the La Niña peak, associated with anomalous O₃ transport from higher latitudes. However, few studies have quantified the roles of different physical and chemical processes in determining the impact of ENSO on summertime O₃ variability in China. In addition, ENSO-driven O₃ changes near the surface in China, which is more directly linked to air quality and human health than the total column burden, were rarely studied in previous works.

In this study, the impact of ENSO on summertime tropospheric O₃ concentrations in China and its mechanisms are investigated using global chemical transport model simulations over 1990–2019 driven by meteorological fields from reanalysis data. Details of the model and experimental design are described in section 2. Section 3 quantifies the influence of ENSO on near-surface O₃ concentrations in China. The mechanisms behind the impacts are analyzed in section 4. Section 5 summarizes the main results and discusses potential uncertainties in this study and implications for future studies.

2. Methods

2.1. Model description

 O_3 concentrations are simulated in this study by using GEOS-Chem model v12.9.3 with a horizontal resolution of 2° latitude × 2.5° longitude and 47 vertical layers from the surface to 0.01 hPa. GEOS-Chem is a global model of atmospheric chemistry with fully coupled O₃-NO_x-hydrocarbon-aerosol chemical mechanisms (Pye et al 2009, Mao et al 2013, Sherwen et al 2016). The boundary layer mixing is represented by a nonlocal scheme (Lin and McElroy 2010) and the stratospheric O₃ chemistry uses the LINOZ scheme (McLinden et al 2000). Meteorological fields driving the model in this study are from NASA Modern-Era Retrospective analysis for Research and Applications, Version 2 (MERRA-2). Additionally, the geopotential height data from the National Center for Environmental Prediction and National Center for Atmospheric Research reanalysis are used in our analysis due to the lack of geopotential heights in the MERRA-2 reanalysis products. The tendencies of different chemical and physical processes of tracers are written out from GEOS-Chem, which can be used to quantify the relative contribution of individual processes to variations in O₃ concentrations.

2.2. Emissions

Global baseline anthropogenic emissions utilized in this study are obtained from the community emissions data system (Hoesly et al 2018) and biomass burning emissions are from the Global Fire Emissions Database version 4 (van der Werf et al 2017). Anthropogenic emissions of O₃ precursor gases, including CO, NOx and VOCs, in China are replaced with the MEIC (Multi-resolution Emissions Inventory) emission inventory, which is a national emission inventory for China and includes emissions from transportation, residential, industry and power plants (Zheng et al 2018). Biogenic emissions are estimated with the Model of Emissions of Gases and Aerosols from Nature version 2.1 (Guenther et al 2012). GEOS-Chem simulations of surface O₃ in China using the same emission configurations have been extensively evaluated in previous studies (e.g. Ni et al 2018, Li et al 2019, Lu et al 2019b) and the model showed good skills in reproducing observed O₃ concentrations and spatial distribution in China.

2.3. Experiments

In this study, O₃ concentrations are estimated for years 1990–2019 in the baseline simulation (BASE) using the GEOS-Chem model driven by MERRA-2 meteorological fields. In order to quantify the impact of ENSO on O₃ in China, the effect from emission changes is removed by keeping anthropogenic, biomass burning and natural emissions at their year 2017 level in the BASE simulation. But we note that the year-to-year emissions are different and choosing 2017 as the base year may cause a small bias in the ENSO influence in magnitude. The quantitative impact of ENSO on the interannual variation of summertime O₃ in China can be obtained from the BASE experiment. Unless specified otherwise, results in this study are derived from the BASE experiment. Another sensitivity simulation, which is same as BASE but with anthropogenic emissions of O_3 precursors (CO, NO_x and VOCs) from China turned off (NO_CHN), is also conducted to understand the role of China domestic emissions in the ENSO-induced O3 variation by differing the two simulations (BASE–NO_CHN).

2.4. ENSO index

The Niño 3.4 index is employed to characterize the phase and intensity of ENSO events. It is calculated as the area averaged SST anomaly within the region of 5° S–5° N and 170–120° W based on MERRA-2 reanalysis in this study. Niño 3.4 index averaged over June–July–August (JJA) is used to explore the relationship between ENSO and O₃ in China during the boreal summer.

3. Impact of ENSO on the interannual variation in O_3 over China

To investigate the connection between ENSO and summertime O₃ in China, the empirical orthogonal

function (EOF) analysis of GEOS-Chem JJA near-surface O₃ concentrations is conducted. As shown in figure S1(a) (available online at stacks. iop.org/ERL/17/034020/mmedia), the leading EOF can explain 23% of interannual variability of nearsurface O₃ concentrations in Asia and positive pattern of EOF appears in the whole China, especially over southern China. The principal component (PC) of the leading EOF of near-surface O₃ concentrations is positively correlated with the JJA mean Niño 3.4 index (figure S1(b)). The correlation coefficient between the leading PC and Niño 3.4 index is +0.5 and statistically significant at a 99% confidence level, indicating that ENSO may play a vital role in the interannual variations in JJA near-surface O₃ concentrations in southern China, although note that the leading-mode EOF only explains 23% of the O₃ variance over China.

The spatial distribution of the correlation coefficients between the simulated JJA mean nearsurface O₃ concentrations and Niño 3.4 index over 1990–2019 is shown in figure 1(a) to further illustrate the relationship between ENSO and O₃ in China. Statistically significant and positive correlation coefficients are shown in southern China, part of Yangtze River Delta, part of northeastern China, and the Tibetan Plateau. Since ENSO has a detectable impact on the interannual variation of near-surface O₃ concentrations in China, particularly in southern China among all regions based on the EOF analysis, we mainly focus on the O₃ variations in southern China (97.5–117.5° E, 20–32° N) influenced by ENSO. Simulated near-surface O₃ concentrations averaged over southern China present a positive correlation with ENSO index, with statistically significant correlation coefficient between O₃ and Niño 3.4 index of +0.55 at a 99% confidence level. That is, El Niño (La Niña) is accompanied by an increase (decrease) in nearsurface O₃ concentrations over southern China in summer.

Note that, there are two types of ENSO, eastern Pacific (EP) type and central Pacific (CP) type (Kao and Yu 2009). We also calculated the correlation coefficient (R) between EP/CP Index based on Kao and Yu (2009) and O₃ concentrations in southern China (figure S2). CP Index is positively correlated with O₃ (R = 0.30), while EP Index does not have discernable correlation (0.03). Considering the higher frequency of CP El Niño events in recent decades relative to past centuries (Freund et al 2019), ENSO could be more influential on O₃ in China. We also tested the Niño 1 + 2 (0.21), Niño 3 (0.50) and Niño 4 (0.52) Indices and found that all the correlation coefficients between these indices and O₃ are lower than Niño 3.4 (0.55). ENSO may have a cross-correlation with O_3 (Shen et al 2017). The correlations between January– February-March/March-April-May mean Niño 3.4

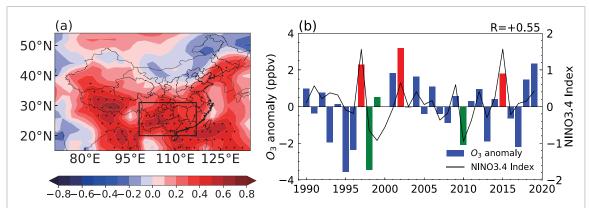


Figure 1. (a) Spatial distribution of the correlation coefficients between the JJA Niño 3.4 index and the JJA near-surface O_3 concentrations over 1990–2019. (b) Time series of JJA Niño 3.4 index (solid line, right y axis, K) and the simulated JJA near-surface O_3 concentration anomalies relative to the climatological mean of 1990–2019 (bars, left y axis, ppbv) averaged over southern China (97.5–117.5° E, 20–32° N, boxed area in (a)). The dotted areas in (a) indicate statistical significance with 95% confidence from a two-tailed Student's t test. Red and green bars in (b) represent O_3 concentrations in the strongest three El Niño (1997, 2002 and 2015) and La Niña (1998, 1999 and 2010), respectively. The correlation coefficient (R) between the Niño 3.4 index and near-surface O_3 concentrations in southern China is shown in the top-right corner of panel (b).

and JJA O_3 concentrations over southern China are also estimated and they only present weak negative relationships, with a correlation coefficient of -0.26 and -0.10, respectively.

To quantitatively examine the impact of climate variabilities on air pollutants, composite differences between two opposite phases of the climate variability are commonly used in previous studies (e.g. Yang et al 2014). In this study, the top three strongest El Niño years (1997, 2002 and 2015) and La Niña years (1998, 1999 and 2010) during 1990-2019 are firstly selected (figure 1(b)). However, the simulated JJA near-surface O₃ concentration slightly increased over southern China in the 1999 La Niña year, which is inconsistent with the positive correlation between Niño 3.4 index and O₃ in China. It is likely due to the abnormal winds in JJA 1999 compared to the other two La Niña years (1998 and 2010). In general, the meridional component of winds over southern China shows anomalous northerlies during El Niño and southerlies during La Niña relative to the climatological mean (figure S3), with a correlation coefficient of -0.43 between JJA Niño 3.4 index and 850 hPa meridional wind speed (figure S4). In JJA 1999, possibly dominated by other internal variabilities rather than the La Niña signal, southern China was controlled by anomalous northerlies relative to the climatological mean, leading to a different O₃ transport and thus different O₃ concentration changes in this particular year compared to the other two La Niña years. Therefore, we only use the other two La Niña years (1998 and 2010) in the following composite analysis.

Figure 2 shows the composite differences in JJA near-surface O₃ concentrations between the selected three El Niño and two La Niña years and figure S5 gives the composite differences of the El Niño

and La Niña years compared to the climatological mean. O₃ levels in the El Niño years are higher across the whole China, with the largest increases exceeding 9 ppbv (or 20% of the climatological mean) over southern China, compared to the concentrations during the La Niña years. The spatial pattern of the composite differences is identical to those of EOF (figure S1(a)) and correlation coefficients (figure 1(a)). The ENSO modulation of O₃ in China is not only within the surface layer, but also extends to the middle and even upper troposphere (figures 2(b) and (d)). Averaged over the latitude range of 20–32° N, O₃ concentrations increase from the surface to 300 hPa during El Niño compared to La Niña years. The maximum increase by 9 ppbv (5%–10%) arises between 105° E and 110° E around 700 hPa over southern China.

4. Mechanisms of ENSO impacts on O₃ in China

ENSO influences the chemical and physical processes of O₃, including net chemical production, horizontal advection, vertical convection, diffusion and dry deposition, through changing meteorological parameters. The role of each process can be quantified by the integrated process rate analysis to identify the dominant factors that influence the variations of O₃. The process source/sink rates are summarized in table S1. In general, JJA O_3 in the troposphere over southern China is formed locally by chemical productions and dissipated due to horizontal advection, diffusion and dry deposition indicated in table S1. Figure 3 shows the composite differences in various meteorological parameters in JJA between the selected El Niño and La Niña years. Relative to La Niña years, an anomalous low at 500 hPa is located in southern China during El Niño years (figure 3(b)), which leads to a

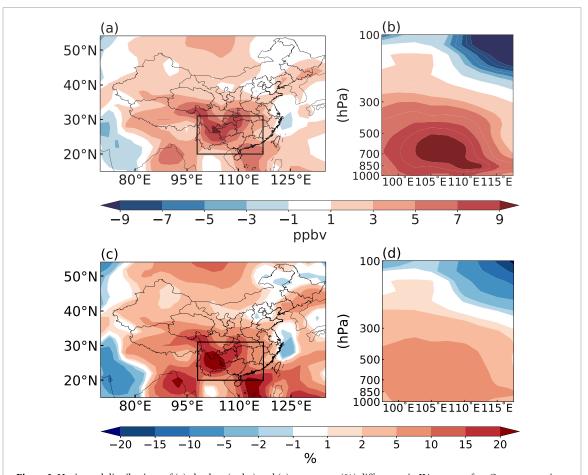


Figure 2. Horizontal distributions of (a) absolute (ppbv) and (c) percentage (%) differences in JJA near-surface O_3 concentrations between the selected three El Niño years (1997, 2002 and 2015) and two La Niña years (1998 and 2010) (El Niño-La Niña). Pressure—longitude cross sections averaged over 20–32° N for (b) absolute (ppbv) and (d) percentage (%) differences in JJA O_3 concentrations between the selected three El Niño years and two La Niña years. Boxed area in (a) and (c) marks southern China.

decrease in air temperature (figures 3(d) and (g)) (Wu et al 2010) and is unfavorable for the O_3 chemical production (Gong et al 2019). Although the decrease in cloud cover (figure 3(c)) allows more solar radiation reaching the surface (figure 3(f)), partly compensating the less O_3 chemical production due to lower temperature, the net chemical production of O_3 in the troposphere is still lower by -24.8 Gg d⁻¹ over southern China during El Niño compared to La Niña years (table S1). Therefore, the anomalous increase in O_3 during El Niño years is due to the physical processes, especially the horizontal advection, which represents the only net gain (28.1 Gg d⁻¹) inducing the increase in O_3 mass in the troposphere over southern China.

In summer, meteorological fields in China are dominated by the East Asian summer monsoon, with prevailing southwesterlies over southern China. Compared to the La Niña years, southwesterlies are weakened during the El Niño years (figure 3(a)) (Zhang *et al* 2015), leading to an anomalous O₃ flux convergence in southern China. Table 1 summarizes the horizontal and vertical O₃ mass fluxes, estimated as the product of O₃ concentration and

wind speed, from the surface to 500 hPa, where O₃ concentrations have the largest change (figure 2(b)). Due to the weakened southerlies from the surface to the mid-troposphere during the El Niño years, import of O₃ from the south to southern China is reduced by 4.1 Tg, but the export of O₃ out to the north is reduced by 11.2 Tg, compared to La Niña years. The net change in meridional transport results in a O₃ accumulation over southern China. The bigger O₃ flux change in the north of southern China than in the south is due to the higher O₃ concentrations over land than over the coastal areas. The less import of O₃ from the west of southern China (1.4 Tg) and less export to the east (1.0 Tg) cause nearly no change in the zonal transport. Net upward O₃ transport from the lower troposphere (1.1 Tg) due to the horizontal convergence slightly restrains the surface concentration increase. Therefore, O₃ flux convergence is identified as the primary reason for the increase in JJA O₃ levels over southern China during El Niño years, relative to La Niña years.

The changes in O_3 over southern China in different ENSO years can be from domestic anthropogenic emissions, the transboundary transport of O_3 from

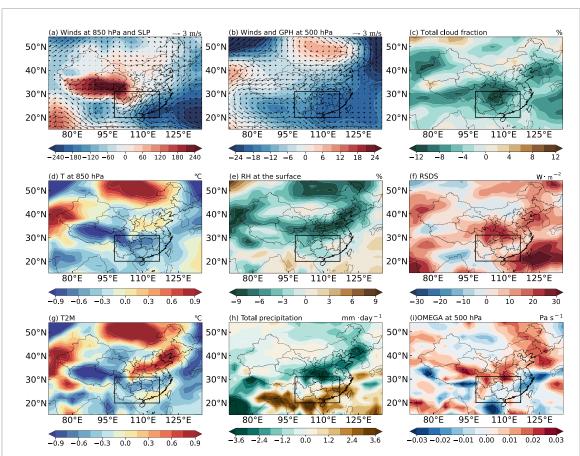


Figure 3. The composite differences in (a) wind fields (m s⁻¹, vector) at 850 hPa and sea level pressure (SLP, Pa, contour), (b) wind fields (m s⁻¹, vector) and geopotential height (GPH, m, contour) at 500 hPa, (c) total cloud fraction (%), (d) air temperature (T, °C) at 850 hPa, (e) relative humidity (RH, %) at the surface, (f) downwelling shortwave radiation at the surface (RSDS, W m⁻²), (g) 2 meter air temperature (T2M, °C), (h) precipitation rate (mm day⁻¹), and (i) vertical pressure velocity (OMEGA, Pa s⁻¹) between three El Niño years (1997, 2002 and 2015) and two La Niña years (1998 and 2010) (El Niño–La Niña). Boxed area marks southern China.

Table 1. The composite analyses of horizontal and vertical mass flux (Tg) of JJA O_3 concentration from the surface to 500 hPa over southern China (97.5–117.5° E, 20–32° N). The values are averaged over the selected three El Niño (1997, 2002 and 2015) and two La Niña (1998 and 2010), and the differences are also calculated (El Niño–La Niña). Positive values indicate incoming fluxes and negative values indicate outgoing fluxes.

| | El Niño | La Niña | Difference |
|-------|----------------------|---------|------------|
| | Horizontal mass flux | | |
| East | -13.14 | -14.17 | 1.03 |
| West | 10.36 | 11.76 | -1.40 |
| North | -0.09 | -11.30 | 11.21 |
| South | 9.93 | 14.01 | -4.08 |
| | Vertical mass flux | | |
| Тор | -8.49 | -7.40 | -1.09 |

foreign countries, the stratospheric O₃ injection, or natural emissions. By turning off anthropogenic O₃ precursor emissions from China in the NO_CHN experiment, the increase in near-surface O₃ concentration over southern China is much suppressed during the El Niño years (figure 4(a)). However, in NO_CHN, O₃ concentration increases in 30–35° E latitudinal band across China, which is likely related to the variation in stratospheric O₃ injection and/or

horizontal transmission and warrants in-depth analysis in future studies. About 3.8 ppbv (74% of the change in the BASE experiment) of the JJA near-surface O_3 increase during the El Niño years, compared to the La Niña years, is attributed to domestic emissions (figure 4(b)). It implies that managing domestic emissions can be an effective way in mitigating O_3 pollution over southern China during El Niño years.

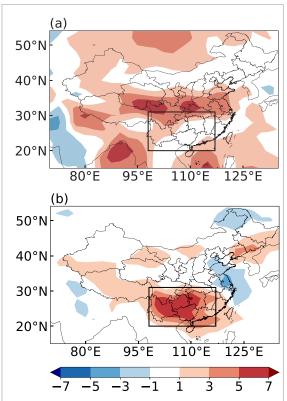


Figure 4. (a) Horizontal distributions of differences in JJA near-surface O₃ concentrations (ppbv) between the selected three El Niño years (1997, 2002 and 2015) and two La Niña years (1998 and 2010) (El Niño–La Niña) from the NO_CHN simulation and (b) changes (ppbv) between the BASE and NO_CHN simulations (BASE–NO_CHN) of the differences (El Niño–La Niña) in JJA near-surface O₃ concentrations. Boxed area marks southern China.

5. Conclusions and discussions

Impacts of ENSO on the interannual variations of summertime near-surface O3 in China over 1990-2019 are examined based on GEOS-Chem simulations, ground measurements, and MERRA-2 reanalysis data. ENSO is the crucial factor of O₃ variation. The near-surface O₃ concentration over southern China shows a positive correlation with Niño 3.4 index, but less correlations are found over northern parts of China. O₃ levels in El Niño years are higher over China, with the largest increases up to 20% over southern China, relative to La Niña years. The ENSO modulation of O₃ in China extends to the middle and upper troposphere, with the maximum impact occurring at 700 hPa over southern China. Our analysis indicates that O₃ flux convergence associated with the weakened southerly winds is the primary reason for the increase in JJA O₃ concentrations over southern China during El Niño years relative to La Niña years. In addition, O₃ increase over southern China during El Niño years is mainly from domestic emissions in China. We also found that the correlation coefficient between O₃ concentrations over southern China and CP index is much larger than EP index. This study highlights the potential significance of ENSO in modulating O_3 concentrations in southern China, with great implications in O_3 pollution mitigation.

There are still some deficiencies and uncertainties that can be improved in future studies. Although O₃ observations were used to verify the simulated ENSOinduced interannual variation of O3 in China, the data only cover one El Niño year during 2015–2019. Longer and continuous O₃ measurements spreading over China are desirable to fully explore the relationship between ENSO and O3. Figure S6 shows the observed and simulated JJA mean near-surface O₃ concentration anomalies in 2015, the only El Niño year during 2015–2019 (figure 1(b)), relative to the climatological averages. In summer 2015, nearsurface O₃ concentrations increased by 3-5 ppbv (10%–12% relative to the corresponding average of 2015-2019) over southwestern China, coinciding with the maximum correlation location over China, and slightly decreased over southeastern China. It confirms that the model can simulate the ENSOinduced interannual variations in near-surface O₃ concentrations over China.

Additionally, natural emissions are fixed during the simulations, which can also be perturbed during the ENSO events and should be considered in future studies. Recent works have reported that, besides anthropogenic emissions, the biogenic emissions, including those from urban green spaces, exert a significant role in O₃ formation (Gao et al 2022, Ma et al 2022). The potential influences of fixed biogenic emissions on O₃ deserve further investigation. The impact of ENSO on O₃ is investigated in this study using the MERRA-2 driven GEOS-Chem simulations together with statistical methods. The ENSO modulation could be disturbed by other climate signals. The pure ENSO influences can be more cleanly isolated using general circulation models driven by prescribed SSTs with and without ENSO signal (Zeng et al 2021). The composite differences in meteorological parameters between El Niño and La Niña years from MERRA-2 reanalysis are validated here by comparing with ERA5 reanalysis (figure S7). The changes in meteorological parameters resemble each other, suggesting that MERRA-2 reanalysis is credible in representing the changes in meteorological variables during ENSO events.

Data availability statement

The GEOS-Chem model is available at https://https://zenodo.org/record/3974569#.YTD81NMzagR (last access: 31 August 2021). MERRA-2 reanalysis data can be downloaded at https://gmao.gsfc.nasa.gov/reanalysis/MERRA-2/ (last access: 31 August 2021). The Niño 1+2, 3, and 4 indices are downloaded from NOAA (www.esrl.noaa.gov/psd/data/climateindices/list/, last access: 10 August 2021). The EP and CP ENSO indices can be obtained

from 10.5281/zenodo.5338939 (last access: 31 August 2021). Our model results are made available at 10.5281/zenodo.5338946 (last access: 31 August 2021).

The data that support the findings of this study are openly available at the following URL/DOI: https://doi.org/10.5281/zenodo.5338946.

Acknowledgments

This study was supported by the National Natural Science Foundation of China (Grant No. 41975159) and the National Key Research and Development Program of China (Grant Nos. 2020YFA0607803 and 2019YFA0606800). H W acknowledges the support by the U.S. Department of Energy (DOE), Office of Science, Office of Biological and Environmental Research (BER), as part of the Earth and Environmental System Modeling program. The Pacific Northwest National Laboratory (PNNL) is operated for DOE by the Battelle Memorial Institute under Contract DE-AC05-76RLO1830.

Conflict of interest

The authors declare that they have no conflict of interest.

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