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1 **A comparative analysis for a deep learning model (hyDL-CO v1.0) and**  
2 **Kalman Filter to predict CO concentrations in China**

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4 Weichao Han<sup>1†</sup>, Tai-Long He<sup>2†</sup>, Zhaojun Tang<sup>1</sup>, Min Wang<sup>1</sup>, Dylan Jones<sup>2</sup>, Zhe Jiang<sup>1\*</sup>

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6 <sup>1</sup>School of Earth and Space Sciences, University of Science and Technology of China, Hefei,  
7 Anhui, 230026, China.

8 <sup>2</sup>Department of Physics, University of Toronto, Toronto, ON, M5S 1A7, Canada.

9 †These authors contributed equally to this work.

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11 \*Correspondence to: Zhe Jiang ([zhejiang@ustc.edu.cn](mailto:zhejiang@ustc.edu.cn))

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14 **Abstract**

15 The applications of novel deep learning (DL) techniques in atmospheric science are rising  
16 quickly. Here we build a hybrid DL model (hyDL-CO), based on convolutional neural  
17 networks (CNN) and long short-term memory (LSTM) neural networks to provide a  
18 comparative analysis between DL and Kalman Filter (KF) to predict carbon monoxide (CO)  
19 concentrations in China in 2015-2020. We find the performance of DL model is better than KF  
20 in the training period (2015-2018): the mean bias and correlation coefficients are 9.6 ppb and  
21 0.98 over E. China, and are -12.5 ppb and 0.96 over grids with independent observations, (i.e.,  
22 grids with CO observations that are not used in DL training and KF assimilation). By contrast,  
23 the assimilated CO concentrations by KF exhibit comparable correlation coefficients but larger  
24 negative biases. Furthermore, DL model demonstrates good temporal extensibility, in the test  
25 period (2019-2020): the mean bias and correlation coefficients are 95.7 ppb and 0.93 over E.  
26 China, and 81.0 ppb and 0.91 over grids with independent observations, while CO observations  
27 are not fed into the DL model as an input variable. Despite these advantages, we find a weaker  
28 prediction capability of DL model than KF in the test period, and a noticeable underestimation  
29 of CO concentrations at extreme pollution events in the DL model. This work demonstrates the  
30 advantages and disadvantages of DL models to predict atmospheric compositions in respective

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37 to traditional data assimilation, which is helpful for better applications of this novel technique  
38 in future studies.

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## 40 1. Introduction

41 Accurate simulation and prediction of air pollutants are critical for making effective  
42 policies to improve air quality. Chemical transport models (CTMs), as powerful tools, have  
43 been widely used to simulate atmospheric compositions (Li et al., 2019; Chen, X. et al., 2021;  
44 Lu et al., 2021). Despite the advances of CTMs, there are still noticeable discrepancies in the  
45 simulations due to uncertainties in the emission, physical and chemical processes (Quennehen  
46 et al., 2016; Kong et al., 2020). Tropospheric CO is one of the most important pollutants with  
47 significant sources from fossil fuel combustion. Atmospheric observations are thus used to  
48 evaluate the capacity of CTMs to capture the observed variabilities in atmospheric CO. For  
49 example, Kong et al. (2020), exhibited good consistency between modeled and observed CO  
50 variations in China but with significantly underpredicted CO concentrations. Tang et al. (2022),  
51 found the observed CO concentrations are noticeably higher than model simulations over low  
52 polluted areas in China, but with a smaller difference over high polluted areas.

53 Based on CTMs, data assimilation techniques integrate simulations and observations and  
54 thus can improve the modeled atmospheric compositions. For instance, Ma et al. (2019) found  
55 the assimilation of surface observations can effectively reduce the uncertainties in fine  
56 particulate matter (PM<sub>2.5</sub>), ozone (O<sub>3</sub>) and CO forecasts. Peng et al. (2018) assimilated surface  
57 observations, and obtained near-perfect forecasts for PM<sub>2.5</sub>, O<sub>3</sub> and CO on the first day, but the  
58 effects of the data assimilation decayed quickly with longer forecasts. The propagation of  
59 observational information in data assimilation depends on the modeled physical and chemical  
60 processes, i.e., the adjustment over grids lacking observations relies on regional transport of  
61 observational information from other grids. The assimilated results are thus, still affected by

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Deleted: found the modeled spatial variability of nitrogen dioxides (NO<sub>2</sub>) matches well with surface observations but with a large bias in their concentrations.

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Deleted: surface fine particulate matter (PM<sub>2.5</sub>) and ozone (O<sub>3</sub>): the modeled PM<sub>2.5</sub> and O<sub>3</sub>

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74 potential model errors (e.g., the uncertainty in transport), which can lead to rapid decline of  
75 assimilation effects, if observations become unavailable.

76 Accompanied with recent advances in machine learning (ML) techniques, novel data-  
77 driven architectures and approaches have been extensively applied in the field of atmospheric  
78 science (Li, Rui et al., 2020; Zhang et al., 2020; Shi et al., 2021; Xing et al., 2021). Based on  
79 artificial neural networks, particularly, CNNs, DL uses multiple layers of computational  
80 kernels to extract and capture non-linear relationships between input and output variables. The  
81 predictions, provided by DL, are driven by observational or reanalysis data sets, which provides  
82 a new way of predicting atmospheric compositions without the influence of model errors. The  
83 non-linear relationships learned in the training data set can be extended spatially and temporally,  
84 for example, Kleinert et al. (2021) found the DL model can forecast surface O<sub>3</sub> within a 4-day  
85 range. The application of LSTM networks further improves the ability of DL models in  
86 capturing temporal dynamics, for example, Chen, Y. et al. (2021) found the LSTM-based  
87 approach can provide a good prediction for surface PM<sub>2.5</sub> on the next day; He et al. (2022)  
88 exhibited the capability of DL model to predict surface O<sub>3</sub> in North America.

89 Despite the advantages of the DL approaches, the lack of parameterization of physical  
90 and chemical processes implies the predicted atmospheric compositions may deviate from the  
91 realistic atmospheric state, in contrast to conventional data assimilation approaches that are  
92 constrained by modeled processes. The lifetime of tropospheric CO is about 1-2 months, which  
93 makes it an ideal tracer for atmospheric transport. In this study, we present an application of a  
94 hybrid DL model (hyDL-CO) on the prediction of surface CO concentrations in China from  
95 2015 to 2020, which utilizes both CNNs and LSTMs. We perform a comparative analysis  
96 between the DL model and a KF system in this work, to investigate the performances of the  
97 two approaches in predictions of atmospheric composition with a long lifetime and strong  
98 regional transport. Considering the lifetimes of O<sub>3</sub> and PM<sub>2.5</sub> are shorter than CO, we may

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111 assume comparable or better performances of DL in the predictions of O<sub>3</sub> and PM<sub>2.5</sub>. The  
112 comparison in this work is helpful for understanding the advantages and disadvantages of the  
113 DL approach in respective to traditional data assimilation in the predictions of atmospheric  
114 compositions, which is critical for better applications of this novel technique in atmospheric  
115 environmental studies in the future.

116 This paper is organized as follows: in Section 2, we describe the CO observations, the  
117 KF approach and the hyDL-CO model used in this work. In Section 3, we assess the predicted  
118 CO by the DL model, the changes in CO emissions in China, as well as the comparison between  
119 the DL model and KF, and the evaluation with independent observations. Our conclusions  
120 follow in Section 4.

## 122 2. Data and Methodology

### 123 2.1 MEE surface CO measurements

124 We use the China Ministry of Ecology and Environment (MEE) monitoring network  
125 surface in-situ CO concentration data (<https://quotsoft.net/air/>) for the period of 2015–2020.  
126 These real-time monitoring stations have the ability to report hourly concentrations of criteria  
127 pollutants from about 1700 sites in 2020. Concentrations were reported by the MEE in units of  
128 ug/m<sup>3</sup> under standard temperature (273 K) until 31 August 2018. This reference state was  
129 changed on 1 September 2018 to 298 K. We converted CO concentrations to ppb and rescaled  
130 post-August 2018 concentrations to standard temperature (273 K) to keep the consistency in  
131 the trend analysis. The reported data with CO concentrations larger than 6000 ppb are removed  
132 in our analysis. The station-based observations are averaged and regrided to the 0.5°x0.625°  
133 grid of the MERRA-2 reanalysis, with totally about 500 grids having observations. 10% grid-  
134 based observations (about 50 grids) are randomly selected as independent observations, which  
135 are only used in the evaluation of the predicted CO from the DL model and the KF system. The  
136 training of the DL model and the assimilation using the KF are performed using the remaining  
137 90% observations.

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## 141 2.2 KF approach

142 We employ the sequential KF based on the GEOS-Chem CTM to assimilate surface CO  
143 observations. This approach has been used in previous studies to optimize tropospheric CO  
144 concentrations (Jiang et al., 2017; Tang et al., 2022). The GEOS-Chem model  
145 (<http://www.geos-chem.org>, version 12-8-1) is driven by assimilated meteorological data of  
146 MERRA-2. Our analysis is conducted at a horizontal resolution of nested  $0.5^\circ \times 0.625^\circ$  and  
147 employs the CO-only simulation in GEOS-Chem, which uses archived monthly OH fields from  
148 the full chemistry simulation (Fisher et al., 2017). The CO boundary conditions are updated  
149 every 3-hour from a global simulation with  $4^\circ \times 5^\circ$  resolution. Emissions in GEOS-Chem are  
150 computed by the Harvard-NASA Emission Component (HEMCO). Global default  
151 anthropogenic emissions are from the Community Emissions Data System (CEDS) (Hoesly et  
152 al., 2018) and replaced by MEIC (Multiresolution Emission Inventory for China) in China and  
153 MIX (full name) in other regions of Asia (Li et al., 2017). The total anthropogenic CO  
154 emissions in MEIC inventory are further scaled with linear projection. We refer the reader to  
155 Chen, X. et al. (2021) for the details of model configurations.

156 In the assimilation algorithm, the forward model ( $M$ ) predicts CO concentration ( $x_{at}$ ) at  
157 time  $t$ :

$$158 \quad x_{at} = M_t x_{t-1} \quad (\text{Eq. 1})$$

159 The optimized CO concentrations can be expressed as:

$$160 \quad x_t = x_{at} + G_t (y_t - K_t x_{at}) \quad (\text{Eq. 2})$$

161 where  $y_t$  is observation,  $K_t$  represents operation operator which projects CO concentrations  
162 from the model space to the observation space.  $G_t$  is the KF Gain matrix, which can be  
163 described as:

$$164 \quad G_t = S_{at} K_t^T (K_t S_{at} K_t^T + S_\epsilon)^{-1} \quad (\text{Eq. 3})$$

165 where  $S_{at}$  and  $S_\epsilon$  are model and observation covariance, respectively. Because the DL  
166 model is designed to reproduce observations without considering error covariance, here we

167 assume fixed model error (50%) and small observation error (1%) to provide a fair comparison.

168 The covariance matrix is diagonal without the consideration of off-diagonals.

169

### 170 2.3 hyDL-CO v1.0 model

171 Our hyDL-CO model is a modified version of the U-net model used in He et al. (2022),  
172 where the model shows a superior capability in predicting surface summertime O<sub>3</sub> in North  
173 America. The U-net architecture is a variant of autoencoder and was originally proposed for  
174 biomedical segmentation applications. In the first U-net paper, Ronneberger et al. (2015)  
175 conducted three experiments and showed that the U-net model outperforms other DL models.  
176 Since the proposal of U-net, it has become one of the most popular choices in the DL  
177 community and is compared with other ML models in many studies. For example, Korznikov  
178 et al. (2021) used several ML models for tree recognition using satellite images and the U-net  
179 model shows the highest accuracy. Ravuri et al. (2021) used U-net as a baseline model and  
180 compared against their Generative Adversarial Network (GAN) in precipitation nowcasting.  
181 Andersson et al. (2021), showed that their IceNet, which is an ensemble of similar U-Net  
182 networks, has outstanding performance in seasonal forecasts of Arctic Sea ice.

183 As shown in Fig. 1, the first three blocks of neural layers behave as an encoder, which  
184 has six convolutional layers and two max pooling layers, to extract the features hidden in the  
185 input data. A dropout layer is added after each pooling layer to prevent data overfitting. The  
186 output from the encoder is highly compressed information that is not manipulated during the  
187 training process, which is also called the latent vector. We embed the LSTM model into the U-  
188 net architecture after the encoder, inspired by the idea of convolutional LSTM proposed in Shi  
189 et al. (2015), to capture short-term changes and long-term trends in the latent vectors. The  
190 output from the LSTM is then forwarded to a decoder with three blocks of layers. Each block  
191 in the decoder has one transposed convolutional layer followed by two convolutional layers.  
192 The outputs from each convolutional layer in the model are passed through the Rectified Linear  
193 Unit (ReLU) activation function to increase non-linearity. Residual learning connections (He  
194 et al., 2016) that forward the high-resolution features extracted by the encoder to the decoder

**Deleted:** We combine CNN and LSTM to obtain a hybrid model for the prediction of surface CO in China, following . As shown in Fig. 1, the hyDL-CO model is an autoencoder with the latent space represented by a LSTM cell. The

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are also added, which are shown to improve the performance of U-net (Ghorbanzadeh et al., 2021; Qi et al., 2020; Liu et al., 2020). These connections contain trainable weights that represent a more direct relationship between input and output variables.

The optimization of the model is supervised by the "ground truth", which is the daily mean surface CO concentrations measured by the MEE network. The weights in the CNNs and transposed CNNs are optimized using the back-propagation algorithm (Rumelhart et al., 1986; LeCun et al., 1989), which employs the partial derivatives of the cost function with respect to the truth. Here cost function is defined as:

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

where  $y_i$  and  $\hat{y}_i$  are the "true" and "predicted" values. This performance evaluation is calculated only in the grid with "true" values, so that the optimization of the model avoids the influence of regions without CO observations. The loss function to be optimized is the mean

square error (MSE) between the "predicted" and "true" values. We use the Adam optimizer, which is a computationally efficient algorithm for gradient-based optimization of stochastic objective functions. For a faster convergence speed and the stability of the model performance, we rescale all the features to the nearly same scale. The processing method is multiplying the original variable by a constant  $10^n$  and adapting  $n$  for each variable according to the specified scale. For example, most of the values of sea level pressure (SLP) are distributed around  $10^5$ , so we multiply SLP by  $10^{-4}$  to make the value of the feature SLP distributed around  $10^1$ . This processing prevents the DL model to be overfit by the features in input variables that have significantly larger scales than others. The hybrid model was built and implemented using Keras and Tensorflow, which are Python packages that are extensively used in DL studies.

Table 1 shows some of the configuration hyperparameters of the training of our model.

The input variables include six meteorological variables: SLP, surface incoming shortwave flux (SWGDN), 2-meter air temperature (T2M), 10-meter eastward wind (U10M), 10-meter northward wind (V10M) and total precipitation (TP); and total anthropogenic CO and volatile organic compounds (VOC) emissions. The meteorology and emission data are

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232 extracted from the GEOS-Chem model with  $0.5^{\circ} \times 0.625^{\circ}$  horizontal resolution. Our focus area  
233 is  $0-72^{\circ}\text{N}$ ,  $0-180^{\circ}\text{E}$ , and the output resolution is same as the  $0.5^{\circ} \times 0.625^{\circ}$  resolution of  
234 MERRA-2. The DL model grid thus has 288 grid boxes along the longitudinal direction and  
235 144 for the latitude. Considering the long lifetime of CO, the concentration of surface CO is  
236 not only related to the emission and meteorological conditions at the current moment, but also  
237 at the previous moment. We trained the DL model using the information related to the “history”  
238 of CO, by adding the same set of input variables for the current day and previous four days as  
239 predictors. The information from the 5-day history has 40 predictors in total for the prediction  
240 of daily mean surface CO in each day. We use 2015-2018 as the training data set and 2019-  
241 2020 as the test set. The dimension of each input vector for the DL model is then (144,288,40),  
242 and the dimension of the output from the DL model is (144,288,1).

243

### 244 **3. Results and Discussions**

#### 245 **3.1 CO concentrations predicted by DL model**

246 As shown in Fig. 2A, the annual averaged MEE CO observations are broadly higher than  
247 400 ppb in E. China in 2015-2018 and can reach 1000 ppb over highly polluted North China  
248 Plain (NCP). The predicted CO concentrations by the DL model (Fig. 2B) match well with  
249 observations in 2015-2018. We find small differences between predictions and observations in  
250 Fig. 2C. The Pearson correlation coefficients are larger than 0.7 over E. China and are as high  
251 as 0.9 over highly polluted NCP (Fig. 2D). Fig. 3A-E exhibit daily variabilities of CO  
252 concentrations over E. China, as well as NCP, Yangtze River Delta (YRD), Pearl River Delta  
253 (PRD) and Sichuan Basin (SCB) domains. There is large seasonality in the observed CO  
254 concentrations: the wintertime CO concentrations can reach 1400 ppb over E. China, and 2500  
255 ppb over highly polluted NCP; the summertime CO concentrations are about 500 ppb over E.  
256 China and 800 ppb over NCP. The predicted CO concentrations by the DL model demonstrate  
257 high consistency with observations. As shown in Table 2, the correlation coefficients between



DL model and MEE CO observations are 0.98, 0.97, 0.93, 0.89 and 0.90; the biases are 9.6, 18.2, -2.6, 12.7 and 17.6 ppb for E. China, NCP, YRD, PRD and SCB, respectively.

The high consistency between observations and DL model in the training period (2015-2018) is expected. Here we further evaluate the capability of DL model to predict CO concentrations without the inputs of CO observations (i.e., in the test period). Fig. 2E shows the MEE CO observations in 2019-2020. As shown in Fig. 2F, the DL model overestimated surface CO concentrations in 2019-2020, particularly, over highly polluted NCP. The Pearson correlation coefficients in 2019-2020 (Fig. 2H) are slightly lower than those in the training period (Fig. 2D). As shown in Fig. 3F, the predicted CO concentrations exhibit larger deviations from observations in 2019-2020. The correlation coefficients (See Table 2) between observed and predicted CO in the test period are 0.93, 0.92, 0.81, 0.80 and 0.83; the biases are 95.7, 224.2, 22.0, 60.8 and 52.8 ppb for E. China, NCP, YRD, PRD and SCB, respectively. Consequently, the lack of inputs of CO observations in the test period led to a decline of prediction capability, but it is still high enough to provide useful information to predict CO variabilities.

### 3.2 Changes of CO emissions inferred by DL model

Here we further explore the possible sources for the deviations of predicted CO concentrations from observations in 2019-2020. The observed CO concentrations are about 640 ppb in the summer of 2015 and decreased gradually to about 620 ppb by the summer of 2018. However, the observed CO concentrations dropped to about 550-530 ppb in the summer of 2019 and 2020. The rapid decrease of surface CO concentrations is dominated by highly polluted NCP (Fig. 3G), whereas the differences between predicted and observed CO concentrations are limited over other domains. The rapid decrease of surface CO concentrations over NCP 2019 could be associated with an unexpected drop in CO emissions, which is not considered in the linear projection of emission inventory, and led to overestimated CO

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292 concentrations in the DL model. In addition, recent studies (Li, K. et al., 2020; Chen, X. et al.,  
293 2021) indicated a dramatic increase in surface O<sub>3</sub> concentration over NCP in 2019. The possible  
294 changes in atmospheric oxidation capability and sink of CO may not be sufficiently captured  
295 by the DL model, as the relevant information is not used as the input while training the model.

296 The unprecedented lockdowns across the world to contain the 2019 novel coronavirus  
297 (COVID-19) spread have led to a slowdown of economic activities, with pronounced declines  
298 in anthropogenic emissions. Shi and Brasseur (2020) found surface CO concentrations over N.  
299 China were 1.2-1.5 and 0.7-1.0 mg/m<sup>3</sup> before and during the pandemic spread. Gaubert et al.  
300 (2021) suggested about 15% reduction in CO emissions over N. China due to the COVID-19  
301 controls. As shown in Fig. 3F, the MEE CO observations are about 10.2% and 25.8% lower  
302 than predicted CO by DL model in Feb 2019, and 2020, respectively; the MEE CO observations  
303 are about 11.1% and 14.2% lower than predicted CO by DL model in Jun-Aug 2019 and 2020,  
304 respectively. Assuming the difference in Jun-Aug (i.e., 11.1% and 14.2%) represents the annual  
305 CO emission trends, our analysis thus, suggests about 12.5% decline in CO emissions caused  
306 by COVID-19 controls, which is consistent with Gaubert et al. (2021).

### 307 3.3 Comparison between DL model and KF assimilation

308 Fig. 2I-P show the MEE CO observations and assimilated CO concentrations by KF in  
309 2015-2018 and 2019-2020. In contrast to the DL approach, CO observations are assimilated in  
310 KF in both periods. While the spatial distributions of assimilated CO match well with  
311 observations, the CO concentrations in the assimilations are noticeably lower. As shown in Fig.  
312 3A-E and Table 2, the differences between assimilated and observed CO are -114.9, -139.6, -  
313 58.0, -108.8 and -29.3 ppb for E. China, NCP, YRD, PRD and SCB, respectively, which are  
314 larger than the differences in the DL model. Furthermore, the modeled CO concentrations in  
315 the control runs (CR, without assimilation of CO observations) are much lower: the differences  
316 are -409.6, -512.3, -246.0, -400.5 and -172.4 ppb for E. China, NCP, YRD, PRD and SCB,

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331 respectively. The dramatic underestimations of CO concentrations in model simulations have  
332 been reported in recent studies (Feng et al., 2020; Kong et al., 2020; Peng et al., 2018), which  
333 could be associated with significant model representation error because most MEE stations are  
334 urban sites (Tang et al., 2022). It reveals the important discrepancy between DL and data  
335 assimilations: the analyzed concentrations in KF are based on the a priori and observed  
336 concentrations by considering the model and observation errors, which is not designed to  
337 reproduce the observations. In addition, the correlation coefficients are 0.99, 0.99, 0.98, 0.94  
338 and 0.96 for E. China, NCP, YRD, PRD and SCB in 2015-2018 in the KF, respectively, which  
339 are comparable with the DL model.

340 As shown in Fig. 3F-J and Table 2, the difference between assimilated and observed CO  
341 concentrations in 2019-2020 are -85.5, -66.3, -52.9, -89.3 and -18.7 ppb for E. China, NCP,  
342 YRD, PRD and SCB, respectively, which are comparable with the differences in DL model  
343 except for highly polluted NCP, even the MEE CO observations are not inputted in DL model  
344 in the test period. The correlation coefficients are 0.99, 0.99, 0.97, 0.96 and 0.96 for E. China,  
345 NCP, YRD, PRD and SCB in 2019-2020 in the KF, respectively, which are higher than the DL  
346 model. In addition, Fig. 4A-B show the relationships between modeled CO and MEE CO  
347 observations. Both DL and KF show dramatic improvements in respective to the CR  
348 simulations in Fig. 4A-B, while the performance of the DL model is better than KF in the  
349 training period (Fig. 4A). In addition, the comparable performances between DL and KF in  
350 2019-2020 (Fig. 4B) demonstrate the good temporal extensibility of DL model, i.e., skills  
351 learned in the training period can be extended to the following years with a limited decline in  
352 the prediction effects.

### 353 **3.4 Evaluation with independent MEE CO observations**

354 Fig. 5A-B show the spatial distributions of predicted CO concentrations by DL model  
355 and MEE CO observations; Fig. 6A-B further exhibit the locations of randomly selected

356 independent MEE stations (about 10% of total stations). These independent stations are not  
357 used in both DL model and KF in 2015-2020. Although we find broadly good agreements in  
358 the spatial distributions between predicted CO concentrations by DL and KF and MEE CO  
359 observations, there is still a noticeable discrepancy. The DL model suggests the highest CO  
360 concentrations in the Shanxi province, by more than 1200 ppb, and background CO  
361 concentrations by about 400 ppb over remote areas. By contrast, the CO concentrations in the  
362 KF (Fig. 5C-D; Fig. 6C-D) are lower, and the highest CO concentrations are found in NCP  
363 rather than Shanxi province. As shown in Fig. 7A-E, the DL model demonstrates a smaller bias  
364 in respective to independent MEE CO observations and higher correlation coefficients than KF  
365 in 2015-2018, suggesting better capability to predict CO concentrations. In 2019-2020 (Fig.  
366 7F-J), the DL model exhibits a smaller bias over E. China, but larger bias than KF over highly  
367 polluted NCP. The Pearson correlation coefficients are smaller in DL in 2019-2020 (See Table  
368 2).

369 As shown in Fig. 4C-D, the assimilated CO concentrations by KF are closer to the control  
370 simulations with larger deviations from the MEE CO observations than those in Fig. 4A-B. It  
371 demonstrates the decline of assimilation effects when observations are unavailable. On the  
372 other hand, the slopes in the linear fits are 0.89 and 0.92 in DL and KF in 2015-2018 (Fig. 4C),  
373 respectively, and become 0.80 and 1.02 in 2019-2020 (Fig. 4D). The deviations in the slopes  
374 reflect an underestimation of CO concentrations in the DL model at grids with extremely high  
375 CO concentrations. DL model predicts CO concentrations based on the skills learned in the  
376 training process. However, the training is dominated by the majority of CO observations with  
377 low and medium CO concentrations, As shown in Fig.4A-B, extreme pollution events, with  
378 CO concentrations > 1200 ppb, account only 3.4% of the total number of observations. It  
379 cannot be learned sufficiently, because the DL model, as a data-driven approach, would require  
380 more observations about the extreme pollution events to improve the predictions. By contrast,

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386 KF is driven by observations directly, so that both high and low CO concentrations can be  
387 simulated. In addition, because most MEE stations are urban sites, the good agreement between  
388 DL model and MEE CO observations may not be able to ensure the accuracy of predicted CO  
389 concentrations over remote rural areas, as well as the high CO concentrations over mountain  
390 areas around urban basins in the Shanxi province. Integration of modeled CO concentrations  
391 in the DL model in future studies may improve predicted CO concentrations over remote areas  
392 without local observations.

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#### 393 4. Conclusion

394 A hybrid DL model (hyDL-CO), based on CNN and LSTM, was built in this work to  
395 provide a comparative analysis between DL and KF to predict CO concentrations in China in  
396 2015-2020. We find the performance of the DL model is better than KF in the training period  
397 (2015-2018): the bias and correlation coefficients are 9.6 ppb and 0.98 over E. China, and -  
398 12.5 ppb and 0.96 over grids with independent observations. By contrast, the assimilated CO  
399 concentrations by KF demonstrate comparable correlation coefficients but larger negative  
400 biases: the bias and correlation coefficients are -114.9 ppb and 0.99 over E. China, and -252.5  
401 ppb and 0.95 over grids with independent observations. The larger biases in the KF are caused  
402 by the discrepancy in the algorithm, i.e., the objective of data assimilation is to improve the  
403 simulated atmospheric compositions by considering the model and observation errors, which  
404 is not designed to reproduce the observations. Both DL and KF show better predictions than  
405 the control runs: the bias and correlation coefficients are -409.6 ppb and 0.94 over E. China,  
406 and -443.3 ppb and 0.91 over grids with independent observations.

407 Furthermore, we find good temporal extensibility of the DL model in the test period  
408 (2019-2020): the bias and correlation coefficients are 95.7 ppb and 0.93 over E. China, and  
409 81.0 ppb and 0.91 over grids with independent observations. The correlation coefficients (0.91-  
410 0.93) mean enough capability to provide useful information to predict CO variabilities without

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413 inputs of CO observations. In addition, we find an unexpected drop in CO emissions over  
414 highly polluted NCP in 2019. Our analysis further exhibits a significant decline in CO  
415 emissions in early 2020 due to the COVID-19 controls. Despite these advantages, we find a  
416 noticeable underestimation of CO concentrations at grids with extremely high CO  
417 concentrations in the DL model, because the training is dominated by the majority of CO  
418 observations with low and medium CO concentrations, and thus, the extreme pollution events  
419 cannot be learned sufficiently. This work demonstrates the advantages and disadvantages of  
420 DL models to predict atmospheric compositions in respective to traditional data assimilation.

421 We assume comparable or better performances of DL in the predictions of O<sub>3</sub> and PM<sub>2.5</sub> than  
422 the CO analysis shown in this work, because of their shorter lifetimes, and advise more efforts  
423 to explore new applications of DL models in the predictions of other atmospheric compositions.

424  
425 **Code and data availability:** The MEE CO data can be downloaded from  
426 <https://quotsoft.net/air/>. The GEOS-Chem model (version 12.8.1) can be downloaded from  
427 [http://wiki.seas.harvard.edu/geos-chem/index.php/GEOS-Chem\\_12#12.8.1](http://wiki.seas.harvard.edu/geos-chem/index.php/GEOS-Chem_12#12.8.1). The code of the  
428 hyDL-CO model, sample data for the hyDL-CO model run and GEOS-Chem model output can  
429 be downloaded from <https://doi.org/10.5281/zenodo.5913013>.

430  
431 **Author Contributions:** Z.J. designed the research. W.H. and T.-L.H. developed the model  
432 code and performed the research. Z.J. wrote the manuscript. All authors contributed to  
433 discussions and editing the manuscript.

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#### 447 **Table and Figures**

448 **Table 1.** Hyperparameters used in the hybrid DL model.

449

450 **Table 2.** Deep learning (DL), Kalman Filter (KF) and control run (CR) in respective to MEE  
451 CO observations in 2015-2018 and 2019-2020. The locations of independent MEE stations are  
452 shown in Fig. 6.

453

454 **Figure 1.** Hybrid DL model used in this paper.

455

456 **Figure 2.** (A) MEE CO observations (90% stations) in 2015-2018; (B) Predicted CO  
457 concentrations by DL model in 2015-2018; (C-D) differences and Pearson correlation  
458 coefficients between predicted and observed CO in 2015-2018. (E-H) MEE CO observations,  
459 (90% stations), predicted CO concentrations by DL model and their differences, and Pearson  
460 correlation coefficients in 2019-2020. (I-P) Same as panels A-H, but for KF. The unit is ppb.

461

462 **Figure 3.** Daily variabilities of CO concentrations from MEE, (90% stations), DL and KF in  
463 2015-2018 and 2019-2020.

464

465 **Figure 4.** (A-B) Relationships between CO concentrations provided by DL, KF, control run  
466 (CR) and MEE CO observations in 2015-2018 and 2019-2020. The dots represent daily average  
467 of CO concentrations over E. China. The unit is ppb. (C-D) Same as panels A-B, but with  
468 randomly selected independent MEE stations. The locations of independent MEE stations are  
469 shown in Fig. 6.

470

471 **Figure 5.** (A-B) Predicted by DL (contour) and MEE (dotted) surface CO concentrations in  
472 2015-2018 and 2019-2020; (C-D) Same as panels A-B, but for KF.

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476 **Figure 6.** (A-B) Predicted by DL (contour) and independent MEE (dotted) surface CO  
477 concentrations in 2015-2018 and 2019-2020; (C-D) Same as panels A-B, but for KF. The  
478 randomly selected independent MEE stations (about 10% of total stations) are not used in both  
479 DL and KF in 2015-2020.

480

481 **Figure 7.** Daily variabilities of CO concentrations from independent MEE stations, DL and KF  
482 in 2015-2018 and 2019-2020. The locations of independent MEE stations are shown in Fig. 6.

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