



**Abstract**

Emissions of nitrogen oxides ( $\text{NO}_x = \text{NO} + \text{NO}_2$ ) in the United States have declined significantly during the past three decades. However, satellite observations since 2009 indicate total column  $\text{NO}_2$  is no longer declining even as bottom-up inventories suggest continued decline in emissions. Multiple explanations have been proposed for this discrepancy including 1) the increasing relative importance of non-urban  $\text{NO}_x$  to total column  $\text{NO}_2$ , 2) differences between background and urban  $\text{NO}_x$  lifetimes, and 3) that the actual  $\text{NO}_x$  emissions are declining more slowly after 2009. Here we use a deep learning model trained by  $\text{NO}_x$  emissions and surface observations of ozone to assess consistency between the reported  $\text{NO}_x$  trends between 2005-2014 and observations of surface ozone. We find that the 2005-2014 trend from older satellite-derived emission estimates produced at low spatial resolution best reproduce ozone in low  $\text{NO}_x$  emission (background) regions, reflecting the blending of urban and background  $\text{NO}_x$  in these low-resolution top-down analyses. The trend from higher resolution satellite-based estimates, which are more capable of capturing the urban emission signature, is in better agreement with ozone in high  $\text{NO}_x$  emission regions, and is consistent with the trend based on surface observations of  $\text{NO}_2$ . In contrast, the 2005-2014 trend from the US Environmental Protection Agency (EPA) National Emission Inventory (NEI) results in an underestimate of ozone. Our results confirm that the satellite-derived trends reflect anthropogenic and background influences and that the 2005-2014 trend in the NEI inventory is overestimating recent reductions in  $\text{NO}_x$  emissions.

**1 Introduction**

Air pollution is a major cause of mortality globally (Cohen et al., 2017). In this context, tropospheric ozone is a key pollutant that is produced photochemically by the oxidation of hydrocarbons in the presence of nitrogen oxides ( $\text{NO}_x = \text{NO} + \text{NO}_2$ ). Air pollution regulations have resulted in dramatic reductions in emissions of  $\text{NO}_x$ . However, Jiang et al. (2018) suggested that  $\text{NO}_x$  emission estimates inferred from satellite observations (referred to as top-down estimates) indicate that there has been a slowdown in the reduction rate since 2009, compared to the bottom-up emission inventory reported by the US Environmental Protection Agency (EPA) National Emission Inventory (NEI). In contrast, it has been suggested that the slowdown in the reduction rate in the satellite-derived emission estimates does not indicate a discrepancy with the NEI inventory, but instead is due to the increasing relative influence of non-anthropogenic  $\text{NO}_x$  emissions on atmospheric  $\text{NO}_x$  as captured by the satellite measurements (Silvern et al., 2019). It has also been reported by J. Li and Wang (2019) that the satellite-derived trends are consistent with the trends in surface observations of  $\text{NO}_2$  in high emission regions and that the discrepancy between the top-down and bottom-up trends are due to non-linearity in the relationship between  $\text{NO}_x$  emissions and the satellite observations of  $\text{NO}_2$  in low emission "rural" regions. Here we use a data-driven deep learning (DL) model that predicts surface ozone abundances across the US, which allows us to assess the consistency of the inferred 2005-2014 trends in  $\text{NO}_x$  emissions with observed surface ozone.

Surface ozone in the United States is highly variable on both short and long time scales, reflecting the influence of meteorology, non-linearity in the ozone chemistry, and changes in the emissions of ozone precursor gases. Atmospheric models used to simulate the distribution of ozone typically do not reproduce the observed long-term trend in tropospheric ozone, partially due to large uncertainty in simulated ozone response to varying  $\text{NO}_x$  emissions (Miyazaki et al., 2020b). Furthermore, these models tend to overestimate summertime surface ozone abundances in the United States. For example, in an evaluation of 16 global models and one hemispheric model it was found that the models overestimated summertime daily maximum 8-h average (MDA8) surface ozone in the eastern United States by 10-20 ppb (Reidmiller et al., 2009; Travis et al., 2016).

Machine learning methods are now becoming more widely used for simulation of atmospheric composition (e.g., Keller & Evans, 2019; Seltzer et al., 2020). For example, Seltzer et al. (2020) used an artificial neural network to simulate surface ozone to assess the impact of ozone exposure on human health and crop yields. In this study, we apply a state-of-the-art DL model in predicting surface ozone in the continental US. The data-driven, U-shaped DL model employed here captures well both the long-term and short-term variability in summertime MDA8 ozone in the United States. Previous studies have used statistical methods to investigate the relationship between large-scale atmospheric circulation patterns and summertime surface ozone (Gardner & Dorling, 2000; Shen & Mickley, 2017). Recent achievements in DL over the past few years show that empirical models are able to learn both spatial and temporal patterns in the input data (Goodfellow et al., 2016). It has been suggested that DL approaches have the potential to improve our predictive ability and understanding in a wide range of challenges we have in Earth science (Reichstein et al., 2019). A key benefit of this DL approach is that it is independent of the chemical errors that are typically found in atmospheric chemical transport models used in air quality studies. It requires no a priori assumptions about the relationship between  $\text{NO}_x$  emissions and tropospheric ozone associated with changes in the lifetime of  $\text{NO}_x$  or in emissions of volatile organic compounds (VOCs). During training, the changing relationship between  $\text{NO}_x$  emissions and ozone is learned by the model, to the extent that these changes are reflected in the ozone observations. This benefit of DL is also a limitation, in that these approaches currently are incapable of providing direct mechanistic insights in the processes governing the learned relationships. Nevertheless, the model provides a useful tool to determine which putative trend in  $\text{NO}_x$  emissions is most consistent with ozone observations.

## 2 Methods

### 2.1 A hybrid deep learning model to predict summertime surface ozone

A schematic of the model is given in Figure 1. The model has eight convolutional layers and three max pooling layers to extract the dominant features in the input data. Convolutional neural networks (CNNs) are the most fundamental model in DL and are able to efficiently capture spatial correlations in data. The weights in each CNN layer in the DL model perform convolutional calculations with the input and forward the output into subsequent layers. Max pooling layers are similar to convolutional layers, except that the convolution is replaced by a simple max transformation. Max pooling layers are used to further reduce data dimensionality and to extract dominant features. The optimization of the model is supervised by the "truth", which is the summertime MDA8 ozone measured by the AQS network in this study. The weights in the CNNs are optimized using the back-propagation algorithm (Rumelhart et al., 1986; LeCun et al., 1989), which employs the partial derivatives of cost function with respect to the truth.

We also embed the recurrent neural networks (RNNs) into our DL architecture. The RNNs were developed for sequential forecasting problems (Rumelhart et al., 1988), which showed strong skills in capturing dynamics hidden in data. The RNN model used in this study is the long-short term memory (LSTM) cell (Hochreiter & Schmidhuber, 1997), which is used to enhance the model's ability to capture the temporal variability in summertime ozone. In this study, the dynamics captured by the LSTM model includes both short-term daily variability and long-term trends in MDA8 ozone. We made the model deeper by stacking 3 LSTM cells in series to amplify its predictive skills.

After the input information gets compressed by the convolutional blocks and the LSTM cells, the latent vectors are projected to the output layer via a decoder that consists of a sequence of transposed convolutional layers and upsampling layers. Following Ronneberger et al. (2015), we added residual learning connections that forward the high-resolution features extracted by the encoder to the decoder for better localization of the

121 features learned by the DL model. These connections are helpful with faster convergence  
 122 of the optimization, as they contain trainable weights that represents more direct rela-  
 123 tionship between input and output variables (H. Li et al., 2018).

124 The loss function to be optimized is defined as the mean squared error calculated  
 125 in each grid box as follows:

$$\mathcal{L} = \frac{1}{N} \sum_{i=1}^N (y_i - \hat{y}_i)^2 \quad (1)$$

126 where  $y_i$  and  $\hat{y}_i$  are the predicted and observed MDA8 ozone. The Pearson correlation  
 127 coefficient between predictions and observations is used as an auxiliary metric of model  
 128 performance. This performance evaluation is only computed in grid boxes where AQS  
 129 measurements are available. This way the optimization of the model is not influenced  
 130 by the imperfect observational coverage of the AQS data. The back-propagation algo-  
 131 rithm is used to train this end-to-end architecture, with the ADAM optimization algo-  
 132 rithm for a faster convergence (Kingma & Ba, 2014).

## 133 2.2 Summertime ozone predictors

134 Large-scale patterns in atmospheric circulation, sea surface temperatures (SSTs),  
 135 and sea level pressure (SLP) influence summertime ozone variability in the United States  
 136 on synoptic to interseasonal timescales (Shen & Mickley, 2017; Shen et al., 2015). To rep-  
 137 resent these large-scale processes, in addition to well-known proximate meteorological  
 138 drivers of ozone variability, we have therefore selected the following MDA8 ozone pre-  
 139 dictors, focusing on the JJA period: anthropogenic emissions of  $\text{NO}_x$ , mean sea level pres-  
 140 sure (MSLP), geopotential at 500 hPa level (Z), downward shortwave radiation (SSRD),  
 141 sea surface temperature (SST), 2-meter temperature (T2M), and 2-meter dew point (D2M).  
 142 The input  $\text{NO}_x$  emissions are separated into the following seven emissions sectors to bet-  
 143 ter help with the training: agriculture (AGR), the power industry (ENE), the manufact-  
 144 uring industry (IND), residential and commercial (RCO), international shipping (SHP),  
 145 surface transportation (TRA), and waste disposal (WST). The sector-based  $\text{NO}_x$  emis-  
 146 sions provide geospatial information to the neural networks, which helps with the regres-  
 147 sion and localization of ozone levels.

## 148 2.3 Data

149 The meteorological data are from the ERA-Interim reanalysis (Dee et al., 2011)  
 150 from the European Centre for Medium-Range Weather Forecasts (ECMWF), which have  
 151 been regridded to a horizontal resolution of  $1.5^\circ \times 1.5^\circ$ . The  $\text{NO}_x$  emissions are from  
 152 the CEDS inventory (Hoesly et al., 2018), and were regridded from their native resolu-  
 153 tion of  $0.5^\circ \times 0.5^\circ$  to  $1.5^\circ \times 1.5^\circ$ . We chose CEDS for the analysis as it was specifically  
 154 developed to provide historical emissions for climate and atmospheric chemistry mod-  
 155 els. CEDS uses a sequential scaling approach in which emissions are first scaled to the  
 156 Emission Database for Global Atmospheric Research (EDGAR) inventory, and then rescaled  
 157 to the appropriate national inventory. In the United States, this rescaling is with respect  
 158 to the NEI inventory. CEDS also smooths discontinuities in the NEI inventory, result-  
 159 ing in differences between CEDS and NEI. All the input data are cropped to a regional  
 160 domain extending between  $0^\circ$ – $72^\circ\text{N}$ , and between  $180^\circ\text{W}$ – $0^\circ$  to encompass the North  
 161 Pacific and the North Atlantic, where strong linkages were found between ocean forc-  
 162 ing and summertime climate in the eastern United States (Shen & Mickley, 2017; Sut-  
 163 ton & Hodson, 2005, 2007; Gill, 1980).

164 While CEDS emissions were used to develop the general DL framework, we used  
 165 the EPA NEI inventory to evaluate the 2005-2014 bottom-up trends. Specifically, we used  
 166 the NEI version 2014v1 downloaded from the EPA website ([https://www.epa.gov/air-  
 167 -emissions-inventories/air-pollutant-emissions-trends-data](https://www.epa.gov/air-emissions-inventories/air-pollutant-emissions-trends-data)). The top-down

estimates of  $\text{NO}_x$  emissions are from the Tropospheric Chemistry Reanalysis (TCR) data product (<https://tes.jpl.nasa.gov/tes/chemical-reanalysis/>). The TCR data products were generated with a Kalman-filter-based data assimilation system that assimilated satellite measurements of ozone, CO,  $\text{NO}_2$ ,  $\text{HNO}_3$ , and  $\text{SO}_2$  from the Ozone Monitoring Instrument (OMI), the SCanning Imaging Absorption spectroMeter for Atmospheric Cartography (SCIAMACHY), the Global Ozone Monitoring Experiment (GOME-2), the Tropospheric Emission Spectrometer (TES), the Microwave Limb Sounder (MLS), and the Measurement Of Pollution In The Troposphere (MOPITT) satellite instrument. The TCR  $\text{NO}_x$  emissions used in Jiang et al. (2018) was an earlier version of the data product, described in (Miyazaki et al., 2015). The assimilated was conducted at a spatial resolution of  $2.8^\circ \times 2.8^\circ$ . In this paper we also analyze the newer version of the TCR chemical reanalysis (TCR-2) (Miyazaki et al., 2020b), which utilized updated satellite observations at a higher model resolution of  $1.1^\circ \times 1.1^\circ$ . The  $1.5^\circ \times 1.5^\circ$  resolution used for the deep learning model was chosen to be similar to the resolution of the TRC-2 product.

MDA8 ozone was estimated from ozone measurements from the EPA Air Quality System (AQS) (<https://www.epa.gov/aqs>). The MDA8 ozone were aggregated to  $1.5^\circ \times 1.5^\circ$  grid boxes. The average value of MDA8 for each grid box will not be representative of any specific type of station data (e.g., road, industrial point source, etc), however, the aggregated data set provides a good measure of regional surface ozone and can be used to evaluate the impact of recent trends in  $\text{NO}_x$  emissions on ozone. By using this data set as the truth during training, the model is able to capture the linkage between the  $\text{NO}_x$  emission trend and the trend in surface ozone on these scales.

### 3 Results

#### 3.1 Predicting summertime ozone

The model is trained using AQS ozone observations from 1980 to 2009, and its performance evaluated using data from the subsequent five years. We do not train the model over the entire 1980–2014 period as our goal is to use the model in a predictive context to evaluate the putative  $\text{NO}_x$  emission trends after 2009. During the training and evaluation of the model we use the CEDS  $\text{NO}_x$  emissions. As shown in Figure 2, the predicted JJA MDA8 ozone concentrations between 2010–2014 are in good agreement with the AQS ozone observations. The mean error for the contiguous United States (CONUS), the northeastern United States, the southeastern United States, and the west coast is  $-0.09 \pm 0.37$  ppb,  $0.28 \pm 0.82$  ppb,  $0.12 \pm 0.60$  ppb, and  $0.15 \pm 0.54$  ppb, respectively. We show in Figures S1 in the Supplementary Information that the errors are larger with a lower model resolution of  $3^\circ \times 3^\circ$ , and we would expect improved performance at higher spatial resolution than the  $1.5^\circ \times 1.5^\circ$  resolution. However, even at the course resolution these errors in ozone are significantly smaller than the 10–20 ppb by which conventional model simulations typically overestimate JJA MDA8 ozone in the eastern United States (Reidmiller et al., 2009). In sensitivity tests in which we exclude  $\text{NO}_x$  emissions as a predictor in the lower resolution version of the model, the predicted ozone abundances are significantly more biased across the CONUS (see Figure S2 and Table S1 in the Supplementary Information). The results indicate that during the training, the model is able to capture the changing relationship between  $\text{NO}_x$  emissions and surface ozone.

Overall, the model is able to capture both the short-term and long-term dynamics of MDA8 ozone well (Figure 3). The predicted MDA8 ozone over the United States have ubiquitously high correlations with the observations. However, low temporal correlations are found in the Intermountain West ( $R \approx 0.40$ ), where there are fewer AQS observations. Also, this region is strongly influenced by free troposphere background ozone abundances rather than local or regional precursor emissions (Zhang et al., 2014). Including wind fields and wildfire emissions as additional predictors may improve the pre-

dictability of MDA8 ozone in the Intermountain West, as wildfires and transport from the western U.S. could have an impact on ozone in this region. The year-to-year variability of surface ozone is also shown to be related to stratospheric intrusions in spring (Zhang et al., 2014; Lin et al., 2015) and the emissions of  $\text{NO}_x$  from lightning in summer (Zhang et al., 2014).

The US  $\text{NO}_x$  emissions have dramatically decreased since the 1990s due to air pollution regulations, and there has been regional changes in the ozone- $\text{NO}_x$  relationship associated with these emission reductions, reflecting the non-linearity in the ozone chemistry (He et al., 2020). As a result of this non-linearity, the same ozone concentration can be produced at low and high levels of  $\text{NO}_x$  emissions, reflecting the fact that the chemistry is a source of ozone at low  $\text{NO}_x$  emissions and a sink for ozone at high  $\text{NO}_x$  emissions. This non-linearity is also influenced by VOC emissions. At low  $\text{NO}_x$  emission, where ozone increases with increasing  $\text{NO}_x$ , the chemistry is described as being  $\text{NO}_x$ -sensitive. In contrast, at high  $\text{NO}_x$  emissions, where ozone decreases with increasing  $\text{NO}_x$  emissions, but increases with increasing VOC emissions, the chemistry is considered to be VOC-sensitive. Here we show that the DL model not only predicts well the short-term ozone variability, but also captures the regionally-dependent chemical relationship between ozone and  $\text{NO}_x$  emissions. Since the model was trained with data from 1980 to 2009 and data after 2010 were not in the training samples, we chose the following three periods to examine the ozone sensitivity to  $\text{NO}_x$  emissions the over the past 3 decades: 1986–1990, 2001–2005 and 2010–2014. Because of the  $1.5^\circ$  resolution, we cannot explicitly examine changes at urban scales, so instead we analyzed the chemical relationship between ozone and  $\text{NO}_x$  emissions for the northeastern US, the southeastern US, and southern California, as shown in Figure S3 in the Supplementary Information.

The relationships between summertime ozone and  $\text{NO}_x$  emissions for the 3 selected time periods are shown in Figure 4. For the northeastern US, between 1986–1990 the extreme values of surface ozone observations between 1986–1990 exhibit a slight negative slope, whereas the slope of median values is almost flat. The results suggest that the ozone photochemical regime was transitional between the VOC-sensitive and  $\text{NO}_x$ -sensitive regimes during this time. This transitional photochemical regime was observed for 2001–2005 and 2010–2014 periods as well. For the southeastern US and southern California, the ozone- $\text{NO}_x$  relationship in 1986–1990 has a turning point around  $10 \times 10^{-11} \text{ kgN m}^{-2} \text{ s}^{-1}$ , suggesting a  $\text{NO}_x$ -sensitive regime in regions of low  $\text{NO}_x$  emissions (less than  $10 \times 10^{-11} \text{ kgN m}^{-2} \text{ s}^{-1}$ ) and a transition regime (between VOC- and  $\text{NO}_x$ -sensitive conditions) in locations with higher  $\text{NO}_x$  emissions. By 2010–2014, the the southeastern US and southern California become more  $\text{NO}_x$ -sensitive, particular the southeastern US.

Comparison of Figures 4a–4c with Figures 4d–4f shows that the ozone- $\text{NO}_x$  relationships for all three regions over the three time periods are correctly predicted by the DL model. Since the model is trained with data from 1980 to 2009, the agreement between the observed and predicted ozone relationships for the 1980s and early 2000s is somewhat expected. However, the regional consistency between the modeled and predicted ozone relationships for 2010–2014 shown in Figure 4 suggests that through training the model is able to learn the changing, regionally-dependent chemical relationship between surface ozone and  $\text{NO}_x$  emissions in the US at the  $1.5^\circ \times 1.5^\circ$  spatial scales to which we aggregated the data.

### 3.2 Trend of anthropogenic $\text{NO}_x$ emissions over the United States after 2010

The trend in the annual mean  $\text{NO}_x$  emissions from the NEI bottom-up inventory as well as from top-down emission estimates from Jiang et al. (2018) and TCR-2 (Miyazaki et al., 2020a) are shown in Figure 5. As can be seen, there is good agreement in the  $\text{NO}_x$

270 emission trend in the different inventories between 2005, when the top-down inventories  
 271 became available, and 2010. However, after 2010 the top-down inventories suggest a sig-  
 272 nificant slowdown in the rate of reduction of NO<sub>x</sub> emissions in the United States (Jiang  
 273 et al., 2018). Included in Figure 5 is the trend in surface NO<sub>2</sub> from observations from  
 274 the AQS network. The AQS NO<sub>2</sub> trend suggests a smaller reduction in NO<sub>x</sub> emissions  
 275 than the NEI inventory between 2005–2010, but not as pronounced as the slowdown ob-  
 276 served in the top-down inventories.

277 Evaluating these emission trends using conventional atmospheric chemical trans-  
 278 port models is challenging due to the fact that those models are impacted by deficien-  
 279 cies in the employed chemical mechanisms and dynamical parameterizations. The DL  
 280 model captures the relationship between MDA8 and its predictors based on the input  
 281 in situ and meteorological data only, and is able to mitigate the impact of a majority  
 282 of the sources of error in conventional atmospheric models.

283 To evaluate the trends in the NO<sub>x</sub> emissions, we use the trained DL model to pre-  
 284 dict MDA8 ozone from 2010 to 2014 using the CEDS NO<sub>x</sub> emissions scaled by the dif-  
 285 ferent annual trends shown in Figure 5. The CEDS inventory is scaled as follows:

$$E_i^m = E_i^{CEDS} \cdot \beta^m \quad (2)$$

286 where  $E_i^{CEDS}$  is the CEDS emissions for month  $i$ ,  $\beta^m$  is the annual scaling factor that  
 287 captures the trend shown in Figure 5 for a given inventory  $m$ , and  $E_i^m$  is the resulting  
 288 scaled NO<sub>x</sub> emissions used in the model prediction of MDA8 ozone. For each NO<sub>x</sub> trend,  
 289 we run an ensemble of 22 ozone predictions.

290 The error statistics for the predicted MDA8 ozone are shown in Figure 6. The ob-  
 291 served AQS NO<sub>2</sub> trend results in a mean error of  $-0.20 \pm 0.38$  ppb across the CONUS,  
 292 which is statistically indistinguishable from the standard results ( $-0.09 \pm 0.37$  ppb) ob-  
 293 tained with the CEDS inventory (shown in Figure 3) and that based on the TCR-2 trend  
 294 ( $-0.12 \pm 0.38$  ppb). In contrast, our results indicate that the NEI and Jiang et al. trends  
 295 are statistically inconsistent, with the NEI trend resulting in a larger negative bias of  
 296  $-0.87 \pm 0.39$  ppb and the Jiang et al. trend producing a positive bias of  $0.15 \pm 0.39$  ppb.  
 297 Averaged across the United States, the satellite-based TCR-2 trend produces the small-  
 298 est mean errors in predicted ozone. In a sensitivity test in which we trained the model  
 299 using data from 1980–2005 and predicted MDA8 ozone for 2005–2016, the four trends all  
 300 produced consistent ozone predictions between 2005–2010, but diverged after 2010, with  
 301 the NEI trend producing the largest negative bias in predicted ozone (See Figure S4 in  
 302 the Supplementary Information).

303 To investigate whether the satellite observations of NO<sub>2</sub> are more representative  
 304 of non-anthropogenic NO<sub>x</sub> in rural regions after 2010 (Silvern et al., 2019; J. Li & Wang,  
 305 2019), we segregated the predictions into high-NO<sub>x</sub> and low-NO<sub>x</sub> regions according to  
 306 whether the average NO<sub>x</sub> emission in a given grid box is greater than or less than  $1 \times$   
 307  $10^{11}$  molec cm<sup>-2</sup> s<sup>-1</sup>, respectively, following J. Li and Wang (2019). We assume that these  
 308 high-NO<sub>x</sub> regions are strongly influenced by anthropogenic emissions, whereas the low-  
 309 NO<sub>x</sub> regions are more representative of background NO<sub>x</sub> conditions (see Figure S5 in  
 310 the Supplementary Information for the spatial distribution of these high-NO<sub>x</sub> and low-  
 311 NO<sub>x</sub> emission regions). As shown in Figure 6, the NO<sub>x</sub> emissions scaled by the observed  
 312 AQS NO<sub>2</sub> trend produce ozone predictions with the smallest error ( $0.03 \pm 0.53$  ppb) in  
 313 regions with high NO<sub>x</sub> emissions. In these high NO<sub>x</sub> regions the NEI trend results in an  
 314 ozone bias of  $-0.87 \pm 0.37$  ppb. For the low-NO<sub>x</sub> regions, the best performance is ob-  
 315 tained with the Jiang et al. trend, with a bias of  $0.06 \pm 0.37$  ppb.

316 Our results agree with Silvern et al. (2019), suggesting that the satellite-based NO<sub>x</sub>  
 317 trend in Jiang et al. (2018) is more representative of background NO<sub>x</sub> conditions. They  
 318 also confirm the finding of Jiang et al. (2018) that the 2005–2015 NEI trend is overes-  
 319 timating reductions in NO<sub>x</sub> emissions. We find that the more recent satellite-based trend

320 from TCR-2 is relatively consistent with the AQS NO<sub>2</sub> trend (in both high- and low-NO<sub>x</sub>  
321 regions). As noted in Section 2.3, the TRC-2 satellite-based NO<sub>x</sub> emission product is an  
322 update of that used in Jiang et al. (2018), and a key difference between the two prod-  
323 ucts that could explain the consistency of the TCR-2 and AQS NO<sub>2</sub> trends is that the  
324 TCR-2 product was derived at higher spatial resolution (1.1° x 1.1° compared to 2.8°  
325 x 2.8°), which offers a better means of discriminating between anthropogenic and back-  
326 ground NO<sub>x</sub>. This updated emission product, TCR-2, is in agreement with J. Li and Wang  
327 (2019) who found that the trend in satellite observations of NO<sub>2</sub> is consistent with the  
328 AQS NO<sub>2</sub> data in urban regions, but reflects a more gradual decrease in NO<sub>2</sub> in rural  
329 regions.

## 330 4 Conclusions

331 We have developed a state-of-the-art DL model to predict summertime daily MDA8  
332 ozone in the U.S. The model uses 13 predictors, including large-scale meteorological vari-  
333 ables and sector-specific anthropogenic emissions of NO<sub>x</sub>. The model was trained with  
334 observed summertime MDA8 ozone data from 1980 to 2009 and tested with data from  
335 2010 to 2014. We found that the model captured well the daily variability in MDA8 ozone  
336 across the United States, predicting ozone with a correlation of  $R = 0.88$  and a mean  
337 error of  $-0.09 \pm 37$  ppb. Regionally, the model has high predictability of ozone in the  
338 eastern U.S. and on the west coast ( $R > 0.85$ ), but low predictability in the Intermoun-  
339 tain West ( $R \approx 0.4$ ).

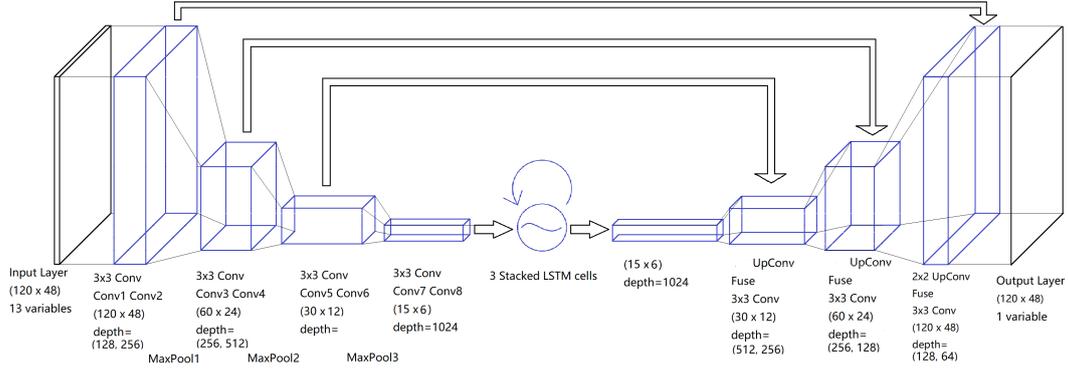
340 We used the model to evaluate trends in NO<sub>x</sub> emissions between 2005–2014 inferred  
341 from top-down and bottom-up inventories, in the context of the model predictions of sur-  
342 face ozone. Our analysis suggested that care is needed in interpreting top-down satellite-  
343 based emission estimates as the satellite observations are affected by a combination of  
344 anthropogenic NO<sub>x</sub> emissions and rural NO<sub>x</sub> conditions. The trend in the satellite-based  
345 NO<sub>x</sub> emission estimates in Jiang et al. (2018) is more indicative of the trend in back-  
346 ground NO<sub>x</sub>. However, our results confirm that the recent higher resolution TCR-2 satellite-  
347 based emission inventory is consistent with the surface NO<sub>2</sub> trend in regions of high an-  
348 thropogenic NO<sub>x</sub> emissions. The results also confirm that the NEI inventory is overes-  
349 timating the reduction in NO<sub>x</sub> emissions after 2010, which Jiang et al. (2018) attributed  
350 to the growing relative contribution of less-stringently regulated emissions from diesel  
351 and off-road vehicles not accounted for in the NEI inventory. Our analysis demonstrates  
352 the potential utility of DL for air quality studies. The DL architecture employed here  
353 is generic and flexible. It can be utilized to realize other high-dimensional predictions,  
354 given the spatial and temporal dynamics in the data.

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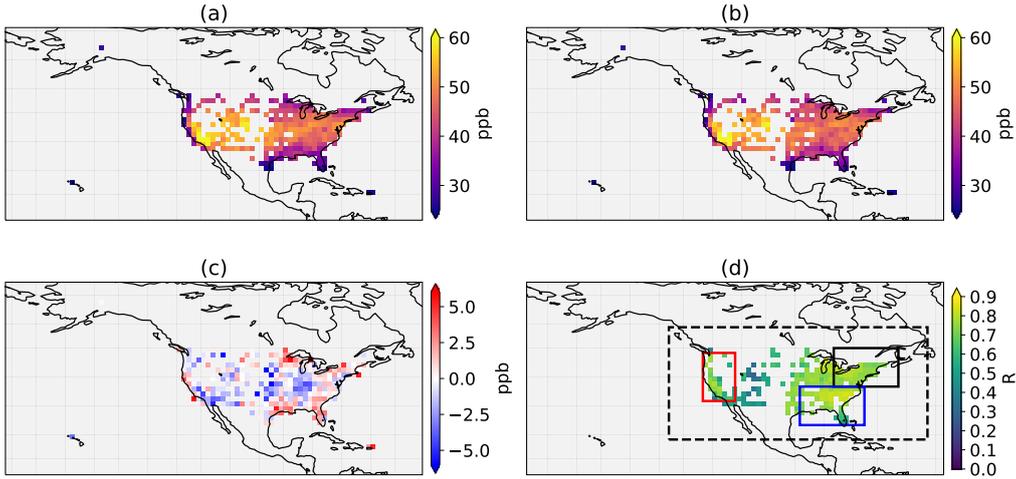
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362 NO<sub>x</sub> emission inventories.

363 The satellite-derived NO<sub>x</sub> emissions from Jiang et al. (2018) can be obtained from  
364 the sources cited in Jiang et al. (2018). The NEI data (version 2014v1) can be down-  
365 loaded from the EPA website ([https://www.epa.gov/air-emissions-inventories/  
366 air-pollutant-emissions-trends-data](https://www.epa.gov/air-emissions-inventories/air-pollutant-emissions-trends-data)). The TCR-2 NO<sub>x</sub> emission data are avail-  
367 able for download from <https://tes.jpl.nasa.gov/chemical-reanalysis/>. The EPA  
368 AQS surface NO<sub>2</sub> data are available for download from <https://www.epa.gov/aqs>. The  
369 CEDS anthropogenic emission data were originally downloaded from <https://esgf-node>

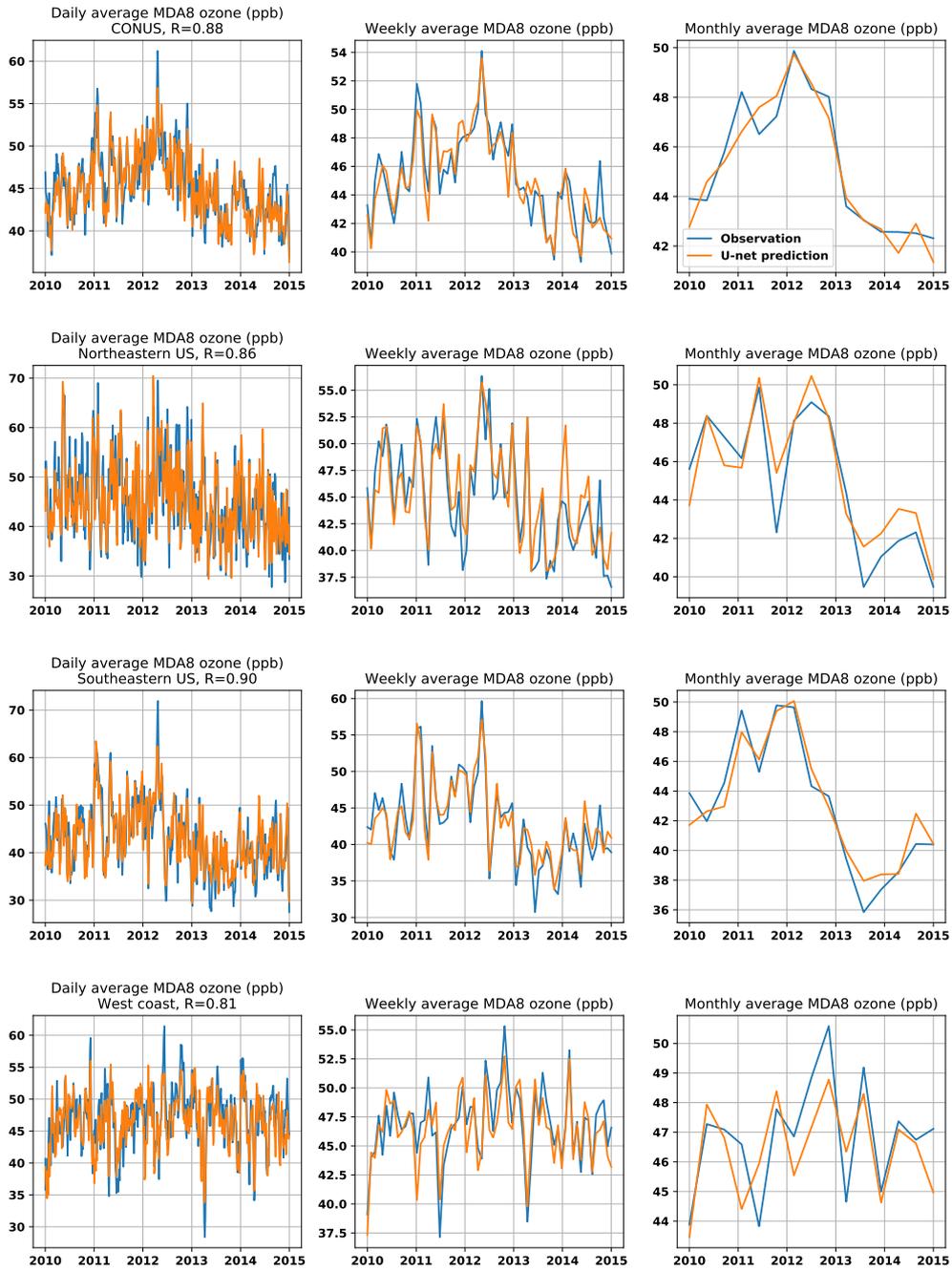
370 .llnl.gov/search/input4mips/, and were processed by the Support Team for the GEOS-  
371 Chem model. The processed CEDS data used here are available for download from [http://](http://wiki.seas.harvard.edu/geos-chem/index.php/CEDS_anthropogenic_emissions)  
372 [wiki.seas.harvard.edu/geos-chem/index.php/CEDS\\_anthropogenic\\_emissions](http://wiki.seas.harvard.edu/geos-chem/index.php/CEDS_anthropogenic_emissions).



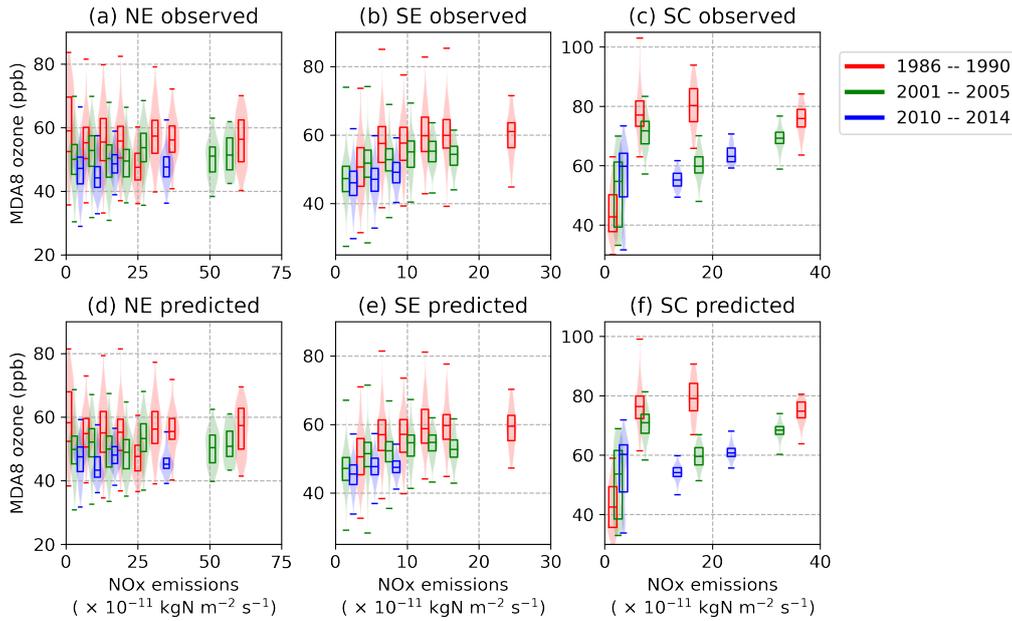
**Figure 1.** Deep learning model to predict JJA MDA8. The model consists of an input layer with 13 channels for the ozone predictors, eight convolution and three max pooling layers to extract the dominant features in the data, and three stacked LSTM cells to capture the dynamics in the data. Compressed data are then passed to transposed convolution layers for projection to the output layer. The three arrows at the top indicate the residual learning connections that forward the high-resolution features extracted by the encoder to the decoder for better localization of the features.



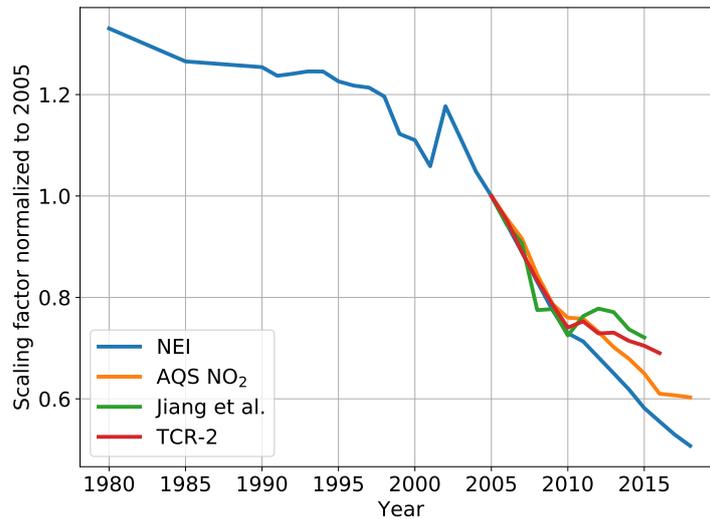
**Figure 2.** Observed (top left) and predicted (top right) mean JJA MDA8 ozone during 2010–2014. Also shown (bottom left) is the absolute error (in ppb) for the predicted minus observed MDA8 ozone. The errors are calculated where the AQS observations are located. Correlation ( $R$ ) between the observed and predicted MDA8 ozone in each grid box is shown in bottom right. Also shown in bottom right are the definitions of the CONUS, Northeastern US, Southeastern US and the West coast domains in blacked dashed box, black solid box, blue box, and red box, respectively.



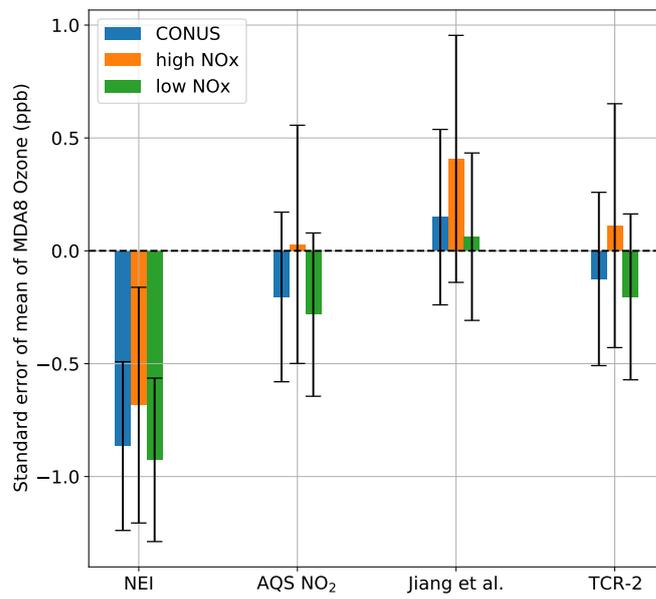
**Figure 3.** Observed (blue line) and predicted (orange line) daily (first column), 7-day averaged (second column), and monthly averaged (third column) JJA MDA8 ozone (in ppb) during the testing period (2010–2014). Shown are the time series for the CONUS (first row), the northeast (second row), the southeast (third row), and the west coast (last row). The regional definitions are shown in Figure 2.



**Figure 4.** The changing relationship between MDA8 ozone and NO<sub>x</sub> emissions for the three periods: 1986–1990 (red), 2001–2005 (green) and 2010–2014 (blue). Panels (a–c) show the relationship between the AQS ozone observations and NO<sub>x</sub> emissions, whereas panels (d–f) show the relationship between the DL-predicted ozone and NO<sub>x</sub> emissions. NO<sub>x</sub> emissions and MDA8 ozone levels are smoothed by 4-day averaging windows. Note that the first two periods 1986–1990 and 2001–2005 are within the training data set, but 2010–2014 is not used in the training process. The three columns from left to right are results for the northeastern US (a and d), the southeastern US (b and e), and the southern California (c and f) regions.



**Figure 5.** Relative change (normalized to 2005) in annual mean anthropogenic NO<sub>x</sub> emissions for the United States from the bottom-up NEI inventory (blue line) and from the top-down inventories from TCR-2 (red line) and Jiang et al. (2018) (green line). Also shown is the trend in AQS NO<sub>2</sub> measurements (orange line).



**Figure 6.** Mean error statistics for predicted MDA8 ozone for 2011–2014 for the CONUS (blue bars) and high-NO<sub>x</sub> (orange bars) and low-NO<sub>x</sub> (green bars) emission regions, based on NO<sub>x</sub> emissions scaled by the NEI, AQS NO<sub>2</sub>, TRC-2, and Jiang et al. (2018) trends. Error bars indicate the standard error on the mean.

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