1 Photochemical grid model implementation and application of VOC, NO_x, and O₃ source apportionment

- 2 R. H. F. Kwok¹, K. R. Baker¹, S.L. Napelenok^{1*}, G. S. Tonnesen²
- 1 United States Environmental Protection Agency, 109 T.W. Alexander Drive, Research Triangle Park,
 NC 27711
- 2 United States Environmental Protection Agency, Region 8, 1595 Wynkoop Street, Denver, CO 802021129
- 7 *Corresponding author. Telephone: 1 (919) 541-1135, Fax: 1 (919) 541-1379, e-mail:
- 8 <u>Napelenok.Sergey@epa.gov</u>.

9 Abstract

10 For the purposes of developing optimal emissions control strategies, efficient approaches are needed to 11 identify the major sources or groups of sources that contribute to elevated ozone (O_3) concentrations. 12 Source-based apportionment techniques implemented in photochemical grid models track sources 13 through the physical and chemical processes important to the formation and transport of air pollutants. 14 Photochemical model source apportionment has been used to track source impacts of specific sources, 15 groups of sources (sectors), sources in specific geographic areas, and stratospheric and lateral boundary 16 inflow on O_3 . The implementation and application of a source apportionment technique for O_3 and its 17 precursors, nitrogen oxides (NO_x) and volatile organic compounds (VOC), for the Community Multiscale 18 Air Quality (CMAQ) model are described here. The Integrated Source Apportionment Method (ISAM) O₃ 19 approach is a hybrid of source apportionment and source sensitivity in that O₃ production is attributed 20 to precursor sources based on O_3 formation regime (e.g., for a NO_x-sensitive regime, O_3 is apportioned 21 to participating NO_x emissions). This implementation is illustrated by tracking multiple emissions source 22 sectors and lateral boundary inflow. NO_x, VOC, and O₃ attribution to tracked sectors in the application 23 are consistent with spatial and temporal patterns of precursor emissions. The O₃ ISAM implementation 24 is further evaluated through comparisons of apportioned ambient concentrations and deposition

amounts with those derived from brute force zero-out scenarios, with correlation coefficients ranging
 between 0.58 and 0.99 depending on specific combination of target species and tracked precursor
 emissions. Low correlation coefficients occur for chemical regimes that have strong non-linearity in O₃
 sensitivity, which demonstrates different functionalities between source apportionment and zero-out
 approaches. Where appropriate use depends on whether source attribution or source sensitivity is
 desired.

Key words: ozone, CMAQ, ISAM, source apportionment, sector contribution, photochemical model,
 NOX, VOC, deposition

33

34 1 INTRODUCTION

Regulatory programs have been in place in the United States for more than 50 years to reduce ambient 35 36 exposure to ozone (O_3) which has harmful effects on human health and vegetation (Bell et al., 2004; U.S. 37 Environmental Protection Agency (EPA), 2009; National Research Council, 1991). Nevertheless, many 38 areas continue to exceed the national ambient air quality standard (NAAQS) for ozone, and uncertainty 39 remains in both the local and distant sources that contribute to exceedances of the NAAQS. The EPA has 40 set a NAAQS for O₃, where compliance with the NAAQS is determined as the three-year average of the 41 4th highest daily maximum 8-hour average O₃. In areas that violate the NAAQS, the states and tribes 42 must develop plans to attain the NAAQS by reducing emissions of O₃ precursors, including volatile organic compounds (VOC) and nitrogen oxides (NO_x). Additionally, Section 110(a)(2)(D) of the Clean Air 43 44 Act requires states, in part, to eliminate significant contribution to nonattainment of the NAAQS in other 45 states. To develop effective O_3 attainment plans, it is important to understand the sources of ozone that contribute to violations of the NAAQS. Sources of O₃ can include local sources, long-range transport 46 (Zhang et al. 2008, 2009; Lin et al. 2012), stratospheric intrusion (Langford et al. 2009), and 47

48 photochemical production of O_3 (PO3) from a wide variety of biogenic and anthropogenic VOC and NO_x 49 precursors (Haagen-Smit 1954; Lefohn et al 2014). For air quality managers who are tasked with 50 developing the most expeditious and cost effective emissions control strategies, it is useful to have 51 methods to identify the relative importance of sources that contribute to high O₃ concentrations, and to 52 predict how O₃ will respond to reductions in VOC and NO_x precursor emissions. Specifically, it is useful to 53 quantify the relative amount of O_3 originating from specific VOC and NO_x emissions sources (or groups 54 of sources, such as an emissions sector), as well as to distinguish locally produced O_3 from O_3 that is 55 transported from upwind sources. Source sensitivity and apportionment approaches have been used to 56 estimate intercontinental ozone contribution (Anenberg et al., 2010; Sudo and Akimoto, 2007; Zhang et 57 al., 2009), and contribution from specific geographic areas (Tong and Mauzerall, 2008), emissions 58 sectors (Fann et al., 2013; Wang et al., 2009; Ying and Krishnan, 2010), and single sources (Bergin et al., 59 2008). The Integrated Source Apportionment Method (ISAM) for PM_{2.5} was previously implemented in 60 the Community Multiscale Air Quality (CMAQ) model (Kwok et al., 2013). Here, the ISAM 61 implementation is extended to analysis of O₃ source apportionment. This implementation is compared 62 directly with source sensitivity apportionment approaches to provide confidence in the implementation.

63

64 **2. REVIEW OF OZONE SOURCE APPORTIONMENT METHODS**

Various methods have been applied to characterize and quantify the relationship between emission sources and ozone concentrations including statistical methods, model sensitivity simulations, and model source apportionment approaches (Cohan and Napelenok, 2011). Statistical approaches using ambient data trends (Porter et al., 2001) or ambient data paired with emissions source characteristics (Kenski et al., 1995; Scheff and Wadden, 1993) have been used in the past as methods for ozone source attribution. Receptor-based approaches such as the chemical mass balance (CMB) or positive matrix factorization (PMF) receptor models provide information about source attribution to ozone precursors, but not directly to ozone (Buzcu and Fraser, 2006; Chung et al., 1996; Kim et al., 2005; Scheff et al., 1996; Tong et al., 2005). Statistical correlation analyses of the regional ozone pattern and time-lagged correlation analyses have also been used to analyze transport effects (Guinnup and Collom, 1997; Husar and Renard, 1997). These studies concluded that transport of O₃ and precursors could occur over the distance of 300-600 km, but did not clearly differentiate the specific origins of transported ozone or the confounding effects of meteorological factors (Guinnup and Collom, 1997).

78

79 Air quality model sensitivity simulations have been widely used to predict how O₃ responds to changes in 80 specific sources of emissions of VOC and NO_x (Russell and Dennis, 2000). Source sensitivity approaches 81 include photochemical model "brute force" simulations, in which a single emission source is reduced or 82 removed, and also model extensions that in a single simulation track multiple emissions sensitivities 83 forward (decoupled direct method, DDM) (Dunker et al., 2002) or backward (adjoint) (Mesbah et al., 84 2012). Model sensitivity approaches have limitations when used for total source culpability, however, 85 because of the nonlinear dependence of O_3 on concentrations of VOC and NO_x . This is especially 86 problematic for evaluating contributions of NO_x because O_3 can have negative sensitivity to NO_x in 87 situations where the ratio of VOC to NO_x is low. Therefore, summing the O₃ change in response to 88 sensitivity simulations for multiple emissions sources can result in difficulty interpreting the cumulative 89 effect of those emissions on O₃.

In source apportionment approaches, the objective is to identify the amount of O₃ produced by
particular emissions sources rather than determining the sensitivity of O₃ to those sources. This
distinction is important in cases where O₃ has a non-linear sensitivity or negative sensitivity to changes
in emissions. Source apportionment methods also have the benefit of estimating contributions from

94	many different VOC and NO_x source categories in a single metric structure of the second structure	odel simulation. To describe the different
95	approaches used in source apportionment methods, it is hel	pful to review the chemistry of O_3
96	formation. In the troposphere, O_3 , nitrogen oxide (NO) and	nitrogen dioxide (NO2) react rapidly in a
97	photo-stationary state (PSS) null cycle, shown in Reactions 1	to 3, which has no net effect on ambient O_3
98	concentrations:	
99		
100	$O_3 + NO \rightarrow NO_2 + O_2$	Reaction 1
	03 + 110 - 2 1102 + 02	
101	$NO_2 + hv \rightarrow NO + O$	Reaction 2
102	$O + O_2 \rightarrow O_3$	Reaction 3
103		
104	Photochemical formation of O_3 (PO3) in the troposphere occ	curs almost exclusively by the oxidation of
105	VOC (Finlayson-Pitts and Pitts, 1986), as illustrated in Reaction	ons 4 to 7 using methane (CH ₄) reactions.
106	While O_3 is not formed directly, Reactions 5 and 7 provide al	ternate pathways to convert NO to NO_2
107	without the loss of O_3 in Reaction 1, thereby allowing O_3 to a	accumulate as shown in Reaction 10:
108		
109	$CH_4 + OH + O_2 \rightarrow CH_3OO + H_2O$	Reaction 4
110	$CH_3OO + NO \rightarrow CH_3O + NO_2$	Reaction 5
111	$CH_3O + O_2 \rightarrow HCHO + HO_2$	Reaction 6

111			Reaction o
112		$HO_2 + NO \rightarrow OH + NO_2$	Reaction7
113		$2 \text{ NO}_2 + \text{hv} \rightarrow 2 \text{ NO} + 2 \text{ O}$	Reaction 8
114		$2 \text{ O} + 2 \text{ O}_2 \rightarrow 2 \text{ O}_3$	Reaction 9
115	Net reaction:		
116		$CH_4 + 4 O_2 \rightarrow HCHO + H_2O + 2 O_3$	Reaction 10

118	Because multiple families of precursors participate in the photochemical formation of O_3 (PO3),
119	including NO _x , VOC and free radicals (HO _x =OH+HO ₂ +RO ₂), the developer of a mass apportionment
120	method for sources of PO3 must determine which precursor is of primary interest for source
121	apportionment. For example, PO3 can be apportioned only on the basis of the NO_x emissions sources,
122	or VOC emissions sources, or sources of HO_x that contribute to PO3 in Reactions 4 to 7. Alternatively, a
123	hybrid approach can be used that combines attribution to multiple families of precursors, in which PO3
124	is attributed to either VOC or NO $_{\rm x}$ sources depending on whether PO3 occurs under VOC- or NO $_{\rm x}$ -
125	sensitive conditions.
126	
127	Ozone source apportionment approaches have been implemented in a number of regional air quality
128	models including the Comprehensive Air-quality Model with Extensions (CAMx) (ENVIRON, 2013), the
129	Model for Ozone and Related chemical Tracers (MOZART-4) (Emmons et al., 2012), the Weather
130	Research and Forecasting with Chemistry (WRF-Chem) model (Pfister et al., 2013), and the Community
131	Multiscale Air Quality (CMAQ) model version 4.6 (Arunachalam, 2010; Ying and Krishnan, 2010).
132	Each of the above approaches augments the model by adopting a system of tracer species to track the
133	sources of ozone and its precursor species for selected groupings of emissions categories and
134	geographical regions. It is useful to define the "bulk" concentration as the model simulated
135	concentration of a given species in the unaugmented model, where the bulk concentration should be
136	identical to the sum of the tracers, <i>e.g.</i> :
137	$C_{bulk,O3}^{i,j,k} = \sum_{n=1}^{N} C_{O3_n}^{i,j,k} $ Equation 1

 $C_{bulk,VOC}^{i,j,k} = \sum_{n=1}^{N} C_{VOC_n}^{i,j,k}$ Equation 2

139
$$C_{bulk,NOx}^{i,j,k} = \sum_{n=1}^{N} C_{NOx_n}^{i,j,k}$$
 Equation 3

where *N* represents the number of tracers needed to represent all sources that contribute to the bulk
species concentration, and *i,j,k* represent cells within the 3-dimensional grid. While each of the models
identified above is augmented with a set of tracers, there are significant differences used in source
apportionment for these models that are summarized below.

144

145 The CAMx Ozone Source Apportionment Technology (OSAT) includes tracers for O₃ and for the families 146 of reactive NO_x and VOC species. The ratio of production of hydrogen peroxide to nitric acid 147 $(PH_2O_2/PHNO_3)$ is used to determine if PO3 occurs in either a NO_x- or VOC-sensitive chemical regime 148 (PH₂O₂/PHNO₃ above or below 0.35, respectively; Sillman 1995). If PO3 occurs in a NO_x-sensitive regime, 149 the NO_x tracers are used to attribute PO3 proportionally to the emissions sources that contributed to 150 the NO_x concentration. Alternatively, if PO3 occurs in a VOC-sensitive regime, the VOC tracers are used 151 to attribute PO3 to the emissions sources that contributed to the VOC concentration. CAMx OSAT does 152 not include tracers for individual VOC species. Instead, to reduce computational cost, the source 153 attribution is based on a VOC family tracer, defined as the reactivity weighted sum of the emissions of 154 individual VOC species for each source category. The VOC tracer decays based on an estimate of its 155 reactivity with OH, and the VOC tracer's contribution to PO3 is estimated based on its maximum 156 incremental reactivity (MIR) (Carter, 1994). The adjustment using MIR also accounts for increased PO3 157 from highly reactive VOC, such as aldehydes and aromatics, which can also act as sources of OH radicals 158 (Jeffries and Tonnesen, 1994). O_3 production and destruction reactions operate simultaneously within 159 the chemical mechanism, so the net change in ozone during a chemistry solver time step in the model 160 simulation is the sum of production and loss:

Delta O3 = PO3 + DO3

Equation 4

where $DO3 \le 0$ indicates chemical destruction of O₃. In CAMx OSAT, PO3 is estimated as the net change in O₃ during the chemistry time step combined with amount of chemical destruction of O₃:

164 PO3 = Delta O3 -DO3 Equation

PO3 is used to update the O₃ tracers attributed to VOC and NO_x emissions sources, and in a separate step the O₃ tracers are reduced by DO3. CAMx OSAT does not consider the reaction of O₃ with NO as chemical destruction, because this reaction occurs as part of the PSS null cycle in Reactions 1 to 3 that neither produces nor destroys O₃. Finally, it should be noted that CAMx OSAT adopts tracers that are updated at each chemistry time step based on chemical reaction rates, but these tracers are not added to the chemical mechanism and therefore do not increase the computational cost of the numerical chemistry algorithm.

172

173 In contrast to CAMx OSAT, the MOZART and WRF-Chem models both adopt a source apportionment 174 method that augments the chemical mechanism with additional species and duplicative reactions that 175 acts as tracers of emissions sources of NO_x. O₃ tracers are updated based only on their attribution to 176 NO_x. These adaptations are primarily appropriate at the global scale, where PO3 is primarily NO_x-limited, 177 and tagging NO_x was an appropriate choice for that purpose (Emmons et al., 2012). However, the 178 MOZART and WRF-Chem source apportionment approach treats Reaction 1 as chemical destruction of 179 O_3 , so that when a stratospheric or boundary condition (BC) O_3 molecule reacts with anthropogenic NO 180 molecule via Reaction 1, the O₃ that is subsequently formed in Reactions 2 and 3 is considered 181 anthropogenic. Because the PSS null cycle does not result in any net PO3, the approach used in 182 MOZART and WRF-Chem could artificially convert tracers of stratospheric and BC O₃ to anthropogenic O₃ 183 and overestimate the contribution of anthropogenic NO_x to O_3 .

185 Ying and Krishnan (2010) implemented a source apportionment algorithm in CMAQ that relies on a set 186 of additional species and duplicative reactions that act as tracers of O₃ produced from individual VOC 187 species. In this case, the model developers were primarily concerned with O_3 attribution to 188 anthropogenic and biogenic VOC in the urban ozone non-attainment area, and therefore tracers were 189 only evaluated for VOC species. The algorithm used the NO₂ production rates in Reactions 5 and 7 to 190 represent PO3, so this method has the benefit of representing total photochemical production of odd 191 oxygen (O_x) which is defined as the sum of O_3 , NO_2 and other species that act as a reservoir of atomic 192 oxygen. However, this approach does not consider the effects that highly reactive VOC species have on 193 production of new radical species which also affects the PO3. Therefore, this approach may 194 underestimate the contribution of high reactivity VOC and overestimate the contribution of low 195 reactivity to PO3. Additionally, because of the large number of additional tracer species and reactions 196 included in the photochemical mechanism, and the resulting increased computational cost, only one 197 VOC emissions source category could be included in each simulation. 198 199 Ozone source attribution analysis can also be performed using the process analysis and integrated 200 reaction rate outputs in the CMAQ and CAMx models. Each model has the option to store hourly mass throughput for each reaction in the chemical mechanism, and post processing can be performed to 201 202 attribute ozone to VOC and NO_x precursors when these processes are coupled with tools such as 203 Lagrangian trajectory models to track source specific transport (Henderson et al., 2011). While these 204 approaches are useful for analyzing chemical production terms within selected grid cells, it is 205 computationally challenging to use this approach for source attribution to specific emissions sources 206 across the full model domain.

208	Evaluating the accuracy of source apportionment model results is challenging, because source
209	contribution of secondary pollutants cannot be assessed independently based on monitoring data.
210	Previous $PM_{2.5}$ source apportionment implementations have been evaluated by comparing source
211	contributions to changes in $PM_{2.5}$ using brute force source model sensitivity simulations and by
212	evaluating conservation of mass in the source apportionment results (Kwok et al., 2013; Wang et al.,
213	2009). Source apportionment and brute force source sensitivity methods should provide similar results
214	when O_3 has a linear or nearly linear sensitivity to changes in precursors' emissions. Therefore,
215	comparisons to sensitivity simulations can be useful for evaluating source apportionment methods.
216	However, in cases where O ₃ has a strong non-linear dependence on precursors, such as the sensitivity to
217	NO_x under radical limited conditions, source apportionment and sensitivity approaches can provide
218	different results. For example, Emmons et al. (2012) found differences of a factor of 2 – 4 when
219	comparing the MOZART O_3 source apportionment method to 20% perturbations in precursor NO_x
220	emissions. Dunker et al. (2002) compared CAMx O_3 source attributions using OSAT and DDM sensitivity
221	simulations and found that the two methods gave similar spatial distributions and that DDM sensitivity
222	simulations explained about 70% of the modelled O_3 concentration. Zhang et al (2005) compared CAMx
223	OSAT, DDM and Process Analysis methods and also found that each method provided generally
224	consistent assessments of source contributions to O_3 , with the exception of urban areas in which O_3 had
225	negative sensitivity to NO _x . In each of the studies described above, small emissions reductions or first-
226	order DDM sensitivities do not account for non-linearity in the O_3 response to precursors and may not
227	provide a reliable test for evaluating source apportionment approaches. Tonnesen (1999) found that
228	model sensitivity analyses using small emissions changes did not accurately characterize the effect of
229	uncertainty in model inputs on O_3 attainment strategies and recommended that large emissions changes
230	should be used to assess model sensitivity. Therefore, similar to previous studies, ISAM O ₃ contributions

231	are compared here with model sensitivity simulations to determine if ISAM provides generally
232	consistent results. However, instead of using small emissions changes, we use brute force zero-out
233	scenarios of emissions sectors to account more reliably for non-linearity in the O ₃ response to changes in
234	precursors. While we expect that there will be some differences in the sensitivity and source
235	apportionment results, especially for strongly non-linear NO_x sensitivity in urban areas, we believe this
236	approach to be useful for evaluating the accuracy of ISAM O ₃ source attributions for conditions that do
237	not have strongly non-linear sensitivities.

- 238
- 239
- 240 3 METHOD

241 3.1 Implementation Overview

242 The ISAM for O_3 has been implemented in the CMAQ version 5.0.2 model, which was developed by the 243 United States Environmental Protection Agency (EPA) and is used by EPA, other regulatory agencies, and 244 academic institutions to characterize local to continental scale ozone formation and transport (Byun and 245 Schere, 2006; Foley et al., 2010). The ISAM O₃ source apportionment implementation is designed to 246 track the contribution from user selected categories of NO_x and VOC emissions to model estimated NO_x, 247 VOC, and ozone concentration and deposition. In addition to precursor emissions, the model tracks O₃, 248 NO_x, and VOC from the lateral boundary conditions, and initial conditions. Precursor emissions tracers 249 can be defined geographically using an additional model input file that assigns the fractional area of 250 each model grid cell to specified sub-regions (typically a State or Province). Precursor emissions tracers 251 can also be defined by source sector (typically, major point sources, mobile sources, biogenic sources, 252 etc.) or for specific point sources with a tag identification environment variable associated with each

point source stack on the model ready input file. The user may also combine the emissions source sector
and the specific geographic sub-region functionality. This implementation adds to the previous version
of PM_{2.5} ISAM code and uses many of the same approaches that were presented in detail by Kwok et al
(2013). Only new ozone specific physical and chemical algorithms are described here.

257

258 The ozone source apportionment approach implemented in CMAQ is similar to the approach 259 implemented in CAMx (ENVIRON, 2013), but uses tracers for individual nitrogen and VOC species, 260 whereas CAMx uses two tracers to represent the families of NO_x and VOC. Ozone production is 261 attributed to either VOC or NO_x emissions sources based on the ozone chemical formation regime that is 262 estimated using the $PH_2O_2/PHNO_3$ indicator ratio, similar to the implementation in CAMx. As described 263 above, the bulk concentration of each VOC and NO_x species is equal to the sum of the tracers used to 264 identify the sources of VOC and NO_x. The bulk O₃ concentration in each model grid cell is equal to the 265 sum of O_3 tracers that were produced in either VOC- or NO_x-sensitive conditions:

266

267
$$O3_{bulk} = \sum_{tag} O3V_{tag} + \sum_{tag} O3N_{tag}$$
 Equation 6

268

where *O3V_{tag}* and *O3N_{tag}* are the VOC-sensitive and NO_x-sensitive O₃ attributed to each tag source,
respectively. The implementation described here is for the Carbon Bond 2005 (CB05) photochemical
mechanism that uses a reduced set of model VOC species (Yarwood et al, 2005).Tracers are defined for
the 14 CB05 VOC species contributing to ozone formation including acetaldehyde (ALD2), higher
aldehydes (ALDX), ethene (ETH), ethane (ETHA), ethanol (ETOH), formaldehyde (FORM), internal olefin
(IOLE), isoprene (ISOP), methanol (MEOH), olefin (OLE), paraffin (PAR), mono-terpene (TERP), toluene

275	(TOL), and xylene (XYL) (Table 1). The nine nitrogen compounds in CB05 that participate in the O $_3$
276	formation chemistry include NO, NO $_2$, nitrogen trioxide (NO $_3$), dinitrogen pentoxide (N $_2O_5$), nitrous acid
277	(HONO), peroxyacyl nitrates (PAN), higher peroxyacyl nitrates (PANX), peroxynitric acid (PNA), and
278	organic nitrates (NTR).
270	
279	ISAM apportions CMAQ-calculated wet and dry deposition of O ₃ , NO _x , and all VOC species into individual
280	sources as done in the previous $PM_{2.5}$ ISAM code. Both of these processes follow simple linear
281	algorithms where the mass removed is a function of existing mass and a removal coefficient and thus

did not require additional consideration for the ozone implementation.

283

In the CMAQ gas phase chemistry module, nitrogen species are updated by chemical sensitivity
approach as in Kwok et al (2013). Likewise, the explicit VOC tracers are entered into the same algorithm
in a matrix solution:

287
$$\left[VOC_{s,tag}^{new}\right] = \left(\mathbf{I} - \frac{\Delta t}{2}\mathbf{J}\right)^{-1} \left(\mathbf{I} + \frac{\Delta t}{2}\mathbf{J}\right) \left[VOC_{s,tag}^{old}\right]$$
Equation 7

, where $VOC_{s,tag}^{new/old}$ is the VOC species *j* for sector *tag* before (*old*) or after (*new*) the Jacobian 288 289 calculation; I the identity matrix; J the Jacobian matrix calculated based on the average of bulk concentrations before and after any gas-phase solver for CB05 model species $\left(\frac{[C_{S,bulk}^{new}] + [C_{S,bulk}^{old}]}{2}\right)$ (e.g. 290 Euler Backward Method, which is used here). This system is solved by decomposing $(\mathbf{I} - \frac{\Delta t}{2}\mathbf{J})^{-1}(\mathbf{I} + \frac{\Delta t}{2}\mathbf{J})$ 291 292 into a product of lower and upper triangular matrices, which is known as LU decomposition. The solution 293 is obtained only once for every model synchronization time step Δt instead of incremental chemical time 294 steps to increase computational efficiency at little expense to accuracy as was previously shown in the 295 original implementation of the CMAQ decoupled direct method (DDM) (Hakami, 2004).

297 3.2 Ozone Regime Indicators

298 The ratio of the instantaneous production rates of hydrogen peroxide to nitric acid $(PH_2O_2/PHNO_3)$ is 299 used as an indicator to distinguish photochemical regimes, in which PO3 is primarily sensitive to either 300 VOC or NO_x. Kleinman (1994) evaluated the dependence of H_2O_2 on high and low NO_x photochemical 301 regimes and Sillman (1995) proposed that a ratio of H_2O_2/HNO_3 equal to 0.35 should distinguish NO_{x^-} 302 sensitive regimes ($H_2O_2/HNO_3 > 0.35$) versus VOC-sensitive regimes ($H_2O_2/HNO_3 < 0.35$). Sillman (1995) 303 evaluated the modelled daily maximum O_3 sensitivity to VOC and NO_x as a function of the H_2O_2/HNO_3 304 ratio and found that transition from VOC-sensitive to NO_x-sensitive regimes occurred at ratios in the 305 range of 0.35 to 0.6, with the higher ratio occurring in aged air masses, in which concentrations of H_2O_2 306 and HNO₃ may have been affected by deposition. Tonnesen and Dennis (2000a,b) evaluated indicators 307 of instantaneous production of O_x (POx) and of daily maximum O_3 concentration and found that 308 indicator ratios had mixed performance for daily maximum O₃ concentration because of the effects of 309 background concentrations and deposition. However, Tonnesen and Dennis (2000a) found that 310 $PH_2O_2/PHNO_3$ was an extremely robust indicator for instantaneous POx sensitivity. Numerous other 311 studies have evaluated the performance of several different indicator ratios for daily maximum O₃ 312 sensitivity to VOC and NO_x (Milford et al., 1994; Lu et al., 1998; Vogel et al., 1999; Sillman et al., 2000; 313 Andreani-Aksoyoglu, 2002; Jimenez and Baldasano, 2004; Liang et al., 2006; Zhang et al., 2009; Peng et 314 al., 2011; Torres-Jordan et al., 2012). While these studies have found variable and sometimes conflicting 315 results for the usefulness of indicator ratios, each evaluated indicators of daily maximum O₃ 316 concentration rather than PO3. Based on the most commonly used indicator ratio $PH_2O_2/PHNO_3$, ISAM 317 attributes the instantaneous production term PO3 to either VOC or NO_x tracers.

296

Because O₃ production and loss processes occur simultaneously, the total PO3 and DO3 terms are calculated and used to update the O₃ tracers at each time step in the numerical chemistry solver used in the model, using the same approach as CAMx (ENVIRON, 2013). When PO3 occurs in any grid cell, PH₂O₂/PHNO₃ is used to determine if PO3 is primarily NO_x- or VOC-sensitive (above or below 0.35, respectively), and the O₃ tracers are updated with the production to intermediate $O3N_{tag}^{middle}$ and $O3V_{tag}^{middle}$ using:

325

326 NOx-sensitive
$$O3N_{tag}^{middle} = O3N_{tag}^{old} + PO3_{bulk} \times \frac{NO_{tag}^{old} + NO2_{tag}^{old}}{\sum_{tag} \left(NO_{tag}^{old} + NO2_{tag}^{old}\right)}$$
 Equation 8

327

328 VOC-sensitive
$$O3V_{tag}^{middle} = O3V_{tag}^{old} + PO3_{bulk} \times \frac{\sum_{s} (VOC_{s,tag}^{old} \times MIR_s)}{\sum_{tag} \sum_{s} (VOC_{s,tag}^{old} \times MIR_s)}$$
 Equation 9

329

Here, $VOC_{s,tag}^{old}$ is the concentration of VOC species *s* for source sector *tag. PO3_{bulk}* is the production of ozone in the grid cell. Table 1 lists the maximum incremental reactivity (MIR) for each VOC species *s*, developed by Carter (1994) and tabulated by ENVIRON (2013), that are used to approximate the relative ozone forming potential of the VOC species. Carter (1994) also described alternative reactivity methods such as Maximum Ozone Incremental Reactivity (MOIR), and Equal Benefit Incremental Reactivity (EBIR). These alternate scales were also evaluated but did not provide significantly different results.

- 336 Following the ozone production apportionment, subsequent apportionment of ozone destruction
- 337 (where DO3 <= 0) assumes only its depletion in both regimes for each sector:

338
$$O3X_{tag}^{new} = O3X_{tag}^{middle} + DO3_{bulk} \times \frac{O3X_{tag}^{middle}}{\sum_{tag} \left(O3N_{tag}^{middle} + O3V_{tag}^{middle}\right)}$$
Equation 10

339 where X is either N or V.

340

341 4 APPLICATION AND EVALUATION

342 A model simulation from June 28 to July 5, 2007 for the State of California (CA) using 12 km sized grid 343 cells (79 columns and 106 rows) and 24 vertical layers was used to evaluate the CMAQ ozone ISAM. 344 Anthropogenic emissions inputs were based on the 2008 National Emission Inventory (NEI) version 2 345 (U.S. Environmental Protection Agency, 2013). Year specific emissions were included for electrical 346 generating units. Meteorological inputs were generated using the Weather Research Forecasting (WRF) 347 model (Skamarock et al., 2008). Biogenic VOC and NO_x emissions were estimated with the Biogenic 348 Emissions Inventory System (BEIS) version 3.14 using temperature and solar radiation from the WRF 349 model as inputs to BEIS (Carlton and Baker, 2011). Mexican emissions were projected from a 1999 350 inventory (U.S. Environmental Protection Agency, 2011b). The 12 km model domain was nested in a 36 351 km continental domain, and boundary inflow to the 36 km domain were based on spatially and 352 temporally variant concentration data from a 2007 year-specific annual GEOS-Chem version 8-03-02 353 simulation (Harvard University, 2012).

354 To demonstrate the functionality of ISAM, eight emission sectors were chosen as tracked contributors to 355 ozone formation. The five point source sectors represented electricity generating units (EGU), non-356 electricity generating units (Non-EGU), wild fires (FIRE), commercial marine (MARINE), and point sources 357 in Mexico (MEX). The three area sources were on-road mobile (ONRD), non-road mobile (NNRD), and 358 biogenic (BIOG). Tracers were also used for O_3 , VOC and NO_x from the lateral boundary conditions 359 (BCON) and initial conditions (ICON). Finally, a single additional tracer (OTHR) was used for all remaining 360 emissions categories that were not explicitly tracked. Table 2 displays emission rates of NO_x and 361 aggregated VOC in those sectors. Percentages of the total emissions contributed by each sector are also

listed for reference. For the modelled region, the leading NO_x emissions sectors by mass were ONRD
(49.1%), NNRD (13.7%) and BIOG (9.1%), though the untracked emissions accounted for 15.8%. VOC
emissions were dominated mostly by BIOG (88.9%). ISAM also has the capability to track regional
sources with a user-provided map file in IOAPI/netCDF format and specific flagged point sources.
Further details of the brute force setup are described in Section 4.2.

367

368 *4.1 Sector contributions*

369 Figure 1 displays spatial plots of individual contributing sectors to ambient O₃ in CA at 16:00 local time 370 on July 5th, 2007. On this day meteorological conditions were generally stagnant, sunny with light 371 northerly to northwesterly winds. The CMAQ model performed well this day with an O₃ bias of 4.7ppb 372 and average error of 9ppb across the domain during daytime hours. Nighttime hours were excluded 373 from ozone analysis, because ISAM was not designed to predict titration events that often occur at night 374 in areas of large NO_x emissions. For this application, the BCON contribution (Figure 1-j) is largest with 375 contribution from 20 to 40 ppb in coastal CA and contributions of 40 to 60 ppb in eastern CA. 376 Contributions from surface emissions sectors including ONRD and NNRD are also notable with 377 contributions to O₃ as much as 64 ppb near urban areas. BIOG emissions were also an important 378 contributor to O₃ with a maximum of 39 ppb in the central valley. The elevated point source emissions 379 sectors of EGU, Non-EGU, MEX, and MARINE contribute relatively less to O₃ at the surface layer. Spatial 380 correspondence is evident among O_3 (Figure 1), NO_x, and VOC concentrations (Supp Figures 1 and 2), as 381 well as NO_x and VOC emissions (Supp Figures 3 and 4) for most sectors suggesting that ISAM is 382 predicting realistic source-signatures. For example, the wild fire in northern CA is reflected in O₃ (Figure 383 1-b), precursor concentrations (Supp Figures 1-b and 2-b) and emissions (Supp Figures 3-b and 4-b). O_3 384 produced from emission in the marine sector is distributed mostly along the coast (Figure 1-h), which is

385	also seen in NOx and VOC concentrations (Supp Figures 1-h and 2-h). The corresponding marine
386	emission plot tiles (Supp Figures 3-h and 4-h) indicate sources mostly near the San Francisco Bay area
387	and the Port of Los Angeles. BCON contributions are highest at the lateral edges of the domain and in
388	areas of elevated terrain as expected.

389 The ISAM contributions also realistically change in time similar to bulk modelled estimates and ambient 390 measurements. This is demonstrated for two O₃ monitor locations, at Riverside in Figure 2-a and 391 Sacramento in Figure 2-b, where monitor data are displayed with the model simulated ozone and ISAM-392 attributed data. Each location had data availability at six separate monitoring sites and Figure 2 shows 393 the average measured and modeled quantities. Individual monitor results are shown in Supp Fig 5. 394 Despite clear differences in the ozone formation behaviour at the two locations, including lower O₃ 395 concentrations and greater nighttime titration of O_3 by NO_x at the Sacramento monitor, the observed O_3 396 levels at the two sites are reproduced by CMAQ. Results presented in Supplement Fig 5 and Figure 2 397 demonstrate the base model's ability to capture the temporal and regional variability in observed ozone.

398

399 4.2 ISAM/brute force comparisons

The brute force or zero-out approach was used to provide an estimate of source contribution for 400 401 comparison with source contribution estimated with the O_3 source apportionment algorithm. The brute 402 force source sensitivity approach determines O₃ response to partial or total removal of an emission 403 sector/region/species of interest, whereas ISAM was used to provide an alternate estimate of source 404 sector/region/species' contribution to O_3 . These approaches provide similar results in linear systems 405 and less similar results in more non-linear systems. Therefore, given the nature of these approaches, 406 source estimates will be similar but should never match given the inherent differences in methodology. 407 Throughout this study, three types of brute force emission datasets were constructed for each sector.

408	The first type removes both NO_x and VOC emissions from each tracked source, denoted by "Both-out".
409	The second one only removes NO _x , denoted "N-out". The third only removes VOC, denoted by "V-out".
410	Since the formation regime of boundary inflow O_3 is unknown, the "Both-out" includes zero-out of
411	BCON O_3 , NO, NO ₂ , and the VOCs. The Both-out brute force simulations were used to compare ISAM O_3
412	collectively from both VOC- and NO_x -sensitive regimes. The N-out was used to compare ISAM NO_x -
413	limited O_3 (O3N) as well as ISAM NO _x , while the V-out assessed ISAM VOC-limited O_3 (O3V) as well as
414	ISAM VOC. Bearing in mind that any zero-out run is subtracted from the base case run so that the
415	resulting difference is compared with the corresponding ISAM sector, the remainder of this manuscript
416	will refer to this difference simply as "Both-out", "N-out" or "V-out".

418 **Ozone**

419 Figure 3 compares ISAM and Both-out results for O₃ from each tracked sector. Data points are daytime-420 averaged (6 am to 6 pm Pacific Daylight Time) for each grid cell. In general, surface emissions such as 421 BIOG, NNRD and ONRD (Table 2) give rise to higher surface O₃ concentrations attributed to these 422 sectors. Negative O₃ brute force response in Non-EGU, ONRD, and MEX (Figures 3-c, e, and f) implies a 423 disbenefit (i.e., O_3 increase) from removing both NO_x and VOC emissions from these sectors. This is 424 consistent with previous model sensitivity studies which show disbenefits for NO_x emissions reductions, 425 especially in urban areas that have typically low VOC/NO_x ratios (Jimenez and Baldasano 2004; Zhang et 426 al 2009). ISAM is designed to track sources that contribute to O₃ production, and Figure 3-e shows that 427 even in cases where O_3 has a negative sensitivity to changes in ONRD emissions in certain grid cells, 428 those emissions in an unperturbed environment contribute to O_3 production.

430 The high BCON O₃ attribution by ISAM and Both-out shows notable inflow of O₃ from the boundaries as 431 shown more clearly in the stacked bar charts in Figure 4. The global scale GEOS-Chem model is used to 432 provide the O_3 BC, and therefore, source attribution of O_3 would also have to be used in GEOS-Chem to 433 identify the sources that contribute to O₃ inflow at the boundary. However, ISAM predicts systematically 434 more BCON O₃ than the Both-out case. By comparing domain-averaged daily total O₃ of all sectors 435 (including unspecified emissions OTHR) among ISAM, Both-out and CMAQ bulk concentrations (Figure 436 4), it is evident that the sum of ISAM contributions closely matches the bulk O_3 , but the sum of zero-out 437 contributions is significantly lower than the bulk ozone concentration (15% lower on average). While 438 ISAM appears to conserve bulk mass as designed, the zero-out case shifts the chemical system into 439 another part of the non-linear, often negative, O_3 response to source change. Similar qualitative 440 features are also exhibited in total O_3 deposition (Supp Figures 6 and 7).

Perhaps one of the most substantial ISAM/Both-out comparison contrasts lies in the BIOG sector, in

442 which ISAM sometimes attributes approximately half as much O₃ as Both-out. Previous studies have also

found strong nonlinearity in the model response to biogenic emissions (Chameides et al., 1988).

Biogenic VOC emissions are generally large in rural areas with low NO_x emissions where O_3 is less

sensitive to changes in VOC emissions in these areas. Yet the dominance of biogenic VOC alone cannot

446 adequately explain the ISAM/Both-out discrepancy.

Another CMAQ diagnostic tool called decoupled direct method in three dimensions with high order terms (HDDM-3D)(Napelenok et al 2008) was also used to calculate the biogenic O₃ contribution. The output of CMAQ-HDDM provides both first and second order O₃ sensitivity to a perturbation in the biogenic sector, which is then scaled to 100% emissions rates. With all-hour samples averaged, Figure 5 shows that the first order DDM approximation explains only 67% of the brute force response, while the second order DDM approximation explains 88% of the zero-out response. This results suggests a highly 453 nonlinear system in which a zero-out difference is the least likely to compare well with the source454 apportionment results.

455

456 **NOx**

457 In addition to estimating O_3 contribution from precursors, ISAM also allows for tracking precursor NO_x to 458 model estimated nitrogen containing species concentration and deposition. Figure 6 shows ISAM/N-out 459 NO_x scatter plots for individual sectors. For the modelled region, the most dominant sector is ONRD, 460 followed by NNRD and MARINE, as shown more clearly in stacked bar plots in Figure 7. Expectedly, the 461 order in maximum NO_x concentrations in those sectors is similar to that in the domain-total NO_x 462 emissions (Table 2), in which ONRD and NNRD NO_x emissions dominate. It is interesting to note that the 463 high NO_x concentrations in ONRD, NNRD and MARINE sectors are where VOC/NO_x emissions ratios are 464 low. Conversely, the low NO_x concentration in BIOG sector is where a very large VOC/NO_x emissions 465 ratio occurs. 466 All sectors have correlation coefficients of above 0.90 for the NO_x comparison (Figure 6). Qualitative 467 features in total NO_x deposition (Supp Figures 8 and 9) are also similar to those of the corresponding 468 ambient concentrations (Figures 6 and 7). 469 470 VOC 471 Figure 8 shows ISAM/V-out scatter plots of carbon-weighted VOC for individual sectors, which is

472 calculated from ISAM-output VOC species:

474
$$V_{tag} = \sum_{s} VOC_{s,tag} \times NCARB_{s}$$
 Equation 11

475 , where V_{tag} is the aggregated VOC for each tag; $VOC_{s,tag}$ ISAM-output CB05 species s for each tag; 476 and $NCARB_s$ the number of carbon atoms in species s (See Table 1 for the complete list).

477 Correlations are high in most sectors except for EGU and MARINE (Figure 8-g and 8-h), but magnitudes
478 are also small for these two sectors. While BIOG is the most dominant VOC sector, the high maximum
479 VOC concentrations from FIRE do not necessarily lead to a bigger share in the domain-averaged VOC
480 concentration (Figure 9). In fact, domain-wide major VOC sectors are BIOG, BCON and ONRD (Figure 9).

481 Similar features are evident in the total VOC deposition (Supplement Figures 10 and 11).

482 To more closely examine the evolution of individual VOC species in BIOG, BCON and ONRD sectors,

483 daytime domain-averaged ambient concentrations and daily total deposition of individual VOC species

484 are displayed (Supplement Figures 12-a, 12-c, 13-a, 13-c, 14-a and 14-c). Further, we explore the

485 influence of gas-phase degradation of those VOCs by calculating ISAM and V-out contributions from the

486 three sectors while turning off the gas and aerosol chemistry. The corresponding VOC breakdowns were

487 also displayed in Supplement Figures 12-b, 12-d, 13-b, 13-d, 14-b and 14-d. Prior to gas-phase chemistry,

488 VOC portions are very similar between ISAM and V-out in all the three sectors. Although evolution

489 characteristics of the VOC species with photochemistry are different across these sectors, secondary

490 formation of acetaldehyde ALD2, high aldehydes ALDX, and formaldehydes FORM is evident in BIOG and

491 ONRD emissions sectors where primary emissions of the aldehydes are low. These results are consistent

492 with the modelled VOCs' degeneration into formaldehyde (or higher aldehydes) as illustrated in

493 Reactions 4 through 6. On the other hand, the evolution of BCON's aldehydes is more complicated, since

494 both imported and secondarily formed aldehydes can be equally important, none of which were

495 explicitly distinguished by ISAM.

497 5 SUMMARY & DISCUSSION

498 General similarities between ISAM and zero-out cases establish credibility of the ISAM results, while 499 specific differences, whether in magnitude or in relative portions, demonstrate different functionalities 500 of the two approaches. The choice of appropriate methodology depends on whether source 501 sector/region attribution or sensitivity is of interest Implementation of O₃ tracking capability in CMAQ-502 ISAM for the CB05 gas-phase chemical mechanism adopts the two-regime approach, with nitrogen and 503 VOC species explicitly tracked through all chemical transport model science processes to facilitate 504 analysis of their chemical and physical transformations. Brute force zero-out CMAQ model simulations 505 serve as a reference to compare the ISAM results applied for a California application in the summer of 506 2007. In general, correlations between ISAM/zero-out estimates are high for both ambient 507 concentration and deposition of O_3 for the major emissions sectors. ISAM estimates of NO_x are higher 508 than nitrogen-out in most sectors except boundary condition. And ISAM VOC estimates are similar when 509 compared to VOC-out in most sectors except EGU and MARINE. Differences between ISAM and zero-out 510 were found in the tracking of O_3 from biogenic emissions, where the model sometimes predicts half of 511 the contribution indicated by zero-out. In the condition of extremely low NO emissions in this sector, 512 high nonlinearity in the gas phase chemistry, supported by the pronounced difference between DDMbased apportionment using 1st order sensitivity coefficients and using 1st and 2nd order coefficients, was 513 514 found to be responsible for this discrepancy.

515

Explicit VOC tracking, available in ISAM, also provides new opportunities to analyze species-specific
ozone formation mechanisms (see Supp Figs). This approach not only complements results derived from
receptor-based models such as CMB and PMF, but also offers a diagnostic tool to track the chemical
evolution of the VOC species that cannot be otherwise adequately explained by receptor-based models

520	alone. In addition to providing VOC contribution information similar to a receptor based source	

- 521 apportionment model, this source-based approach also estimates contribution for nitrogen species, O₃,
- 522 and deposition of each.
- 523 The source apportionment technique is recommended when an assessment of contributing sources is
- 524 desired for model predicted species. Where the change in air quality resulting from perturbing
- 525 contributing sources is desired then a source sensitivity approach such as brute-force or DDM may be
- 526 more appropriate. Further, source apportionment should generally be applied for sources or source
- 527 groups that are well characterized since limitations in the emissions inventory will manifest in
- 528 photochemical model and source contribution estimates.

529 Disclaimer

- 530 Although this work was reviewed by EPA and approved for publication, it may not necessarily reflect
- 531 official Agency policy.

532 Acknowledgements

- 533 The authors would like to recognize the contribution of David Wong, Lara Reynolds, Allan Beidler, James
- 534 Beidler, Chris Allen, and Heather Simon.

535 References

- Andreani-Aksoyoglu, S., Keller, J., Prevot, Andre, 2002. Applicability of Indicator-Based Approach to
 Assess Ozone Sensitivities: A Model Study in Switzerland. Air Pollution Modelling and Simulation, 21-29.
- Anenberg, S.C., Horowitz, L.W., Tong, D.Q., West, J.J., 2010. An Estimate of the Global Burden of
 Anthropogenic Ozone and Fine Particulate Matter on Premature Human Mortality Using Atmospheric
 Modeling. Environmental Health Perspectives 118, 1189-1195.
- Arunachalam, S., 2010. Peer Review of Source Apportionment Tools in CAMx and CMAQ. UNC-Chapel
 Hill, Contract no. EP-D-07-102, Assignment no. 2-06, Version 2.

- Bell, M.L., McDermott, A., Zeger, S.L., Samet, J.M., Dominici, F., 2004. Ozone and short-term mortality in
 95 US urban communities, 1987-2000. Journal of the American Medical Association 292, 2372-2378.
- Bergin, M.S., Russell, A.G., Odman, M.T., Cohan, D.S., Chameides, W.L., 2008. Single-Source Impact
 Analysis Using Three-Dimensional Air Quality Models. Journal of the Air & Waste Management
 Association 58, 1351-1359.
- 548 Buzcu, B., Fraser, M.P., 2006. Source identification and apportionment of volatile organic compounds in 549 Houston, TX. Atmospheric Environment 40, 2385-2400.
- Byun, D., Schere, K.L., 2006. Review of the governing equations, computational algorithms, and other
 components of the models-3 Community Multiscale Air Quality (CMAQ) modeling system. Applied
 Mechanics Reviews 59, 51-77.
- Carlton, A.G., Baker, K.R., 2011. Photochemical modeling of the Ozark isoprene volcano: MEGAN, BEIS,
 and their impacts on air quality predictions. Environmental Science & Technology, 45, 4438-4445.
- 555 Carter, W.P.L., 1994. Development of ozone reactivity scales for volatile organic compounds. Journal of 556 the Air and Waste Management Association 44, 881-899.
- 557 Chameides, W. L., Lindsay, R. W., Richardson, J., Kiang, C. S. 1988. "The role of biogenic hydrocarbons in 558 urban photochemical smog - Atlanta as a case-study." Science 241(4872): 1473-1475.
- Chung, J., Wadden, R.A., Scheff, P.A., 1996. Development of ozone-precursor relationships using VOC
 receptor modeling. Atmospheric Environment 30, 3167-3179.
- 561 Cohan, D.S., Hakami, A., Hu, Y., Russell, A.G. (2005). Nonlinear response of ozone to emissions: Source
 562 apportionment and sensitivity analysis. Environmental Science & Technology, 39: 6739-6748
- 563 Cohan, D.S., Napelenok, S.L., 2011. Air Quality Response Modeling for Decision Support. Atmosphere 2,564 407-425.
- 565 Dunker, A.M., Yarwood, G., Ortmann, J.P., Wilson, G.M., 2002. Comparison of source apportionment
- and source sensitivity of ozone in a three-dimensional air quality model. Environmental Science &
 Technology 36, 2953-2964.
- Emmons, L.K., Hess, P.G., Lamarque, J.F., Pfister, G.G., 2012. Tagged ozone mechanism for MOZART-4,
 CAM-chem and other chemical transport models. Geoscientific Model Development 5, 1531-1542.
- 570 ENVIRON, 2013. User's Guide Comprehensive Air Quality Model with Extensions. ENVIRON International 571 Corporation, Novato, California, <u>www.camx.com</u>.
- 572 Fann, N., Fulcher, C.M., Baker, K.R., 2013. The recent and future health burden of air pollution 573 apportioned across 23 US sectors. Environmental Science & Technology.
- 574 Foley, K. M., Roselle, S. J., Appel, K. W., Bhave, P. V., Pleim, J. E., Otte, T. L., Mathur, R., Sarwar, G.,
- 575 Young, J. O., Gilliam, R. C., Nolte, C. G., Kelly, J. T., Gilliland, A. B., Bash, J. O. 2010. "Incremental testing
- of the Community Multiscale Air Quality (CMAQ) modeling system version 4.7." Geosci. Model Dev. 3(1):
- 577 205-226.

- 578 Finlayson-Pitts, B.J. and J.N. Pitts, Jr. 1986. *Atmospheric Chemistry: Fundamentals and Experimental* 579 *Techniques*. New York: Wiley-Interscience Publication. 1098pp.
- 580 Guinnup, D. and Collom, B., 1997. Final Report, Vol. I: Executive Summary, OTAG Air Quality Analysis 581 Workgroup. (<u>http://capita.wustl.edu/otag/reports/aqafinvol_l/animations/v1_exsumanimb.html</u>)
- Husar, R and Renard, W, 1997. Ozone as a function of local wind direction and wind speed: Evidence of
 local and regional transport. (<u>http://capita.wustl.edu/otag/Reports/OTAGWIND/OTAGWIND.html</u>)
- 584 Jeffries, H.E., Tonnesen, S., 1994. A comparison of two photochemical reaction mechanisms using a 585 mass balance and process analysis. Atmospheric Environment 28, 2991-3003.
- 586 Mathur, R., Sarwar, G., Young, J.O., Gilliam, R.C., Nolte, C.G., Kelly, J.T., Gilliland, A.B., Bash, J.O., 2010.
- Incremental testing of the Community Multiscale Air Quality (CMAQ) modeling system version 4.7.Geoscientific Model Development 3, 205-226.
- Haagen-Smit, A.J, Fox, M.M., 1954. Photochemical Ozone Formation with Hydrocarbons and Automobile
 Exhaust. Air Repair, 4:3, 105-136, DOI: 10.1080/00966665.1954.10467649.
- Hakami, A., Odman, M.T., Russell, A.G., 2004. Nonlinearity of the tropospheric ozone production.
 Journal of Geophysical Research, 109, D15303, doi:10.10292003JD004502.
- 593 Harvard University, 2012. GEOS-Chem Overview.
 594 http://acmg.seas.harvard.edu/geos/geos_overview.html.
- Henderson, B. H., Kimura, Y., McDonald-Buller, E., Allen, D. T., Vizuete, W., 2011. Comparison of
 Lagrangian Process Analysis tools for Eulerian air quality models. Atmos. Environ. 45(29): 5200-5211.

Jimenez, P., Baldasano, J.M., 2004. Ozone response to precursor controls in very complex terrains: Use
of photochemical indicators to assess O3-NOx-VOC sensitivity in the northeastern Iberian Peninsula.
Journal of Geophysical Research, 109, D20309, doi: 10.1029/2004JD004985.

- Kenski, D.M., Wadden, R.A., Scheff, P.A., Lonneman, W.A., 1995. Receptor Modeling Approach to VOC
 Emission Inventory Validation. Journal of Environmental Engineering-Asce 121, 483-491.
- Kim, E., Brown, S.G., Hafner, H.R., Hopke, P.K., 2005. Characterization of non-methane volatile organic
- 603 compounds sources in Houston during 2001 using positive matrix factorization. Atmospheric604 Environment 39, 5934-5946.
- Kleinman, L., Lee, Y-N., Springston, S.R., Nunnermacker, L., Zhou, X., Brown, R., Hallock, K., Klotz, P.,
- Leahy, D., Lee, J.H., Newman, L., 1994. Ozone formation at a rural site in the southeastern United States.
 Journal of Geophysical Research, 99, D2, 3469-3482.
- 608 Kwok,R.H.F., Napelenok, S,L, Baker, K.R., 2013. Implementation and evaluation of PM2.5 source 609 contribution analysis in a photochemical model. Atmospheric Environment 80, 398-407.
- Langford, A. O., Aikin, K. C., Eubank, C. S., Williams E. J., 2009, Stratospheric contribution to high surface
- ozone in Colorado during springtime, Geophysical Research Letter, 36, L12801,
- 612 doi:10.1029/2009GL038367.

- Lefohn, A. S., Emery, C., Shadwick, D., Wernli, H., Jung, J., Oltmans, S. J., 2014. Estimates of background
- surface ozone concentrations in the United States based on model-derived source apportionment,
- Atmospheric Environment, Volume 84, 275-288, <u>http://dx.doi.org/10.1016/j.atmosenv.2013.11.033</u>.
- Liang, J., Jackson, B., Kaduwela, A., 2006. Evaluation of the ability of indicator species ratios to
- 617 determine the sensitivity of ozone to reductions in emissions of volatile organic compounds and oxides
- of nitrogen in northern California. Atmospheric Environment 40, 5156-5166.
- Lin, M., Fiore, A.M., Horowitz, L.W., Cooper, O.R., Naik, V., Holloway, J., Johnson, B.J., Middlebrook,
- 620 A.M., Oltmans, S.J., Pollack, I.B., Ryerson, T.B., Warner, J.X., Wiedinmyer, C., Wilson, J., Wyman, B.,
- 621 2012, Transport of Asian ozone pollution into surface air over the western United States in spring,
- Journal of Geophysical Research, 117, D00V07, doi:10.1029/2011JD016961.
- Lu, C.-H., and J. Chang, 1998, On the indicator-based approach to assess ozone sensitivities and emission features, J. Geophys. Res., 103, 3453–3462.
- 625 Mesbah, S.M., Hakami, A., Schott, S., 2012. Improving NOx Cap-and-Trade System with Adjoint-Based
- 626 Emission Exchange Rates. Environmental Science & Technology 46, 11905-11912.
- Milford, J. B., Gao, D. F., Zafirakou, A., Pierce, T. E., 1994. Ozone precursor levels and responses to
 emissions reductions analysis of regional oxidant model results. Atmos. Environ. 28(12): 2093-2104.
- Napelenok, S.L., Cohan, D.S., Odman, M.T., Tonse, S., 2008. Extension and evaluation of sensitivity
 analysis capabilities in a photochemical model. Environmental Modelling Software, 23(8): 994-999.
- National Research Council 1991. Rethinking the ozone problem in urban and regional air pollution.National Academy Press, Washington D.C.
- Peng, Y-P, Chen, K-S, Wang, H-K, Lai, C-H, Lin, M-H, Lee, C-H., 2011. Applying model simulation and
 photochemical indicators to evaluate ozone sensitivity in southern Taiwan. Journal of Environmental
 Sciences, 23(5), 790-797.
- Pfister, G., S. Walters, L. Emmons, D.P. Edwards, and J. Avise, 2013: Quantifying the contribution of
 inflow on surface ozone over California during summer 2008. Journal of Geophysical Research-
- 638 Atmospheres, 118, 12282-12299, DOI: 10.1002/2013JD020336
- Porter, P.S., Rao, S.T., Zurbenko, I.G., Dunker, A.M., Wolff, G.T., 2001. Ozone air quality over North
 America: Part II An analysis of trend detection and attribution techniques. Journal of the Air & Waste
 Management Association 51, 283-306.
- Russell, A., Dennis, R. 2000. NARSTO critical review of photochemical models and modeling.Atmospheric Environment 34, 2283-2324.
- Scheff, P.A., Wadden, R.A., 1993. Receptor Modeling of Volatile Organic-Compounds. 1. Emission
 Inventory and Validation. Environmental Science & Technology 27, 617-625.
- Scheff, P.A., Wadden, R.A., Kenski, D.M., Chung, J., Wolff, G., 1996. Receptor model evaluation of the
- southeast Michigan ozone study ambient NMOC measurements. Journal of the Air & WasteManagement Association 46, 1048-1057.

- 649 Sillman, S.,1995. The user of NO_{γ} , H_2O_2 , and HNO_3 as indicators for ozone-NOx-hydrocarbon sensitivity in 650 urban locations. Journal of Geophysical Research, Vol 100, No. D7, pp 14175-14188.
- Skamarock, W. C., Klemp, J. B., Dudhia, J., Gill, D. O., Barker, D. M., Duda, M. G., Huang, X. Y., Wang, W.,
 Powers, J. G. (2008). A description of the advanced research WRF version 3. National Center for
- 653 Atmospheric Research, Boulder, Colorado. NCAR/TN-475.
- 54 Sudo, K., Akimoto, H., 2007. Global source attribution of tropospheric ozone: Long-range transport from 55 various source regions. Journal of Geophysical Research-Atmospheres 112.
- 656 G.S. Tonnesen, 1999. Effects of uncertainty in the reaction of the hydroxyl radical with nitrogen dioxide 657 on model-simulated ozone control strategies, Atmospheric Environment, 33(10): 1587–1598.
- Tonnesen, G. S., Dennis, R. L., 2000. Analysis of radical propagation efficiency to assess ozone sensitivity
- to hydrocarbons and NOx 1. Local indicators of instantaneous odd oxygen production sensitivity. J.
- 660 Geophys. Res.-Atmos. 105(D7): 9213-9225.
- Tonnesen, G. S., Dennis, R. L., 2000. Analysis of radical propagation efficiency to assess ozone sensitivity
 to hydrocarbons and NOx 2. Long-lived species as indicators of ozone concentration sensitivity. J.
 Geophys. Res.-Atmos. 105(D7): 9227-9241.
- Tong, D.Q., Kang, D.W., Aneja, V.P., Ray, J.D., 2005. Reactive nitrogen oxides in the southeast United
 States national parks: source identification, origin, and process budget. Atmospheric Environment 39,
 315-327.
- Tong, D.Q., Mauzerall, D.L., 2008. Summertime State-Level Source-Receptor Relationships between
 Nitrogen Oxides Emissions and Surface Ozone Concentrations over the Continental United States.
 Environmental Science & Technology 42, 7976-7984.
- Torres-Jardon, R., Garcia-Reynoso, J.A., Jazcilevich, A., Ruiz-Suarez, L.G., Keener, T.C., 2012. Assessment
- of the Ozone-Nitrogen Oxide-Volatile Organic Compound Sensitivity of Mexico City through an Indicator-
- Based Approach: Measurements and Numerical Simulations Comparison. Journal of Air & WasteManagement Association, 59, 1155-1172.
- 674 U.S. Environmental Protection Agency, 2009. Integrated Review Plan for the Ozone National Ambient Air
- 675 Quality Standards Review, EPA-452/D-09-001.
- 676 chaU.S. Environmental Protection Agency, 2011b. North American Emissions Inventories Mexico.
 677 <u>http://www.epa.gov/ttnchie1/net/mexico.html</u>.
- U.S. Environmental Protection Agency, 2013. The National Emissions Inventory: 2008 National Emissions
 Inventory Data, <u>http://www.epa.gov/ttnchie1/net/2008inventory.html</u>.
- Vogel, B., Riemer, N., Vogel, H., Fiedler, F., 1999. Findings on NOy as an indicator for ozone sensitivity
 based on different numerical simulations. Journal of Geophysical Research, 104, D3, 3605-3620.
- Wang, X., Li, J., Zhang, Y., Xie, S., Tang, X., 2009. Ozone source attribution during a severe photochemical
 smog episode in Beijing, China. Science in China Series B-Chemistry 52, 1270-1280.

- 684 Wang, Z. S., Chien C.-J., and Tonnesen, G.S., 2009. Development of a tagged species source
- apportionment algorithm to characterize three-dimensional transport and transformation of precursors
 and secondary pollutants, J. Geophys. Res., 114, D21206, doi:10.1029/2008JD010846.
- Yarwood, G., Rao, S., Yocke, M., Whitten, G.Z., 2005. Updates to the carbon bond chemical mechanism:
 CB05. Final Report to U.S.EPA, RT-04-00675.
- Ying, Q., Krishnan, A., 2010. Source contributions of volatile organic compounds to ozone formation in
 southeast Texas. Journal of Geophysical Research-Atmospheres 115.
- Zhang, L., Jacob, D.J., Boersma, K.F., Jaffe, D.A., Olson, J.R., Bowman, K.W., Worden, J.R., Thompson,
- A.M., Avery, M.A., Cohen, R.C., Dibb, J.E., Flock, F.M., Fuelberg, H.E., Huey, L.G., McMillan, W.W., Singh,
- H.B., Weinheimer, A.J., 2008. Transpacific transport of ozone pollution and the effect of recent Asian
- 694 emission increases on air quality in North America: An integrated analysis using satellite, aircraft,
- ozonesonde, and surface observations, Atmosperic Chemistry and Physics, 8, 6117–6136,
- 696 doi:10.5194/acp-8-6117-2008.
- Zhang, L., Jacob, D.J., Kopacz, M., Henze, D.K., Singh, K., Jaffe, D.A., 2009. Intercontinental source
 attribution of ozone pollution at western US sites using an adjoint method. Geophysical Research Letters
- 699 36.
- Zhang, Y., Vijayaraghavan, K., Seigneur, C., 2005. Evaluation of three probing techniques in a three dimensional air quality model. Journal of Geophysical Research-Atmospheres 110.
- Zhang, Y., Wen, X-Y, Wang, K., Vijayaraghavan, K., Jacobson, M.Z., 2009. Probing into regional O₃ and
- particulate matter in the United States: 2. An examination of formation mechanisms through a process
 analysis technique and sensitivity study. Journal of Geophysical Research 114. D22305,
- 705 doi:10.1029/2009JD011900.
- 706
- , 00
- 707
- 708
- 709
- 710
- 711

CB05 VOC name	CMAQ	Number of	
	acronym	carbon atoms	MIR
Acetaldehyde	ALD2	2	4.45
Higher aldehydes	ALDX	2	6.81
Ethene	ETH	2	4.37
Ethane	ETHA	2	0.11
Ethanol	ETOH	2	1.04
Formaldehyde	FORM	1	4.50
Internal olefin	IOLE	4	13.11
Isoprene	ISOP	5	11.56
Methanol	MEOH	1	0.36
Olefin	OLE	2	8.24
Paraffin	PAR	1	0.32
Monoterpenes	TERP	10	8.82
Toluene	TOL	7	2.94
Xylene	XYL	8	14.79

Table 1. Maximum Incremental Reactivity in CB05 VOC species on ozone production.

Table 2. All-hour domain averaged NOx and VOC emissions rates for Californian 12-km domain during Jun 28-Jul 5, 2007.

Emissions Sectors	NOx emis mole/s	% of total NOx emis	VOC emis moleC/s	% of total VOC emis	VOC/NOx moleC/mole
BEIS	76.3	9.1	20939.2	88.9	274.4
(BIOG)					
Marine	28.7	3.4	7.5	0.0	0.3
(MARINE)					
Fire	10.7	1.3	312.7	1.3	29.2
(FIRE)					
Nonroad	115.4	13.7	469.7	2.0	4.1
(NNRD)					
Onroad	413.7	49.1	535.7	2.3	1.3
(ONRD)					
Mexican point sources	6.6	0.8	6.6	0.0	1.0
(MEX)					
Elec. Gen. Units	21	2.5	2.1	0.0	0.1
(EGU)					
Non Elec. Gen. Units	36.9	4.4	25.5	0.1	0.7
(Non-EGU)					
Untraced emissions	133.1	15.8	1264.9	5.4	9.5
(OTHR)					
Emissions Totals	842.4		23563.9		28.0



Figure 1. Spatial tiles of 9 source sectors contributing to ambient O3, at 23UTC (16 PDT) July 5, 2007. (a) biogenic BIOG, (b) wild fires FIRE, (c) non-electricity generation units Non-EGU, (d) non-road mobile NNRD, (e) on-road mobile ONRD, (f) Mexican point sources MEX, (g) electricity generation units EGU, (h) marine MARINE, and (j) boundary conditions BCON. Note different scales across the tiles.





Figure 2. Hourly time series of O3 observations (crosses) at sites of California Air Resources Board monitoring network; and the corresponding CMAQ-ISAM sector breakdowns (stacking colored bars). Locations are (a) Riverside and (b) Sacramento. The colors represent sector sources: marine (MARINE orange), non-electricity generation units (Non-EGU deep blue), electricity generation units (EGU green), other point sources (MEX light grey), on-road mobile (ONRD purple), non-road mobile (NNRD yellow), wild fires (FIRE blue), biogenic (BIOG red), boundary conditions (BCON cyan), initial conditions (ICON magenta), and remaining unspecified emissions (OTHR grey). The solid black trace on top of the bars denotes the modeled bulk O3 concentration.



Figure 3. ISAM/both-out O3 comparison for each sector during daytime hours. The sectors are: (a) biogenic BIOG, (b) wild fires FIRE, (c) non-electricity generation units Non-EGU, (d) non-road mobile NNRD, (e) on-road mobile ONRD, (f) other point sources MEX, (g) electricity generation units EGU, (h) marine MARINE, and (j) boundary conditions BCON. Note different scales across the panels.

Day time domain average O3





Figure 4. Daytime domain-averaged ambient O3, July 1-5, 2007 (June 28-30 excluded due to large initial conditions influence). In the bar plot, each day consists of two stacked columns (ISAM on the left; Both-out total on the right) and above them a black triangle designating bulk ambient concentration calculated from regular CMAQ. The colors represent sector sources: marine (MARINE orange), non-electricity generation units (Non-EGU deep blue), electricity generation units (EGU green), other point sources (MEX light grey), on-road mobile (ONRD purple), non-road mobile (NNRD yellow), wild fires (FIRE blue), biogenic (BIOG red), boundary conditions (BCON cyan), and remaining unspecified emissions (OTHR grey).



Averaged 6/28 - 7/5 2007

Figure 5. Scatter plots of biogenic O3 with respect to the zero-out brute force, sampled on all-houraveraged data. Red: ISAM, blue: first order decoupled direct method (DDM1), black: second order decoupled direct method (DDM2). The corresponding R-squared values and regression slopes are also displayed.



Figure 6. ISAM/N-out NOx (NO+NO₂) comparison for each sector and all simulated hours. The sectors are: (a) biogenic BIOG, (b) wild fires FIRE, (c) non-electricity generation units Non-EGU, (d) non-road mobile NNRD, (e) on-road mobile ONRD, (f) other point sources MEX, (g) electricity generation units EGU, (h) marine MARINE, and (j) boundary conditions BCON. Note different scales across the panels.



Day time domain average NOx



Figure 7. Daytime domain-averaged ambient NOx (NO+NO₂), July 1-5, 2007 (June 28-30 excluded due to large initial conditions influence). As in Fig. 4, for each day left column designates ISAM total, and right one the zero-out. The colors represent sector sources: marine (MARINE orange), non-electricity generation units (Non-EGU deep blue), electricity generation units (EGU green), other point sources (MEX light grey), on-road mobile (ONRD purple), non-road mobile (NNRD yellow), wild fires (FIRE blue), biogenic (BIOG red), and boundary conditions (BCON cyan).



Figure 8. ISAM/V-out VOC comparison for each sector and all simulated hours. The sectors are: (a) biogenic BIOG, (b) wild fires FIRE, (c) non-electricity generation units Non-EGU, (d) non-road mobile NNRD, (e) on-road mobile ONRD, (f) other point sources MEX, (g) electricity generation units EGU, (h) marine MARINE, and (j) boundary conditions BCON. Note different scales across the panels.



Day time domain average VOC



Figure 9. Daytime domain-averaged ambient VOC, July 1-5, 2007 (June 28-30 excluded due to large initial conditions influence). As in Fig. 4, for each day left column designates ISAM total, and right one the zero-out. The colors represent sector sources: marine (MARINE orange), non-electricity generation units (Non-EGU deep blue), electricity generation units (EGU green), other point sources (MEX light grey), on-road mobile (ONRD purple), non-road mobile (NNRD yellow), wild fires (FIRE blue), biogenic (BIOG red), and boundary conditions (BCON cyan).