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#### Variational regional inverse modeling of reactive species emissions

with PYVAR-CHIMERE-v2019

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## 11 Abstract

12 Up-to-date and accurate emission inventories for air pollutants are essential for understanding their role in the formation of tropospheric ozone and particulate matter at various temporal scales, for 13 14 anticipating pollution peaks and for identifying the key drivers that could help mitigate their concentrations. This paper describes the Bayesian variational inverse system PYVAR-CHIMERE, 15 which is now adapted to the inversion of reactive species. Complementarily with bottom-up 16 17 inventories, this system aims at updating and improving the knowledge on the high spatio-temporal 18 variability of emissions of air pollutants and their precursors. The system is designed to use any 19 type of observations, such as satellite observations or surface station measurements. The potential 20 of PYVAR-CHIMERE is illustrated with inversions of both CO and NO<sub>x</sub> emissions in Europe, 21 using the MOPITT and OMI satellite observations, respectively. In these cases, local increments on 22 CO emissions can reach more than +50%, with increases located mainly over Central and Eastern 23 Europe, except in the south of Poland, and decreases located over Spain and Portugal. The 24 illustrative cases for  $NO_x$  emissions also lead to large local increments (> 50%), for example over 25 industrial areas (e.g., over the Po Valley) and over the Netherlands. The good behavior of the inversion is shown through statistics on the concentrations: the mean bias, RMSE, standard 26 27 deviation and correlation between the simulated and observed concentrations. For CO, the mean 28 bias is reduced by about 27% when using the posterior emissions, the RMSE and the standard 29 deviation are reduced by about 50% and the correlation is strongly improved (0.74 when using the 30 posterior emissions against 0.02); for NO<sub>x</sub>, the mean bias is reduced by about 24%, the RMSE and 31 the standard deviation are reduced by about 7% but the correlation is not improved. We reported strong non-linear relationships between NO<sub>x</sub> emissions and satellite NO<sub>2</sub> columns, now 32 33 requiring a fully comprehensive scientific study.

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## **37 1. Introduction**

38 The degradation of air quality is a worldwide environmental problem: 91% of the world's 39 population have breathed polluted air in 2016 according to the World Health Organization (WHO), 40 resulting in 4.2 millions of premature deaths every year [WHO, 2016]. The recent study of 41 Lelieveld et al. [2019] even suggests that the health impacts attributable to outdoor air pollution are 42 substantially higher than previously assumed (with 790,000 premature deaths in the 28 countries of 43 the European Union against the previously estimated 500,000 [EEA, 2018]). The main regulated 44 primary (i.e. directly emitted in the atmosphere) anthropogenic air pollutants are carbon monoxide 45 (CO), nitrogen oxides ( $NO_x = NO + NO_2$ ), sulfur dioxide ( $SO_2$ ), ammonia ( $NH_3$ ), volatile organic 46 compounds (VOCs), and primary particles. These primary air pollutants are precursors of secondary 47 (i.e. produced in the atmosphere through chemical reactions) pollutants such as ozone (O<sub>3</sub>) and 48 Particulate Matter (PM), which are also threatening to both human health and ecosystems. 49 Monitoring concentrations and quantifying emissions are still challenging and limit our capability to forecast air quality to warn population and to assess i) the exposure of population to air pollution 50 51 and ii) the efficiency of mitigation policies.

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53 Bottom-up (BU) inventories are built in the framework of air quality policies such as The 54 Convention on Long-Range Transboundary Air Pollution (LRTAP, http://www.unece.org) for air 55 pollutants. Based on national annual inventories, research institutes compile gridded global or 56 regional, monthly inventories (mainly for the US, Europe and China) with a high spatial resolution 57 (currently regional or city scale inventories are typically finer than 0.1°x0.1°). These inventories are 58 constructed by combining available (economic) statistics data from different detailed activity 59 sectors with the most appropriate emission factors (defined as the average emission rate of a given 60 species for a given source or process, relative to the unit of activity in a given administrative area). 61 It is important to note that the activity data (often statistical data) has an inherent uncertainty and 62 that its reliability may vary between countries or regions. In addition, the emission factors bear 63 large uncertainties in their quantification [Kuenen et al., 2014; EMEP/EEA, 2016; Kurokawa et al., 64 2013]. Moreover, these inventories are often provided at the annual or monthly scale with typical 65 temporal profiles to build the weekly, daily and hourly variability of the emissions. The 66 combination of uncertain activity data, emission factors and emission timing can be a large source 67 of uncertainties, if not errors, for forecasting or analyzing air quality [Menut et al., 2012]. Finally, 68 since updating the inventories and gathering the required data for a given year is costly in time, 69 manpower and money, only a few institutes have offered estimates of the gaseous pollutants for 70 each year since 2011 (i.e, European Monitoring and Evaluation Programme EMEP updated until the 71 year 2017, MEIC updated until the year 2017 to our knowledge). Nevertheless, using knowledge 72 from inventories and air quality modeling, emissions have been mitigated. For example, from 2010 73 to nowadays, emissions in various countries have been modified and/or regional trends have been 74 reversed downwards (e.g., the decrease of NO<sub>x</sub> emissions over China since 2011 [de Foy et al., 75 2016]), leading to significant changes in the atmospheric composition. Consequently, the 76 knowledge of precise and updated budgets, together with seasonal, monthly, weekly and daily 77 variations of gaseous pollutants driven, amongst other processes, by the emissions are essential for 78 understanding their role in the formation of tropospheric ozone and PMs at various temporal scales, 79 for anticipating pollution peaks and for identifying the key drivers that could help mitigate these 80 concentrations.

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82 In this context, complementary methods have been developed for estimating emissions using 83 atmospheric observations. They operate in synergy between a chemistry-transport model (CTM) 84 which links the emissions to the atmospheric concentrations, atmospheric observations of the 85 species of interest, and statistical inversion techniques. A number of studies using inverse modeling were first carried out for long-lived species such as greenhouses gases (GHGs) (e.g., carbon dioxide 86 87 CO<sub>2</sub> or methane CH<sub>4</sub>) at the global or continental scales [Hein et al., 1997; Bousquet et al. 1999], 88 using surface measurements. Later, following the development of monitoring station networks, the 89 progress of computing power, and the use of inversion techniques more appropriate to non-linear 90 problems, these methods were applied to shorter-lived molecules such as CO. For these various 91 applications (e.g., for CO<sub>2</sub>, CH<sub>4</sub>, CO), the quantification of sources was solved at the resolution of 92 large regions [Pétron et al., 2002]. Finally, the growing availability and reliability of observations 93 since the early 2000s (in-situ surface data, remote sensing data such as satellite data), the 94 improvement of the global CTMs, of the computational capacities and of the inversion techniques 95 have increased the achievable resolution of global inversions, up to the global transport model grid 96 cells, i.e. typically with a spatial resolution of several hundreds of square kilometers [Stavrakou and 97 Muller, 2006; Pison et al., 2009; Fortems-Cheiney et al., 2011; Hooghiemstra et al., 2012; Yin et 98 al., 2015; Miyazaki et al., 2017, Zheng et al., 2019].

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Today, the scientific and societal issues require an up-to-date quantification of pollutant emissions at a higher spatial resolution than the global one and imply to widely use regional inverse systems. However, although they are suited to reactive species such as CO and NO<sub>x</sub>, and their very large spatial and temporal variability, they have hardly been used to quantify pollutant emissions. Some studies inferred NO<sub>x</sub> [Pison et al., 2007; Tang et al., 2013] and VOC emissions [Koohkan et al., 2013] from surface measurements. Konovalov et al. [2006, 2008, 2010], Mijling et al. [2012, 2013], van der A et al. [2008], Lin et al. [2012] and Ding et al. [2017] have also shown that satellite 107 observations are a suitable source of information to constrain  $NO_x$  emissions. These regional 108 inversions using satellite observations were often based on Kalman Filter (KF) schemes [Mijling et 109 al., 2012, 2013; van der A et al., 2008; Lin et al., 2012; Ding et al., 2017].

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111 Variational inversion systems allow solving for high dimensional problems, typically solving for the fluxes at high spatial and temporal resolution, which can be critical to fully exploit satellite 112 113 images. Here, we present the Bayesian variational atmospheric inversion system PYVAR-114 CHIMERE for the monitoring of anthropogenic emissions of reactive species at the regional scale. 115 It is based on the Bayesian variational assimilation code PYVAR [Chevallier et al. 2005] and on the 116 regional state-of-the-art CTM CHIMERE [Menut et al., 2013; Mailler et al., 2017]. CHIMERE is 117 dedicated to the study of regional atmospheric pollution events [e.g., Ciarelli et al., 2019; Menut et al., 2020], included in the operational ensemble of the Copernicus Atmosphere Monitoring Service 118 119 (CAMS) regional services. The main strengths of PYVAR-CHIMERE come from the strengths of CHIMERE and from its high modularity for the definition of the control vector. CHIMERE is 120 121 indeed an extremely flexible code, in particular for the definition of the chemical scheme.

122 The PYVAR-CHIMERE system takes advantage of the previous developments for the 123 quantification of fluxes of long-lived GHG species such as CO<sub>2</sub> [Broquet et al., 2011] and CH<sub>4</sub> 124 [Pison et al., 2018] at the regional to the local scales, but now solves for reactive species such as CO and NO<sub>x</sub>. It has also a better level of robustness, clarity, portability, and modularity than these 125 126 previous systems. Variational techniques require the adjoint of the model to compute the sensitivity of simulated atmospheric concentrations to corrections of the fluxes. CHIMERE is one of the few 127 CTMs for which the adjoint has been coded. For global models, they include: GEOS-CHEM 128 129 [Henze et al., 2007], IMAGES [Stavrakou and Muller, 2006], TM5 [Krol et al., 2008], GELKA [Belikov et al., 2016] and LMDz [Chevallier et al., 2005; Pison et al., 2009] ; for limited-area 130 models they include: CMAQ [Hakami et al., 2007], EURAD-IM [Elbern et al., 2007], 131 132 RAMS/CTM-4DVAR [Yumimoto et Uno, 2006], WRF-CO2 4D-Var [Zheng et al., 2018]).

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The principle of variational atmospheric inversion and the configuration of PYVAR-CHIMERE are described in Section 2 and in Section 3, respectively. Details about the forward, tangent-linear and adjoint codes of CHIMERE are also given. Then, the potential of PYVAR-CHIMERE is illustrated in Section 4 with the optimization of European CO and NO<sub>x</sub> emissions, constrained by observations from the Measurement of Pollution in the Troposphere (MOPITT) and from the Ozone Monitoring Instrument (OMI) satellite instruments, respectively.

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## 142 **2.** Principle of Bayesian variational atmospheric inversion

In what follows, we use the notations and equations used in the inverse modeling community [Rayner et al., 2019]. The Bayesian variational atmospheric inversion method adjusts a set of control parameters, including parameters related to the emissions whose estimate is the primary target of the inversion.

The prior information about the parameters  $\mathbf{x}$  to be optimized during the inversion process is given 147 by the vector  $\mathbf{x}^{\mathbf{b}}$ . The parameters to be optimized can be surface fluxes but may also include initial 148 149 or boundary conditions for example, as explained in Section 3.4. The adjustments are applied to 150 prior values, usually taken, for the emissions, from pre-existing BU inventories. The principle is to 151 minimize, on the one hand, the departures from the prior estimates of the control parameters, which 152 are weighted by the uncertainties in these estimates (called hereafter "prior uncertainties"), and, on 153 the other hand, the differences between simulated and observed concentrations, which are weighted 154 by all other sources of uncertainties explaining these differences (called hereafter all together 155 "observation errors"). In statistical terms, the inversion searches for the most probable estimate of 156 the control parameters given their prior estimates, observations, CTM and their associated 157 uncertainties. The solution, which will be called posterior estimate, is found by the iterative 158 minimization of a cost function J [Talagrand et al., 1997], defined as:

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$$J(\mathbf{x}) = (\mathbf{x} - \mathbf{x}^b)^T \mathbf{B}^{-1} (\mathbf{x} - \mathbf{x}^b) + (H(\mathbf{x}) - \mathbf{y})^T \mathbf{R}^{-1} (H(\mathbf{x}) - \mathbf{y})$$
 (Eq. 1)

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H is the non-linear observation operator that projects the control vector  $\mathbf{x}$  onto the observation 161 162 space. In most of the variational atmospheric inversion cases (such as those described in Section 4), the observation operator includes the operations performed by the CTM in linking the emissions to 163 164 the concentrations and any other transformation to compute the simulated equivalent of the 165 observations such as an interpolation or an extraction and averaging of the simulated concentration 166 fields (see Section 3.5). The observations in y could be surface measurements and/or remote sensing 167 data such as satellite data. The prior uncertainties and the observation errors are assumed to be 168 unbiased and to have a Gaussian distribution. Consequently, the prior uncertainties are characterized by their covariance matrix **B** and the observation errors are characterized by their 169 170 covariance matrix **R**. By definition, the observation errors combine errors in both the data and the 171 observation operator, in particular measurement errors and errors in the conversion of satellite 172 measurement into concentration data, errors from the CTM, representativity errors due to the 173 comparison between point measurements and gridded models or due to the representation of the 174 fluxes as gridded maps at a given spatial resolution, and aggregation errors associated with the 175 optimization of emissions at a given spatial and/or temporal resolution (as specified in the control 176 vector) that is different from (usually coarser than) that of the CTM [Wang et al., 2017].

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- For inversions with observation and control vectors having a high dimension, the minimum of Jcannot be found analytically due to computational limitations. It can be reached iteratively with a descent algorithm. In this case, the iterative minimization of J is based on a gradient method. J is calculated with the forward observation operator (including the CTM) and its gradient relative to the control parameters **x** is provided by the adjoint of the observation operator (including the adjoint
- 183 of the CTM). The gradient is defined as:

184 
$$\nabla J(x) = B^{-1}(x - x^b) + H^* R^{-1}(H(x) - y)$$
 (Eq. 2)

- 185 where  $H^*$  is the adjoint of the observation operator.
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187 The high non-linearity of the chemistry for reactive species makes it difficult to use its tangent-188 linear to approximate the actual observation operator, and, more generally, it makes the inversion 189 problem highly non-linear. Therefore, in PYVAR-CHIMERE, we use the M1QN3 limited memory 190 quasi-Newton minimization algorithm [Gilbert and Lemaréchal, 1989], which relies on the actual 191 CHIMERE non-linear model to compute J at each iteration of the minimization. As most quasi-192 Newton methods, it requires an initial regularization of x, the vector to be optimized, for better 193 efficiency. We adopt the most generally used regularization, made by minimizing in the space 194 defined by:

195 
$$\chi = B^{\frac{1}{2}}(x - x^b)$$
 (Eq. 3)

196 instead of the control space defined by x. Although more advanced regularizations can be chosen, 197 the minimization with  $\chi$  is preferred for its simplifying the equation to solve. In the  $\chi$ -space, 198 Equation 2 can be re-written as follows:

4)

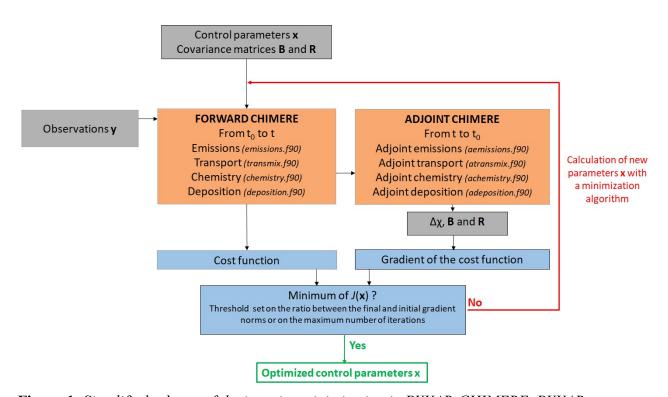
199 
$$\nabla J \boldsymbol{\chi} = \boldsymbol{\chi} + \boldsymbol{B}^{\frac{1}{2}} H^* \big( \boldsymbol{R}^{-1} (H(\boldsymbol{x}) - \boldsymbol{y}) \big) (\text{Eq.}$$

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The criterion for stopping the algorithm is based on a threshold set on the ratio between the final and initial gradient norms or on the maximum number of iterations to perform. As shown in Figure 1, the minimization algorithm repeats the forward-adjoint cycle to get an estimate close to the optimal solution of the inversion problem for the control parameters. This approximation of the optimal estimate is found by satisfying the convergence criteria of the minimizer with a given reduction of the norm of the gradient of J. Nevertheless, due to the non-linearity of the problem, the minimization may reach a local minimum only, instead of the global minimum.

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Finally, the calculation of the uncertainty in the estimate of emissions from the inversion, known as "posterior uncertainty", is challenging in a variational inverse system [Rayner et al., 2019]. Even though the posterior uncertainty can be explicitly written in various analytical forms, it requires the inversion of matrices that are too large to invert given the current computational resources in our variational approach. As a trade-off between computing resources and comprehensiveness, the analysis error may be evaluated by an approach based on a propagation of errors through sensitivity tests (e.g., as in Fortems-Cheiney et al., [2012]). It can also be estimated through a Monte Carlo Ensemble [Chevallier et al., 2007], implemented in PYVAR. Nevertheless, it should be noted that the cost of the Monte Carlo experiments used to derive these posterior uncertainties is huge.



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**Figure 1.** Simplified scheme of the iterative minimization in PYVAR-CHIMERE. PYVAR,

221 *CHIMERE and text sources are displayed in blue, in orange and in grey, respectively.* 

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## 223 **3. The PYVAR-CHIMERE configuration**

## **3.1. PYVAR adapted to CHIMERE**

225 The PYVAR-CHIMERE inverse modeling system is based on the Bayesian variational assimilation code PYVAR [Chevallier et al. 2005] and on a previous inversion system coupled to CHIMERE 226 [Pison et al., 2007]. PYVAR is an ensemble of Python scripts, which deals with preparing the 227 228 vectors and the matrices for the inversion, drives the required Fortran codes of the transport model and computes the minimization of the cost function to solve the inversion. Previously used for 229 230 global inversions with the LMDz model [e.g., Pison et al., 2009; Chevallier et al., 2010; Fortems-231 Cheiney et al., 2011; Yin et al., 2015; Locatelli et al., 2015; Zheng et al., 2019], PYVAR has been adapted to CHIMERE with an adjoint code without chemistry by Broquet et al. [2011]. In order to 232 233 couple PYVAR to the new state-of-the-art version of CHIMERE (see Section 3.2), to include

chemistry, and to increase its modularity, flexibility and clarity, the new system described here has
been developed. It includes elements of the inversion system (coded in Fortran90) of Pison et al.
[2007].

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# 3.2. Development and parallelization of the adjoint and tangent-linear codes of CHIMERE

240 To compute the sensitivity of simulated atmospheric concentrations to corrections to the fluxes, the adjoint of CHIMERE has been developed. Originally, the sequential adjoint was coded [Menut et 241 242 al., 2000; Menut et al., 2003; Pison et al., 2007]. The adjoint has been coded by hand line by line, following the principles formulated by Talagrand [1997]. It contains exactly the same processes as 243 244 the CHIMERE forward model. The code has been parallelized, which required a redesigning of the 245 entire code, associated with a full testing scheme (see Section 3.3). Furthermore, the tangent-linear 246 (TL) code has been developed and validated (see Section 3.3). Changes have been implemented in the forward CHIMERE code embedded in PYVAR-CHIMERE to match requirements of the studies 247 248 conducted with this system. These changes have been implemented in both the adjoint and the TL codes. Compared to the CHIMERE 2013 version [Menut et al., 2013], the most important of these 249 250 changes are, regarding geometry, the possibility of polar domains and the use of the coordinates of the corners of the cells instead of only the centers, allowing the use of irregular grids. Regarding 251 252 transport, the non-uniform Van Leer transport scheme on the horizontal has been implemented, which is consistent with the use of irregular grids. Finally, various switches have been added to 253 keep the system consistent for GHG studies. For example, we can avoid going into the chemistry, 254 deposition or wet deposition routines when the focused species do not require them (e.g., no 255 256 chemistry for methane or carbon dioxide at a regional scale).

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PYVAR-CHIMERE is currently implemented with a full module of gaseous chemistry. As a 258 259 compromise between the robustness of the method for reactive species, the time required coding the 260 adjoint and the computational cost with a full chemical scheme, the aerosols modules of CHIMERE have not been included in the adjoint of CHIMERE yet and are therefore not available in PYVAR-261 262 CHIMERE. The development and maintenance of the adjoint means that the version used is 263 necessarily one or two versions behind the distributed CHIMERE version (http://www.lmd.polytechnique.fr/chimere/). It should also be noted that PYVAR-CHIMERE only 264 265 infers anthropogenic emissions at this stage. The optimization of biogenic emissions, which are 266 linearly interpolated at the sub-hourly scale in CHIMERE, is currently under development.

- As an example, Figure 2 presents a simplified scheme of how PYVAR scripts are used to drive this
- 269 version of CHIMERE for forward simulations and inversions using satellite observations.
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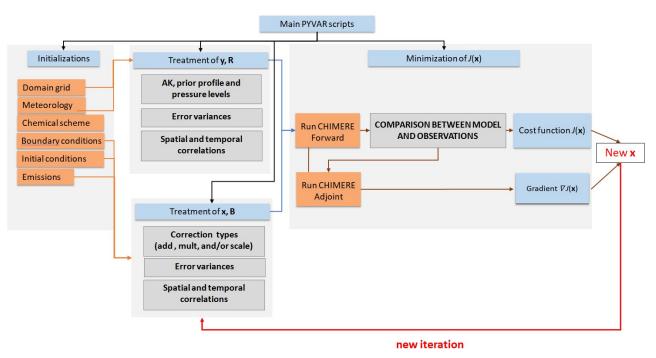


Figure 2. Simplified scheme of how PYVAR scripts are used to drive CHIMERE for an inversion using satellite observations. PYVAR, CHIMERE and text sources are displayed in blue, in orange and in grey, respectively. "AK" refers to Averaging Kernels as detailed in Section 3.5.

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#### 3.3. Accuracy of tangent-linear and adjoint codes

277 Different procedures have been implemented to test the accuracy of the TL and adjoint codes. To 278 test the linearity of the TL, we compute a Taylor diagnostic. It consists in computing the TL at  $\mathbf{x}_0$ 279 for given increments  $\Delta \mathbf{x}$ , dH $\mathbf{x}_0$  ( $\Delta \mathbf{x}$ ), then the TL at  $\mathbf{x}_0$  for  $\lambda \times \Delta \mathbf{x}$  with  $\lambda$  an arbitrary small number, 280 dH $\mathbf{x}_0(\lambda \Delta \mathbf{x})$ . Theoretically, if the TL is well coded,  $\lambda dH \mathbf{x}_0(\Delta \mathbf{x})=dH \mathbf{x}_0(\lambda \Delta \mathbf{x})$  by definition. In practice, 281 the difference must be lower than 10 times the precision of the machine on which it is run.

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The adjoint code is also tested, by verifying that  $\langle H.\Delta x, H.\Delta x \rangle = \langle \Delta x, H^T H.\Delta x \rangle$  where  $H^T$  stands for the adjoint at **x**. What is actually computed is the ratio of the difference between the two scalar products to the second one and the accuracy of the computation. The difference should be a few times the precision of the machine on which it is run.

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## **3.4. Definition of the control vector**

The control vector is specified by the user in a text file. This file is formatted following Table 1. The parameters to be inverted may be fluxes and/or initial conditions and/or boundary concentration conditions, at the grid-cell resolution or for one region encompassing up to the whole domain. 291 Several types of corrections can be applied, they are defined in the code as "add", "mult" or "scale". 292 Both the corrections "add" and "mult" are applied to gridded control variables. For correction type 293 "add", the control variables are increments added to the corresponding components of the model 294 inputs. For correction type "mult", the control variables are scaling factors multiplying the 295 corresponding components of the model inputs. The difference between the two options "add" and 296 "mult" plays a role when inverting fluxes which can switch from positive to negative values (like 297 CO<sub>2</sub> natural fluxes). For type "scale", the control variables are scaling factors applied to maps 298 different from the maps of emissions used as prior input of the forward model: for example, activity maps can be used and scaled to get emissions; the obtained values are then added to the 299 300 corresponding components of the model inputs. With these various types, it is possible to define the 301 control variables as the budgets of emissions for different regions, types of activities, and/or 302 processes, which can thus be directly rescaled by the inversions, similarly to what is done in 303 systems where the control vector is not gridded [Wang et al., 2018]).

304 Different simple but efficient ways of building the error covariance matrix **B** are implemented in 305 PYVAR-CHIMERE. The variances and correlations are defined independently. The variances are 306 specified by the user through standard deviation coefficient (Table 1), which can be a fixed value 307 ("fx") or a percentage ("pc") to define the diagonal standard deviation matrix  $\Sigma$ . For correction types "mult" and "scale", as well as for correction type "add" with a fixed value, the value is 308 309 directly used as the standard deviation of the uncertainty in the corresponding components of the 310 control vector. For correction type "add" with a percentage provided, maps of standard deviation of uncertainty are built by applying this percentage to the matching input fields (fluxes, initial 311 312 conditions, boundary conditions). The user may also provide a script to build personalized maps of 313 variances.

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315 Potential correlations between uncertainties in different types of control variables, e.g. between 316 fluxes and boundary conditions, and correlations between uncertainties in different species, e.g. 317 between fluxes of CO and NO<sub>x</sub>, are not coded yet. Only correlations for a given type of control 318 variable and a given species are so far taken into account so that the **B** matrix is block diagonal. For 319 a given type of control variable and a given species (in the illustration in section 4.2.2: CO, NO or 320 NO<sub>2</sub> fluxes), spatial and temporal correlations can be defined using correlation lengths through time 321 Lt and space Ls. Those lengths are used to model temporal and/or spatial auto-correlations using an 322 exponentially decaying function: the correlation r between parameters and at a given location but separated by duration  $d(x_i, x_j)$ , or at a given time but distant by  $d(x_i, x_j)$  is given by  $r(x_i, x_j) =$ 323  $exp\left(\frac{-d(x_i,x_j)}{L}\right)(Eq.5)$  where  $L = L_T \vee L_S$  is the corresponding correlation length. There is no 324

325 correlation between uncertainties in land and ocean flux. Note that the spatial correlations are 326 computed for each vertical level independently when dealing with control variables with vertical 327 resolution (3D fields of fluxes when accounting for emission injection heights, or boundary/initial 328 conditions). Vertical correlations in the uncertainties in such variables have not been coded yet. 329 Apart from this, the system assumes that temporal correlations and spatial correlations depend on the time lag and distance but not on the specific time and location of the corresponding parameters. 330 331 It also assumes that the correlation between uncertainties at different locations and different time 332 can be derived from the product of the corresponding autocorrelation in time and space.

Each block of **B** can thus be decomposed based on Kronecker products:  $\mathbf{B} = \sum C_t \bigotimes C_s \sum$  (Eq. 6) where 333  $\otimes$  is the Kronecker product, C<sub>t</sub> and C<sub>s</sub> are the temporal and spatial correlations, respectively. The 334 calculations involving  $\mathbf{B}^{1/2}$  (in Eq. 3, Eq. 4) are simplified in PYVAR-CHIMERE using the Eigen-335 decomposition of C<sub>t</sub> and C<sub>s</sub>. Its square root can be calculated according to:  $C_t^{1/2} = V_{Ct} D_{Ct}^{1/2} V_{Ct}^{T}$  (Eq. 336 7) (and similarly for  $C_s$ ), where  $V_{Ct}$  is the matrix with the Eigenvectors as columns, and  $D_{Ct}$  is the 337 diagonal matrix of Eigenvalues of C<sub>t</sub>. It is possible to chose a threshold under which the eigenvalues 338 339 are truncated when computing the spatial correlations in order to save computation time and 340 memory, but not when computing the temporal correlations.

| Constrained<br>species | Correction<br>type :<br>- Add<br>- Mult<br>- Scale | Spatial<br>resolution<br>- at the<br>grid-cell<br>resolution<br>- for one<br>region | Temporal<br>resolution<br>(in hours) | Input to<br>constrain:<br>-Fluxes<br>-Initial<br>conditions<br>-Lateral<br>Boundary<br>conditions<br>-Top<br>Boundary<br>conditions | B variance<br>coefficient:<br>-fx<br>-pc | Decorrelation<br>time<br>(in hours) | Decorrelation<br>length on<br>land (in km) | Decorrelation<br>length on sea<br>(in km) |
|------------------------|----------------------------------------------------|-------------------------------------------------------------------------------------|--------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------|-------------------------------------|--------------------------------------------|-------------------------------------------|
| СО                     | add                                                | 0.5°x0.5°                                                                           | 168                                  | Fluxes                                                                                                                              | 100 %                                    | -                                   | -                                          | -                                         |
| СО                     | add                                                | 0.5°x0.5°                                                                           | 1                                    | Initial conditions                                                                                                                  | 15%                                      | -                                   | -                                          | -                                         |
| СО                     | add                                                | 0.5°x0.5°                                                                           | 168                                  | Lateral<br>Boundary<br>conditions                                                                                                   | 15%                                      | -                                   | -                                          | -                                         |
| СО                     | add                                                | 0.5°x0.5°                                                                           | 168                                  | Top<br>Boundary<br>conditions                                                                                                       | 15%                                      | -                                   | -                                          | -                                         |
| NO                     | add                                                | 0.5°x0.5°                                                                           | 24                                   | Fluxes                                                                                                                              | 50 %                                     | -                                   | 50                                         | 50                                        |
| NO                     | add                                                | 0.5°x0.5°                                                                           | 1                                    | Initial conditions                                                                                                                  | 15%                                      | -                                   | -                                          | -                                         |
| NO <sub>2</sub>        | add                                                | 0.5°x0.5°                                                                           | 24                                   | Fluxes                                                                                                                              | 50 %                                     | -                                   | 50                                         | 50                                        |
| NO <sub>2</sub>        | add                                                | 0.5°x0.5°                                                                           | 24                                   | Initial conditions                                                                                                                  | 15%                                      | -                                   | -                                          | -                                         |

341 Table 1. Examples for the definition of the control vector and for the construction of the B matrix,
342 as illustrated in Section 4.

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## 3.5. Equivalents of the observations

During forward simulations, the equivalents of the components of y (i.e, the equivalents of the 345 individual data) are calculated by PYVAR-CHIMERE. It includes the CTM and an interpolation 346 347 (see below the vertical interpolation from the model's grid to the satellite levels) or an extraction 348 and averaging (e.g. extracting the grid cell matching the geographical coordinates of a surface 349 station and averaging over one hour). As a compromise between technical issues such as the time 350 required for reading/writing files, the observation operator H that generates the equivalent of the 351 observations by the model (i.e.  $H(\mathbf{x})$ ) has been so far partly embedded in the code of CHIMERE. It 352 makes it easier to use finer time intervals than available in the usual hourly outputs of CHIMERE to 353 compute the required information (e.g., within the finer CTM physical time steps).

354

355 To make comparisons between simulations and satellite observations, the simulated vertical profiles 356 are first interpolated on the satellite's levels (with a vertical interpolation on pressure levels) in 357 CHIMERE. Then, the averaging kernels (AKs), when available, are applied to represent the vertical 358 sensitivity of the satellite retrieval. Two types of formula, depending on the satellite observations used, have been detailed in PYVAR-CHIMERE for the use of AKs:  $C_m = AK. C_{m(o)}$  (Eq. 8) or 359  $C_m = x_a + AK(c_{m(o)} - x_a)$  (Eq. 9) where  $C_m$  is the modeled column, AK contains the averaging 360 kernels,  $x_a$  is the prior profile (provided together with the AKs when relevant) and  $C_{m(o)}$  is the 361 362 vertical distribution of the original model partial columns interpolated to the pressure grid of the 363 AKs.

364

365

### **3.6. Numerical language**

The PYVAR code is in Python 2.7, the CHIMERE CTM is coded in Fortran90. The CTM requires
several numerical tools, compilers and libraries. The PYVAR-CHIMERE system was developed
and tested using the software versions as described in Table 2.

|           |                | URL                                                | Version      |
|-----------|----------------|----------------------------------------------------|--------------|
| Software  | Python         | https://www.python.org/downloads/                  | 2.7          |
|           | Fortran        | https://software.intel.com/en-us/fortran-compilers | Composer-xe- |
|           | compiler ifort |                                                    | 2013.2.146   |
| Libraries | UnidataNetCDF  | https://www.unidata.ucar.edu/                      | 3            |
| or        | Open MPI       | https://www.open-mpi.org/                          | 1.10.5       |
| packages  | GRIB_API       | https://confluence.ecmwf.int/display/GRIB/Releases | 1.14         |

|  | nco | http://nco.sourceforge.net/#Source | 4.6.3 |
|--|-----|------------------------------------|-------|
|  |     |                                    |       |

Table 2. URL addresses for the development and the use of the PYVAR-CHIMERE system and its
 modules.

371
372 PYVAR-CHIMERE's computation time for one node of 10 CPUs is about 4h for 1 day of inversion
373 (with ~10 iterations) for the European domain size of 101 (longitude) x 85 (latitude) x 17 (vertical
a74 levels) used in Section 4. The model parallelization results from a Cartesian division of the main
a75 geographical domain into several sub-domains, each one being processed by a worker process. To
a76 configure the parallel sub-domains, the user has to specify two parameters in the model parameter
a77 file: the number of sub-domains for the zonal and meridian directions. The total number of CPUs
a78 used is therefore the product of these two numbers plus one for the master process.

379

## 380 4. Potential of PYVAR-CHIMERE for the inversion of CO and NO<sub>x</sub> emissions

381 The potential of the PYVAR-CHIMERE system to invert emissions of reactive species is illustrated 382 with the inversion of CO and NO<sub>x</sub> anthropogenic emissions in Europe respectively based on MOPITT CO data and OMI NO<sub>2</sub> data. We have chosen to present an illustration of CO inversion 383 384 over a 7-day window, the first week of March 2015. Considering the short lifetime of NO<sub>x</sub> of a few 385 hours [Valin et al., 2013; Liu et al., 2016], we have chosen to present illustration of NO<sub>x</sub> inversion 386 over a 1-day window, 19 February 2015. These particular periods have been chosen as they present 387 a representative number of super-observations during winter, and as the emissions are high during 388 that period. All the information required by the system to invert CO and NO<sub>x</sub> emissions is listed in 389 Table 1.

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#### 4.1. Data and model description

#### 4.1.1. Observations y

393 We use CO data from the MOPITT instrument [Deeter et al., 2019]. MOPITT has been flown 394 onboard the NASA EOS-Terra satellite, on a low sun-synchronous orbit that crosses the equator at 10:30 and 22:30 LST. The spatial resolution of its observations is about 22x22 km<sup>2</sup> at nadir. It has 395 396 been operated nearly continuously since March 2000. MOPITT CO products are available in three 397 variants: thermal-infrared TIR only, near-infrared NIR only and the multispectral TIR-NIR product, 398 all containing total columns and retrieved profiles (expressed on a ten-level grid from the surface to 399 100 hPa). We choose to constrain CO emissions with the MOPITT surface product for our 400 illustration. Among the different MOPITTv8 products, we choose to work with the multispectral 401 MOPITTv8-NIR-TIR one, as it provides the highest number of observations, with a good 402 evaluation against in situ data from NOAA stations [Deeter et al., 2019]. The MOPITTv8-NIR-TIR 403 surface concentrations are sub-sampled into "super-observations" in order to reduce the effect of 404 errors that are correlated between neighboring observations: we selected the median of each subset 405 of MOPITT data within each  $0.5^{\circ} \times 0.5^{\circ}$  grid-cell and each physical time step (about 5-10 minutes). 406 After this screening, 8437 "super-observations" remain in the 7-day inversion (from 10667 raw 407 observations). It is important to note that the potential of MOPITT to provide information at a high 408 temporal resolution, up to the daily scale, is hampered by the cloud coverage (see the blanks in 409 Figure 5b).

410

411 The observational constraint on NO<sub>2</sub> emissions comes from the OMI QA4ECV tropospheric 412 columns [Muller et al., 2016; Boersma et al., 2016, Boersma et al., 2017]. The Ozone Monitoring Instrument (OMI), a near-UV/Visible nadir solar backscatter spectrometer, was launched onboard 413 414 EOS Aura in July 2004. It has been flown on a 705 km sun-synchronous orbit that crosses the 415 Equator at 13:30 LT. Our data selection follows the criteria of the OMI QA4ECV data quality 416 statement. As the spatial resolution of the OMI data is finer than that of the chosen CHIMERE model grid ( $13x24 \text{ km}^2$  against  $0.5^{\circ} \times 0.5^{\circ}$ , respectively), the OMI tropospheric columns are sub-417 sampled into "super-observations" (median of the OMI data within the 0.5°×0.5° grid-cell and each 418 419 physical time step and its corresponding AK).

420

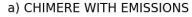
#### 4.1.2 CHIMERE set-up

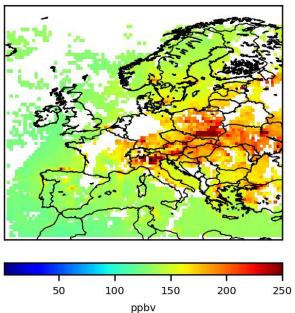
CHIMERE is run over a  $0.5^{\circ} \times 0.5^{\circ}$  regular grid (about  $50 \times 50 \text{ km}^2$ ) and 17 vertical layers, from the 421 surface to 200hPa (about 12km), with 8 layers within the first two kilometers. The domain includes 422 423 101 (longitude) x 85 (latitude) grid-cells (15.5°W-35°E; 31.5°N-74°N, see Figure 3). CHIMERE is 424 driven by the European Centre for Medium-Range Weather Forecasts (ECMWF) meteorological 425 forecast [Owens and Hewson, 2018]. The chemical scheme used in PYVAR-CHIMERE is 426 MELCHIOR-2, with more than 100 reactions [Lattuati, 1997; CHIMERE 2017], including 24 for inorganic chemistry. The prior anthropogenic emissions for CO and NO<sub>x</sub> emissions are obtained 427 from the TNO-GCHco-v1inventory [Super et al., 2020], the last update of the TNO-MACCII 428 429 inventory [Kuenen et al., 2014]. This inventory is based on the EMEP/Centre on Emission 430 Inventories and Projections (CEIP) official country reporting for air pollutants done in 2017. It is an inventory at 6x6km<sup>2</sup> horizontal resolution. From the annual and national budgets, each sector is 431 432 assigned to a specific proxy to quantify the spatial variability of the emissions within each country. 433 Temporal profiles are also provided per Gridded Nomenclature For Reporting (GNFR) sector code 434 (variations due to the month, weekday and hour). Following the Generation of European Emission 435 Data for Episodes (GENEMIS) recommendations [Kurtenbach et al., 2001; Aumont et al., 2003], NO<sub>x</sub> emissions are speciated as 90% of NO, 9.2% of NO<sub>2</sub>, and 0.8% of nitrous acid (HONO). The 436 437 TNO-GHGco-v1 inventory has been aggregated to the CHIMERE grid.

439 The prior anthropogenic emissions for VOCs are obtained from the EMEP inventory [Vestreng et 440 al., 2005; EMEP/CEIP website]. Biogenic emissions come from the Model of Emissions of Gases 441 and Aerosols from nature (MEGAN) [Guenther et al., 2006]. Different climatological values from 442 the LMDZ-INCA global model [Szopa et al., 2008] or from a Monitoring Atmospheric 443 Composition and Climate (MACC) reanalysis are used to prescribe concentrations at the lateral and 444 top boundaries and the initial atmospheric composition in the domain. Full access to and more 445 information about the MACC reanalysis data can be obtained through the MACC-II web site 446 (http://www.copernicus-atmosphere.eu). In order to ensure realistic fields of simulated CO and NO<sub>2</sub> 447 concentrations from the beginning of the inversion period, runs have been preceded with a 10-day 448 spin-up.

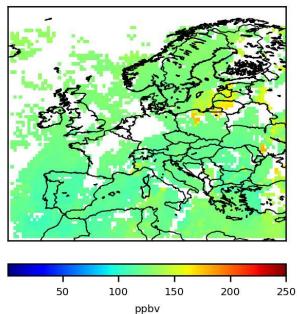
## 4.1.3. CO Sensitivity to emissions and to initial and boundary conditions

449 With its lifetime of about two months, CO could be strongly influenced by the initial and lateral 450 boundary conditions prescribed in the CTM. In fact, as seen in Figure 4b, initial and boundary 451 conditions provide a relatively flat background and the patterns which appear clearly over the 452 background are linked to surface emissions (Figure 4a). To characterize the uncertainties in the 453 concentration fields due to the initial and lateral boundary conditions, we performed a sensitivity 454 test by using either climatological values from LMDZ-INCA or a MACC reanalysis: maximum 455 relative differences in concentrations of about 15% over continental land are estimated (Figure 4c). 456 The errors assigned to initial and boundary conditions in Section 4.2.2 are based on this sensitivity 457 test.

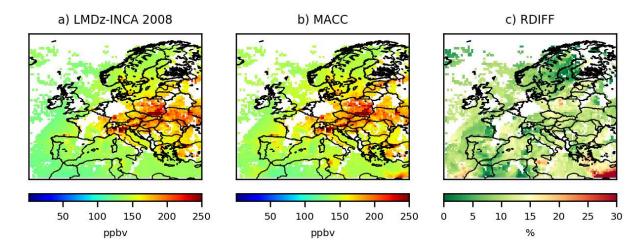








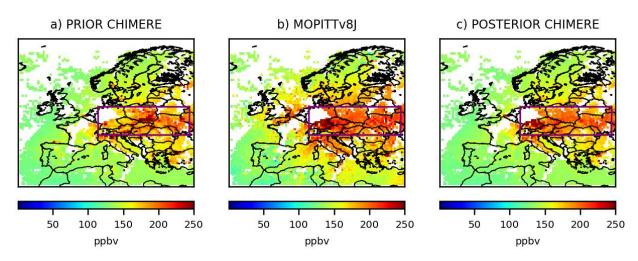
**Figure 3.** Mean CO surface concentrations from the  $1^{st}$  to the  $7^{th}$ , March 2015 simulated by CHIMERE a) with anthropogenic and biogenic emissions, and b) without emissions, in ppbv, at the  $0.5^{\circ}x0.5^{\circ}$  grid-cell resolution.



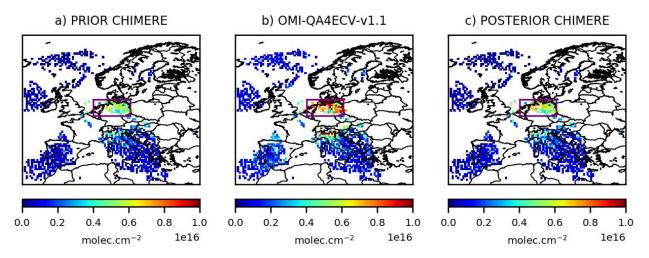
**Figure 4**. Mean CO surface concentrations from the 1<sup>st</sup> to the 7<sup>th</sup>, March 2015 simulated by CHIMERE using for initial and boundary conditions, a) the climatological values from the LMDZ-INCA global model b) the climatological values from a MACC reanalysis, in ppbv, and c) the relative differences between these two simulations, in %, at the 0.5°x0.5° grid-cell resolution.

#### 4.1.4. Comparison between CHIMERE and the observations

Large discrepancies are found between the MOPITT CO observations (Figure 5b) and the prior 460 461 simulation by CHIMERE over Europe (Figure 5a). For the first week of March 2015, CO 462 concentrations are generally under-estimated by CHIMERE, particularly over Central and Eastern 463 Europe (excepted in the south of Poland). On the contrary, CO concentrations seem to be overestimated over Spain and Portugal. Large discrepancies are also found between the OMI NO2 super-464 465 observations and the prior simulation by PYVAR-CHIMERE (Figure 6), as already noticed by 466 Huijnen et al. [2010], with an inter-comparison of NO<sub>2</sub> OMI-DOMINO tropospheric columns with 467 an ensemble of European regional air quality models including CHIMERE. Over Europe, the prior 468 simulation strongly underestimates the tropospheric columns over industrial areas (e.g., over the 469 Netherlands and over Po Valley). These discrepancies might be due to different causes, which can 470 all interact. A source of uncertainties is related to the observations. For example, satellite data inter-471 comparison studies reveal large differences between different retrievals of the same compound [Qu 472 et al., 2020]. It can be explained by uncertainties from the CTM (e.g., through the underestimation 473 of the atmospheric production or the underestimation of the species lifetime). It could also be 474 explained by an underestimation of the anthropogenic emissions in the BU inventory.



**Figure 5**. Mean CO collocated surface concentrations from the  $1^{st}$  to the  $7^{th}$ , March 2015 a) simulated by CHIMERE using the prior TNO-GHGco-v1 emissions and the climatological values from the LMDZ-INCA global model for initial and boundary conditions, b) observed by MOPITTv8-NIR-TIR and c) simulated by CHIMERE using the posterior emissions, in ppbv, at the  $0.5^{\circ}x0.5^{\circ}$  grid-cell resolution. Statistics for the comparison between simulations and observations are given in Table 4 for the area in the purple box.



**Figure 6.** NO<sub>2</sub> collocated tropospheric columns a) simulated by CHIMERE using the prior TNO-GHGco-v1 emissions and the climatological values from the LMDZ-INCA global model for initial and boundary conditions, b) observed by OMI and c) simulated by CHIMERE using the posterior emissions, in 10<sup>16</sup> molec.cm<sup>-2</sup>, at the 0.5°x0.5° grid-cell resolution, the 19<sup>th</sup>, February 2015. Statistics for the comparison between simulations and observations are given in Table 5 for the area in the purple box.

4.2. Inversions

| • • •      |                                                                                                                                              |
|------------|----------------------------------------------------------------------------------------------------------------------------------------------|
| 478        | 4.2.1. Control vector x                                                                                                                      |
| 479        | For the CO inversion, the control vector <b>x</b> contains:                                                                                  |
| 480        | • the CO anthropogenic emissions at a 7-day temporal resolution, a $0.5^{\circ} \times 0.5^{\circ}$ (longitude,                              |
| 481        | latitude) horizontal resolution, and 8 vertical levels, i.e. $101 \times 85 \times 8$ components in <b>x</b> ,                               |
| 482        | • the CO 3D initial conditions at a $0.5^{\circ} \times 0.5^{\circ}$ (longitude, latitude) resolution $\times$ 17 vertical                   |
| 483        | levels,                                                                                                                                      |
| 484        | • the CO lateral and top boundary conditions at a 7-day temporal resolution, at a $0.5^{\circ} \times 0.5^{\circ}$                           |
| 485        | (longitude, latitude) resolution, i.e. $(2x101 + 2x85)$ and 17 vertical levels.                                                              |
| 486        | Considering its short lifetime, there is no boundary conditions for NO <sub>2</sub> . For the NO <sub>x</sub> inversion, the                 |
| 487        | control vector <b>x</b> contains:                                                                                                            |
| 488        | • the NO and NO <sub>2</sub> anthropogenic emissions at a 1-day temporal resolution, at a $0.5^{\circ} \times 0.5^{\circ}$                   |
| 489        | (longitude, latitude) resolution and 8 vertical levels, i.e. 101×85×8 grid cells,                                                            |
| 490<br>491 | <ul> <li>the NO and NO<sub>2</sub> 3D initial conditions at a 0.5° ×0.5° (longitude, latitude) resolution and 17 vertical levels.</li> </ul> |
| 492        |                                                                                                                                              |
| 493        | 4.2.2. Covariance matrices B and R                                                                                                           |
| 494        | To our knowledge, there are few available studies dealing with the estimates of the uncertainties in                                         |
| 495        | gridded bottom-up emission inventories at the 0.5°x0.5° resolution or higher. The characterization                                           |
| 496        | of their statistics in the inversion configuration is consequently often based on crude assumptions                                          |
| 497        | from the inverse modelers. Consequently, as an example for the $NO_x$ inversion, different sensitivity                                       |
| 498        | tests described in Table 3 have been performed for the construction of the B matrix. For both the                                            |
| 499        | prior NO and NO <sub>2</sub> emissions at 1-day and $0.5^{\circ}$ resolution, the prior error standard deviations are                        |
| 500        | first assigned to 50% of the prior estimate of the emissions (test A), as in Souri et al. [2020].                                            |

502 100% of the prior estimate of the emissions (test C and test D, respectively, Figure 8).

With prior error standard deviations set at 15% of the initial conditions, the changes in initial conditions are very small (not shown) and do not affect the posterior emissions (test B, Figure 8). As indicated in Section 3.4 and in Table 1, it is possible to use correlations in **B**, as in Broquet et al. [2011], in Broquet et al. [2013] and in Kadygrov et al. [2015]. We demonstrate the strong impact of spatial correlations, defined by an e-folding length of 50km over land and over the sea, on our inversions results (test E, Figure 8).

Sensitivity tests have also been performed with prior error standard deviations assigned to 80 and

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| Name of<br>the<br>sensitivity<br>tests | Prior error standard<br>deviations in B |                                   | Spatial<br>correlation<br>in B | Number of<br>iterations | Reduction of the<br>norm of the gradient<br>of <i>J</i> |
|----------------------------------------|-----------------------------------------|-----------------------------------|--------------------------------|-------------------------|---------------------------------------------------------|
|                                        | On prior<br>emissions                   | On prior<br>initial<br>conditions |                                |                         |                                                         |
| А                                      | 50%                                     | -                                 | -                              | 4                       | 99%                                                     |
| В                                      | 50%                                     | 15%                               | -                              | 6                       | 98%                                                     |
| С                                      | 80%                                     | 15%                               | -                              | 7                       | 97%                                                     |
| D                                      | 100%                                    | 15%                               | -                              | 6                       | 95%                                                     |
| Е                                      | 50%                                     | 15%                               | 50km                           | 5                       | 92%                                                     |

**Table 3.** Description of the different sensitivity tests performed for the construction of the *B* matrix for the  $NO_x$  inversion.

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517 Even though annual CO emissions in Western Europe may be well known, with uncertainties of 6% 518 according to Super et al., [2020], larger uncertainties could affect Eastern Europe. Moreover, large 519 uncertainties still affect bottom-up emission inventories at the 0.5° resolution: spatial 520 disaggregation of the national scale estimates to provide gridded estimates causes a significant 521 increase in the uncertainty for CO [Super et al., 2020]. For the inversion of CO emissions, the error 522 standard deviations assigned to the prior CO emissions at 7-day and 0.5° resolution are 100%. This 523 value of 100% has already been chosen in Fortems-Cheiney et al. [2011] and in Fortems-Cheiney et 524 al. [2012]. For this CO illustration, the covariance matrix **B** of the prior errors is defined as diagonal 525 (i.e. only variances in the individual control variables listed in 4.2.1 are taken into account). With 526 such a set-up, in theory, we could obtain negative posterior emissions since the inversion system 527 does not impose a constraint of positivity in the results. Nevertheless, even an uncertainty of 100% 528 leads to a prior distribution mostly (>80%) on the positive side. The assimilation of data showing an 529 increase above the background (at the edges of the domain; not shown) further drive the inversion 530 towards positive emissions for both CO and NO<sub>x</sub> inversions. In practice, our inversion does not lead 531 to negative posterior emissions (Figure 7b). Spatial and temporal correlations in B would further 532 limit the probability to get negative emissions locally by smoothing the posterior emissions at a 533 spatial scale at which the "aggregated" prior uncertainty is smaller than 100%. However, a 534 positivity constraint should be implemented in future versions of the system.

536 Based on the sensitivity test in Figure 4, the errors assigned to the CO lateral boundary conditions 537 and to their initial conditions are set at 15%. As these relative errors are significantly lower than 538 those for the emissions and as variations in the CO surface concentrations are mainly driven by 539 emissions (Figure 3), we assume a small relative influence of the correction of initial and boundary 540 conditions on our results. The variance of the individual observation errors in  $\mathbf{R}$  is defined as the quadratic sum of the measurement error reported in the MOPITT and the OMI data sets, and of the 541 542 CTM errors (including chemistry and transport errors and representativity errors) set at 20% of the 543 retrieval values. The representativity errors could have been reduced with the choice of a finer CTM 544 resolution (e.g., with a resolution closer to the size of the satellite pixel). Error correlations between 545 the super-observations are neglected, so that the covariance matrix  $\mathbf{R}$  of the observation errors is 546 diagonal.

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#### 4.2.3. Inversion of CO emissions

549 Ten iterations are needed to reduce the norm of the gradient of J by 90% with the minimization algorithm M1QN3 and obtain the increments, i.e. the corrections provided by the inversion. The 550 551 prior CO emissions over Europe for the first week of March 2015 and their increments are shown in 552 Figure 7. As expected from the large differences between the prior surface concentrations (Figure 5a) and the MOPITT observations (Figure 5b), local increments can reach more than +50% (Figure 553 7b). CO emissions are increased over Central and Eastern Europe, except in the south of Poland. On 554 555 the contrary, CO emissions are decreased over Spain and Portugal. The analyzed concentrations are the concentrations simulated by CHIMERE with the posterior fluxes: as expected, the optimization 556 557 of the fluxes improves the fit of the simulated concentrations to the observations (Figure 5c), particularly over Central and Eastern Europe. Over this area (see the purple box in Figure 5), the 558 559 mean bias between the simulation and the observations has been reduced by about 27% when using the posterior emissions (mean bias of 11.6 ppbv against 15.9 ppbv with the prior emissions, Table 560 561 4). The RMSE and the standard deviation have been reduced by about 50% and the correlation has 562 been strongly improved (0.74 when using the posterior emissions against 0.02).

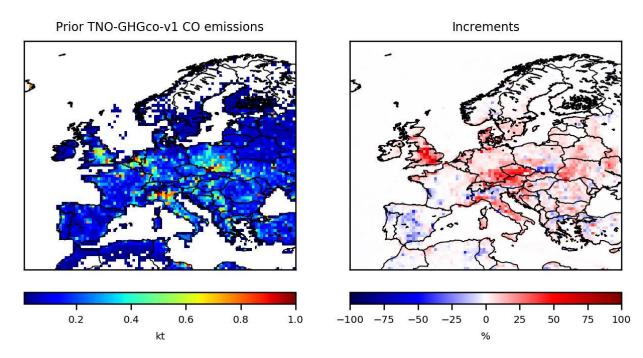


Figure 7. a) TNO-GHGco-v1 CO anthropogenic prior emissions, in ktCO/grid-cell and b)
increments provided by the inversion with constraints from MOPITTv8-NIR-TIR from the 1<sup>st</sup> to the
7<sup>th</sup>, March 2015, in %.

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|            | prior            |            |       |            |                        | posterior  |  |  |  |
|------------|------------------|------------|-------|------------|------------------------|------------|--|--|--|
| MB         | RMSE STD r       |            | MB    | B RMSE STD |                        | r          |  |  |  |
| 15.88      | 41.95 38.82 0.02 |            | 11.58 | 21.14      | 17.69                  | 0.74       |  |  |  |
| (p value = |                  | (p value = |       |            |                        | (p value = |  |  |  |
| 0.99)      |                  |            |       |            | $2.08 \times 10^{-11}$ |            |  |  |  |

Table 4. Statistics for the comparison between simulated and observed CO surface concentrations
over Central and Eastern Europe (see the area in purple in Figure 5). MB= Mean Bias, RMSE=
Root Mean Square Error, STD= Standard Deviation are in ppbv. The spatial correlations r are
presented with their p value.

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## 4.2.4. Inversion of NO<sub>x</sub> emissions

The prior NO<sub>x</sub> emissions and the corrections provided by the different sensitivity tests of Table 3 574 575 are shown in Figure 8. Here, we analyzed the results from inversion E. As expected from the underestimation of the prior tropospheric columns in Figure 6, local increments may be large, for 576 577 example over industrial areas (e.g., over the Po Valley) and over the Netherlands, with increments of more than +50% (Figure 8b). The analyzed NO<sub>2</sub> tropospheric columns in Figure 6c are the 578 579 columns simulated by CHIMERE with the NO<sub>2</sub> posterior fluxes: as expected, the optimization of the fluxes improves the fit of the simulated concentrations to the observations over the Netherlands. 580 581 Over this area (see the purple box in Figure 6), where the OMI uncertainties are lower than 50%

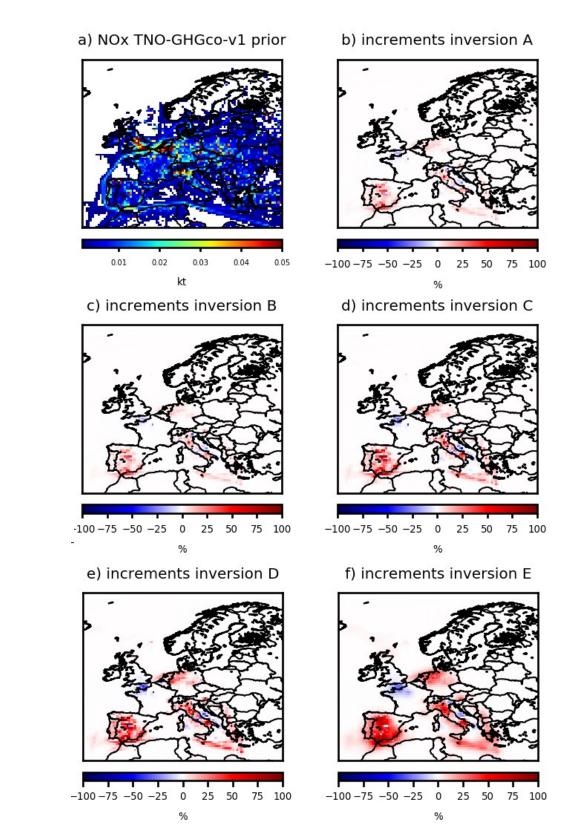
(Figure 9b), the mean bias between the simulation and the observations has been reduced by about 24% when using the posterior emissions (mean bias of  $1.9 \times 10^{15}$  molec.cm<sup>-2</sup> against  $2.6 \times 10^{15}$ molec.cm<sup>-2</sup> with the prior emissions, Table 5, Figure 9a). The RMSE and the standard deviation have been reduced by about 7%. The correlation has not been improved.

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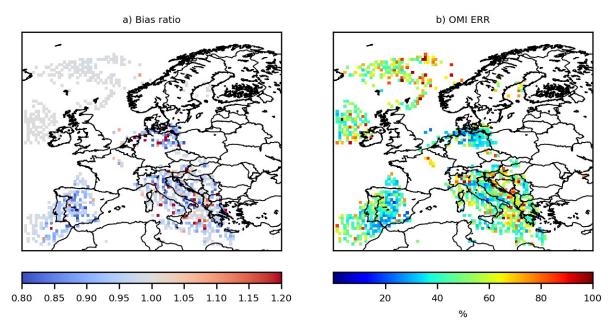
587 Even with high emission increments, the impact on the tropospheric columns is rather small. We have performed a test to explain this lack of sensitivity. We have simulated NO<sub>2</sub> columns with 588 589 anthropogenic emissions increased by a factor 3 compared to the simulation in Figure 6a. The 590 ratio between these two simulations shows strong non-linearities, blurring the multiplicative 591 effect of our increments and explaining the lack of sensitivity (not shown). By increasing NO<sub>x</sub> 592 anthropogenic emissions, NO<sub>2</sub> tropospheric columns can be strongly increased and can even 593 exceed the observations values for particular pixels. NO<sub>2</sub> tropospheric columns can also be 594 decreased or only slightly increased. On average, it tends to increase the concentrations by a 595 factor that is much smaller than the factor of increase in the anthropogenic emissions. 596 However, the patterns where the posterior tropospheric columns exceed the observations or, 597 on the opposite are decreased or only slightly increased, explain why the inversion system 598 does not attempt at increasing further the average level of the concentration (to decrease 599 further the general bias to the observations), even though it accounts for the impact of non-600 linearities in the chemistry through the use of the M1QN3 minimization algorithm.

601

602 The posterior emissions and their uncertainties will have to be evaluated and may bring hints to the cause of the discrepancies between simulated and observed NO<sub>2</sub> tropospheric columns. The biases 603 604 between OMI and simulated NO<sub>2</sub> tropospheric columns are a complex topic that is not related to our 605 CHIMERE simulations only [Huijnen et al., 2010; Souri et al., 2020; Elguindi et al., 2020]. Several 606 studies have indeed already reported that strong non-linear relationships exist between NO<sub>x</sub> 607 emissions and satellite NO<sub>2</sub> columns [Lamsal et al., 2011; Vinken et al., 2014; Miyazaki et al., 2017; Li and Wang, 2019]. This reveals that a fully comprehensive scientific study is required, 608 609 by analyzing the NO<sub>x</sub> lifetime through processes such as the NO<sub>2</sub>+OH reactions and/or the 610 reactive uptake of NO<sub>2</sub> and N<sub>2</sub>O<sub>5</sub> by aerosols [e.g. Lin et al., 2012; Stavrakou et al., 2013].



**Figure 8.** *a)* TNO-GHGco-v1 NO<sub>x</sub> anthropogenic prior emissions, in  $ktNO_2/grid$ -cell and 614 increments provided by the inversion b) A, c) B, d) C, e) D and f) E with constraints from OMI the 615  $19^{th}$ , February 2015, in %. The description of the different inversions is given in Table 3.



618 **Figure 9**. *a) Bias ratio between CHIMERE simulations using the posterior emissions against* 619 *prior TNO-GHGco-v1 emissions compared to the OMI-QA4ECV-v1.1 observations. All ratios* 620 *lower than 1, in blue, demonstrate that posterior emissions improve the simulation compared to* 621 *the prior ones. b) OMI uncertainties, in %, the 19<sup>th</sup>, February 2015.* 

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|                 | prior                |                      |                      |          | posterior            |                       |                      |          |
|-----------------|----------------------|----------------------|----------------------|----------|----------------------|-----------------------|----------------------|----------|
|                 | MB RMSE STD r        |                      |                      | r        | MB                   | RMSE                  | STD                  | r        |
| NO <sub>2</sub> | $2.6 \times 10^{15}$ | $4.0 \times 10^{15}$ | $3.0 \times 10^{15}$ | 0.008    | $1.9 \times 10^{15}$ | $3.74 \times 10^{15}$ | $2.9 \times 10^{15}$ | 0.01     |
|                 |                      |                      |                      | (p=0.96) |                      |                       |                      | (p=0.91) |

**Table 5.** Statistics for the comparison between simulated and observed  $NO_2$  tropospheric columns for the inversion *E*, mainly over the Netherlands (see the area in purple in Figure 6). MB= Mean Bias, RMSE= Root Mean Square Error, STD= Standard Deviation are in molecm.cm<sup>-2</sup>. The spatial correlations *r* are presented with their *p* value.

# 623 **5. Conclusion/Discussion**

This paper presents the Bayesian variational inverse system PYVAR-CHIMERE, which has been 624 adapted to the inversion of reactive species such as CO and NO<sub>x</sub>, taking advantage of the previous 625 626 developments for long-lived species such as CO<sub>2</sub> [Broquet et al., 2011] and CH<sub>4</sub> [Pison et al., 2018]. We show the potential of PYVAR-CHIMERE, with inversions for CO and NOx illustrated 627 628 over Europe. PYVAR-CHIMERE will now be used to infer CO and NO<sub>x</sub> emissions over long 629 periods, e.g. first for a whole season or year and then for the recent decade 2005-2015 in the framework of the H2020 VERIFY project over Europe, and in the framework of the ANR 630 631 PolEASIA project over China, to quantify their trend and their spatio-temporal variability. 632 Nevertheless, as we have reported strong non-linear relationships between NO<sub>x</sub> emissions and satellite NO<sub>2</sub> columns, a fully comprehensive scientific study is required, by analyzing the NO<sub>x</sub>
 lifetime through processes such as the NO<sub>2</sub>+OH reactions and/or the reactive uptake of NO<sub>2</sub>

634 lifetime through processes such as the NO<sub>2</sub>+OH reactions and/or the reactive uptake of NO<sub>2</sub> 635 and N<sub>2</sub>O<sub>5</sub> by aerosols [e.g. Lin et al., 2012; Stavrakou et al., 2013]. Biogenic emissions will be 636 also further studied to better understand the relationship between NO<sub>x</sub> emissions and NO<sub>2</sub>

637 spaceborne columns.

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639 The PYVAR-CHIMERE system can handle any large number of both control parameters and 640 observations. It will be able to cope with the dramatic increase in the number of data in the near future with, for example, the high-resolution imaging (pixel of  $7x3.5 \text{ km}^2$ ) of the new Sentinel-641 5P/TROPOMI program, launched in October 2017. These new space missions with high-resolution 642 643 imaging have indeed the ambition to monitor atmospheric chemical composition for the 644 quantification of anthropogenic emissions. Moreover, a step forward in the joint assimilation of co-645 emitted pollutants will be possible with the PYVAR-CHIMERE system and the availability of 646 TROPOMI co-localized images of CO and NO<sub>2</sub>. This should improve the consistency of the inversion results and can be used to inform inventory compilers, and subsequently improve 647 648 emission inventories. Moreover, this development will help in further understanding air quality 649 problems and addressing air quality related emissions at the national to subnational scales.

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## 651 Author Contribution

All authors have contributed to the manuscript writing (main authors: AFC, GB, IP and GD) and to the development of the present version of the PYVAR-CHIMERE system (main developer: IP). IP and GD have parallelized the adjoint version from Menut et al., [2000], Menut et al., [2003] and Pison et al., [2007]. IP has complemented the adjoint of new parameterizations since the CHIMERE release in 2011 and the tangent-linear model.

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# 658 Code and Data Availability

- 659 OMI QA4ECV NO<sub>2</sub> product can be found here: <u>http://temis.nl/qa4ecv/no2.html</u>.
- 660 MOPITTv8-NIR-TIR CO product can be found here: ftp://l5ftl01.larc.nasa.gov/MOPITT/
- 661 The CHIMERE code is available here: www.lmd.polytechnique.fr/chimere/.
- 662

663 The associated documentation of PYVAR-CHIMERE is available on the website 664 https://pyvar.lsce.ipsl.fr/doku.php/3chimere:headpage. The documentation includes a whole 665 description of PYVAR-CHIMERE and several tutorials on how to run a first PYVAR-CHIMERE 666 simulation or how to run an inversion.

667

# 668 **Competing interests**

- 669 The authors declare that they have no conflict of interest.
- 670

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