## 1 Multidecadal ozone trends in China and implications for human

# 2 health and crop yields: A hybrid approach combining chemical

# 3 transport model and machine learning

Jia Mao<sup>1</sup>, Amos Pui Kuen Tai<sup>1,2,3</sup>, David Ho Yin Yung<sup>1</sup>, Tiangang Yuan<sup>1</sup>, Kong Ting Chau<sup>1</sup>, and
 Zhaozhong Feng<sup>3,4</sup>

6 <sup>1</sup> Earth and Environmental Sciences Programme and Graduate Division of Earth and Atmospheric Sciences, Faculty of

7 Science, The Chinese University of Hong Kong, Hong Kong SAR, China

<sup>2</sup> State Key Laboratory of Agrobiotechnology, and Institute of Environment, Energy and Sustainability, The Chinese
 University of Hong Kong, Hong Kong SAR, China

10 <sup>3</sup> Collaborative Innovation Center on Forecast and Evaluation of Meteorological Disasters (CIC-FEMD), Nanjing

11 University of Information Science and Technology, Nanjing, Jiangsu, China

<sup>4</sup> Key Laboratory of Ecosystem Carbon Source and Sink, China Meteorological Administration (ECSS-CMA), Nanjing

13 University of Information Science & Technology, Nanjing, Jiangsu, China

14 Correspondence to: Amos P. K. Tai (amostai@cuhk.edu.hk)

15 Abstract. Surface ozone (O<sub>3</sub>) is well known to pose significant threats to both human health and crop production worldwide.

16 However, a multi-decadal assessment of O<sub>3</sub> impacts on public health and crop yields in China is lacking due to insufficient

17 long-term continuous O<sub>3</sub> observations. In this study, we used a machine learning (ML) algorithm to correct the biases of

- 18 O<sub>3</sub> concentrations simulated by the chemical transport model from 1981–2019 by integrating multi-source datasets. The
- ML-enabled bias correction offers improved performance in reproducing observed  $O_3$  concentrations, and thus further improves our estimates of  $O_3$  impacts on human health and crop yields. The warm-season increasing trend of  $O_3$  in Beijing-
- Tianjin-Hebei and its surroundings (BTHs), Yangtze River Delta (YRD), Sichuan Basin (SCB) and Pearl River Delta (PRD) regions are  $0.32 \ \mu g \ m^{-3} \ yr^{-1}$ ,  $0.63 \ \mu g \ m^{-3} \ yr^{-1}$ ,  $0.84 \ \mu g \ m^{-3} \ yr^{-1}$ , and  $0.81 \ \mu g \ m^{-3} \ yr^{-1}$  from 1981 to 2019, respectively. In
- more recent years, O<sub>3</sub> concentrations experience more fluctuations in the four major regions. Our results show that only
- BTHs have a perceptible increasing trend of 0.81  $\mu$ g m<sup>-3</sup> yr<sup>-1</sup> during 2013–2019. Using AOT40-China exposure-yield
- response relationships, the estimated relative yield losses (RYLs) for wheat, rice, soybean and maize are 17.6%, 13.8%, 11.3% and 7.3% in 1981, and increases to 24.2%, 17.5%, 16.3% and 9.8% in 2019, with an increasing rate of +0.03% yr<sup>-</sup>
- $^{1}$ , +0.04% yr<sup>-1</sup>, +0.27% yr<sup>-1</sup> and +0.13% yr<sup>-1</sup>, respectively. The estimated annual all-cause premature deaths induced by O<sub>3</sub> increase from ~55.900 in 1981 to ~162,000 in 2019 with an increasing trend of ~2,980 deaths yr<sup>-1</sup>. The annual premature
- increase from ~55,900 in 1981 to ~162,000 in 2019 with an increasing trend of ~2,980 deaths  $yr^{-1}$ . The annual premature deaths related to respiratory and cardiovascular disease are ~34,200 and ~40,300 in 1998, and ~26,500 and ~79,000 in
- 30 2019, having a rate of change of -546 and +1,770 deaths yr<sup>-1</sup> during 1998–2019, respectively. Our study, for the first time,

31 used ML to provide a robust dataset of O<sub>3</sub> concentrations over the past four decades in China, enabling a long-term

32 evaluation of O<sub>3</sub>-induced crop losses and health impacts. These findings are expected to fill the gap of the long-term O<sub>3</sub>

33 trend and impact assessment in China.

### 34 1 Introduction

Surface ozone  $(O_3)$ , an important secondary air pollutant, is mainly generated through photochemical reaction of volatile organic compounds (VOCs), carbon monoxide (CO), and nitrogen oxides (NO<sub>x</sub>) in the presence of sunlight. As a strong oxidant, O<sub>3</sub> at the ground level is detrimental to human health and vegetation. More recently, due to the rapid

urbanization and industrialization, the summertime O<sub>3</sub> pollution has become an emerging concern in China. Li et al. (2020) 38 39 reported that the mean summer 2013–2019 trend in maximum daily 8-h average surface O<sub>3</sub> (MDA8-O<sub>3</sub>) was +1.9 ppb yr<sup>-</sup> 40 <sup>1</sup> in China, with high values widely observed in the North China Plain (NCP), Yangtze River Delta (YRD), and Pearl River 41 Delta (PRD) regions. On the regional scale, the exposure of humans and vegetation to O<sub>3</sub> is greater in China than in other 42 developed regions of the world (Lu et al., 2018). Several studies have suggested the important roles of climate and land 43 cover changes on O<sub>3</sub> pollution in addition to anthropogenic emissions (Fu and Tai, 2015; Wang et al., 2020). It has been 44 suggested that global warming and the changing land use may further increase surface  $O_3$  by the late  $21^{st}$  century (Kawase 45 et al., 2011; Wang et al., 2020), which can pose greater threats to human health and food security.

46 Meteorological factors can modulate the temporal and spatial patterns of O<sub>3</sub> via affecting the physical and chemical 47 processes within the atmosphere (Liu et al., 2019; Mao et al., 2020; Yin and Ma, 2020). High temperature, low relative 48 humidity and low planetary boundary height are conducive to the photochemical production and O<sub>3</sub> accumulation. Jacob 49 and Winner (2009) summarized that the enhanced O<sub>3</sub> levels at higher temperatures are primarily driven by increased 50 biogenic VOC emissions from vegetation and reduced lifetimes of peroxyacetyl nitrate (PAN) due to accelerated 51 decomposition of PAN into NO<sub>x</sub>. Besides, the changes in wind speed and direction can affect O<sub>3</sub> concentrations through 52 transport. Land cover and land use change affects O<sub>3</sub> air quality by perturbing surface fluxes, hydrometeorology, and 53 concentrations of atmospheric chemical components (Tai et al., 2013; Fu and Tai, 2015; Liu et al., 2020; Ma et al., 2021). 54 For instance, the terrestrial biosphere is a major source of isoprene, which plays a significant role in modulating  $O_3$ 55 concentrations. In the Intergovernmental Panel on Climate Change (IPCC) A1B scenario, Tai et al. (2013) found that 56 widespread crop expansion could reduce isoprene emission by  $\sim 10$  % globally compared with the present land use. Such 57 a reduction could decrease O<sub>3</sub> by up to 4 ppb in the eastern US and increase O<sub>3</sub> by up to 6 ppb in South and Southeast Asia, 58 whereby the difference in the sign of responses is primarily determined by the different  $O_3$  production regimes.

59 The increasing health burden due to air pollution has become an important contributor to global disease burden. Some 60 recent studies have demonstrated that short-term  $O_3$  exposure negatively impacts human health, especially via respiratory, 61 and cardiovascular mortality (Shang et al., 2013; Yin et al., 2017b; Feng et al., 2019; Zhang et al., 2022a). In 2015–2018, 62 the estimated annual total premature mortality related to O<sub>3</sub> pollution in 334 Chinese cities was 0.27 million for 2015, 0.28 63 million for 2016, 0.39 million for 2017, and 0.32 million for 2018 (Zhang et al., 2021). Maji and Namdeo (2021) reported 64 that short-term all-cause, cardiovascular and respiratory premature mortalities attributed to the ambient 4<sup>th</sup> highest MDA8-65 O<sub>3</sub> exposure were 156,000, 73,500 and 28,600 in 2019, showing increases of 19.6%, 19.8% and 21.2%, respectively, 66 compared to 2015. Zhang et al. (2022b) reported that each 10 µg m<sup>-3</sup> increase in the MDA8-O<sub>3</sub> can lead to a rise of 0.41 % 67 (95 % CI: 0.35 %-0.48 %) in all-cause, 0.60 % (95 % CI: 0.51 %-0.68 %) in cardiovascular and 0.45 % (95 % CI: 0.28 %-68 0.62 %) in respiratory mortality.

69 The damage to plants induced by  $O_3$  is mainly caused by the stomatal uptake of  $O_3$  into the leaf interior instead of 70 direct plant surface deposition (e.g., Clifton et al., 2020). In previous studies, a variety of concentration-based metrics have 71 been widely used to assess the O<sub>3</sub> risks to crop yield and ecosystem functions. Initially, a 7-hour (09:00-15:59) mean metric 72 (M7) was proposed, which was later extended to a 12-hour (08:00–19:59; referred to M12) to include late-day O<sub>3</sub> 73 concentrations. Cumulative metrics have also been developed to evaluate the impacts of O<sub>3</sub> on crops. The accumulated O<sub>3</sub> 74 over a threshold of 40 ppb (AOT40) is a widely used metric to evaluate the phytotoxic effects of O<sub>3</sub>. Compared to AOT40 75 using a linear function, another metrics, W126, considers the nonlinear response of yield loss to O<sub>3</sub> exposure whereby 76 higher O<sub>3</sub> concentrations will progressively induce more severe yield losses. However, many studies have suggested that 77 the stomatal uptake of O<sub>3</sub> is more related to vegetation damage than O<sub>3</sub> exposure per se (Feng et al., 2012; Feng et al., 2018; 78 Pleijel et al., 2022). In the recent two decades, the flux-based approach therefore has been developed and increasingly used 79 to assess the relationships between the stomatal O<sub>3</sub> uptake and crop yields. Tai et al. (2021) compared the results of the 80 estimated global crop yield losses using three concentration-based and two flux-based O<sub>3</sub> exposure metrics, and showed 81 that the concentration-based metrics differ greatly among themselves, while the two flux-based metrics are generally close

to each other, which lie close to the middle of the range covered by all metrics.

83 At present, a comprehensive long-term assessment of O<sub>3</sub> impacts is hindered by a lack of continuous O<sub>3</sub> observations 84 in China (Lu et al., 2018; Gong et al., 2021). From both health and food perspectives, reliable long-term estimates of O<sub>3</sub> are critically needed to better understand the O<sub>3</sub> damage over the past few decades since the beginning of rapid industrial 85 86 transformation in the 1980s. In previous studies, various alternative approaches have been used to address the problem of 87 insufficient observations. The multiple linear regression (MLR) model is often used for extrapolation to construct spatiotemporal distributions of air pollutants (Moustris et al., 2012; Abdullah et al., 2017). However, the linear statistical 88 89 methods are generally limited by their incapability to capture the nonlinear relationships between air pollutants and 90 precursors as well as meteorological fields. Chemical transport models (CTMs), based on mathematical representation of 91 atmospheric physical and chemical processes, are also the common tool to simulate air pollutant concentrations 92 spatiotemporally (Fusco and Logan, 2003; Liu and Wang, 2020a; Wang et al., 2022a). Taking the advantages of the CTM, 93 Fu and Tai (2015) investigated the impacts of historical climate and land cover changes on tropospheric O3 in East Asia 94 between 1980 and 2010. However, the utility of CTMs is often limited by their high computational cost when conducting 95 long-term simulations at high spatiotemporal resolutions. Large biases also exist due to uncertainties in historical emission 96 inventories, parameterization of physical and chemical processes, and initial and/or boundary conditions, and these errors 97 tend to increase at finer spatiotemporal scales.

98 In recent years, machine learning (ML) methods have gained increasing popularity in air pollution studies (Liu et al., 99 2020; Ma et al., 2021). In the early stage of applying ML to atmospheric chemistry, ML methods were usually used as an 100 independent method from CTMs (Hu et al., 2017; Zhan et al., 2017), for instance, to predict O<sub>3</sub> concentrations by mapping the nonlinear relationships between observed O3 concentrations and their possible shaping factors. These applications are 101 102 usually purely data-driven, whereby the ML algorithms do not involve any representation of the physical mechanisms 103 behind the relevant processes. With powerful algorithms and user-friendly hyperparameter tuning processes, some well-104 trained ML models, driven by data from multiple sources including reanalysis and satellite data, have shown even higher 105 predictive capacity than process-based models. The advantages of ML methods over CTMs include more flexible choices for input data and spatiotemporal resolution, and substantially lower computational costs (Bi et al., 2022). However, purely 106 107 data-driven ML methods are known to suffer a lack of transparency and interpretability, which renders it more difficult to 108 offer adequate scientific interpretation for the physical mechanisms behind. Thus, a hybrid approach combining ML 109 algorithms and CTM-simulated results have been increasingly used to predict air pollutants and understand their trends in 110 recent years. Integrating data from various sources, ML methods have been used as a tool to correct the biases in the lower-111 resolution simulated results from CTMs (Di et al., 2017; Ivatt and Evans, 2020; Ma et al., 2021). Based on process-based 112 CTMs integrating decades of accumulated knowledge in Earth system science, while taking advantage of ML to address 113 still-existing model errors, the hybrid approach has great potential in tackling air quality problems (Irrgang et al., 2021).

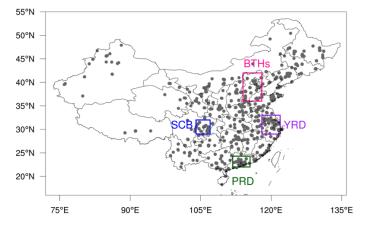
In this work, we incorporated the  $O_3$  concentrations directly simulated by the Goddard Earth Observing System coupled with Chemistry (GEOS-Chem) model at a lower resolution into a bias-corrected, finer-resolution dataset by integrating them with  $O_3$  observations from 2016 to 2018 (for validation purpose), high-resolution meteorological fields, land use data and other geographical information from multiple sources using a tree-based ML algorithm, LightGBM. The final high-resolution hourly  $O_3$  dataset with a resolution of  $0.25^{\circ} \times 0.25^{\circ}$  from 1981 to 2019 was further used to assess the impacts of  $O_3$  on human health and crop yields over the past four decades. The simultaneous analysis of the combined impacts of  $O_3$  on agriculture and human health can offer more comprehensive policy implications for the mitigation of  $O_3$ -

121 related impacts across China.

### 122 2 Data and methods

### 123 2.1 Air quality, meteorological, land and crop data

- Hourly surface O<sub>3</sub> observations (µg m<sup>-3</sup>) from 2016 to 2018 were obtained from the China National Environment
- 125 Monitoring Center Network (http://106.37.208.233:20035/) established by the Ministry of Ecology and Environment of
- 126 China. The MDA8-O<sub>3</sub> of each site was calculated with at least 14 valid hourly values from 08:00 to 24:00 local time. A
- 127 total of 1016 sites were selected after deleting the missing and abnormal data (Fig. 1).



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Figure 1. Study domain and locations of the selected monitoring sites. The pink, blue, purple and green rectangles
 indicate the Beijing-Tianjin-Hebei and its surroundings (BTHs), Sichuan Basin (SCB), Yangtze River Delta (YRD),
 and Pearl River Delta (PRD) regions, respectively, for more detailed analysis.

The surface meteorological fields used in this study include sea surface pressure, horizontal wind at 10 m, air temperature at 2 m, downward solar radiation, surface albedo, and total precipitation. The variables selected at 850 hPa and 100 hPa include relative humidity, horizontal and vertical velocity. These meteorological variables have been shown by many previous studies to correlate strongly with surface O<sub>3</sub> concentrations as discussed above. Hourly reanalysis data for meteorological variables were obtained from the fifth generation European Center for Medium-Range Weather Forecasts (ECMWF) reanalysis dataset (ERA5) with a spatial resolution of  $0.25^{\circ} \times 0.25^{\circ}$  from 1981 to 2019 (https://cds.climate.copernicus.eu/). This spatial resolution sets the highest limit of resolution for our hybrid O<sub>3</sub> product.

The national land use data with a spatial resolution of 1 km×1 km for 2013 were obtained from the Resource and Environment Science Data Center of the Chinese Academy of Sciences (RESDC) (http://www.resdc.cn). Six primary types of land use are considered: cultivated land, forestland, grassland, water bodies, construction land, and unused land. Nationwide elevation data were also provided by the RESDC (https://www.resdc.cn/data.aspx?DATAID=123), which is resampled based on the latest Shuttle Radar Topography Mission (SRTM) V4.1 data developed in 2000.

The spatial distribution of the harvested areas for four staple crops (wheat, rice, maize, soybean) for China was obtained from the Global Agro-Ecological Zones 2015 dataset (https://doi.org/10.7910/DVN/KJFUO1). Crop harvesting dates with a resolution of  $0.5^{\circ} \times 0.5^{\circ}$  were provided by the Center for Sustainability and the Global Environment (Sacks et al., 2010). For crops having more than one growing season in a year, only the primary growing period was considered.

### 148 2.2 GEOS-Chem model

We used the GEOS-Chem global 3-D chemical transport model version 12.2.0 (<u>http://acmg.seas.harvard.edu/geos/</u>),
 driven by assimilated meteorological data from Modern Era Retrospective-analysis for Research and Applications, Version
 2 (MERRA2) (https://gmao.gsfc.nasa.gov/reanalysis/MERRA-2/) with a horizontal resolution of 2.0° latitude by 2.5°

152 longitude and reduced vertical resolution of 47 levels. GEOS-Chem incorporates meteorological conditions, emissions,

- chemical information, and surface conditions to simulate the formation, transport, mixing and deposition of ambient  $O_3$ . It
- 154 performs fully coupled simulations of O<sub>3</sub>-NO<sub>x</sub>-VOC-aerosol chemistry (Bey et al., 2001). Previous studies have

demonstrated the ability of GEOS-Chem to reasonably reproduce the magnitudes and seasonal variations of surface  $O_3$ East Asia (Wang et al., 2011; He et al., 2012). To provide long-term simulated  $O_3$  fields for incorporation into the ML

model (see below), we conducted GEOS-Chem simulations at a resolution of  $2.0^{\circ} \times 2.5^{\circ}$ ; higher resolutions of GEOS-Chem

in nested grids are available but computationally prohibitive for multi-decadal simulations. The original unit of GEOS-

159 Chem-simulated O<sub>3</sub> is ppb, which was converted to  $\mu g \text{ m}^{-3}$  assuming a constant temperature of 25°C and pressure of 160 1013.25 hPa (1  $\mu g \text{ m}^{-3}$  is approximately 0.5 ppb) when compared with observations (Yin et al., 2017b; Gong and Liao, 161 2019).

162 Global anthropogenic emissions of CO, NO<sub>x</sub>, SO<sub>2</sub> and VOCs are from Community Emissions Data System (CEDS), 163 which has coverage over the simulation years of 1950–2014 (Hoesly et al., 2018). Biomass burning emissions are from the 164 GFED-4 inventory (van der Werf et al., 2017). Biogenic VOC emissions are computed by the Model of Emissions of Gases 165 and Aerosols from Nature (MEGAN) v2.1 (Guenther et al., 2012), which is embedded in GEOS-Chem. Emissions of 166 biogenic VOC species in each grid cell, including isoprene, monoterpenes, methyl butenol, sesquiterpenes, acetone and 167 various alkenes, are simulated as a function of canopy-scale emission factors modulated by environmental activity factors 168 to account for changing temperature, light, leaf age, leaf area index (LAI), soil moisture and CO<sub>2</sub> concentrations 169 (Sindelarova et al., 2014).

Dry deposition follows the resistance-in-series scheme of Wesely (1989), which depends on species properties, land cover types and meteorological conditions, and uses the Olson land cover classes with 76 land types reclassified into 11 land types. Although transpiration is a potential mechanism via which the land cover affects ozone, we do not address it in this study because water vapor concentration in GEOS-Chem is prescribed from assimilated relative humidity (i.e., not computed online from evapotranspiration).

### 175 2.3 LightGBM machine-learning model

The primary purpose of utilizing ML here was to minimize the biases of model output as compared with observations, whereby the biases could arise from incomplete model physics, input and parameter errors, numerical errors, coding errors, as well as representation errors (i.e., mismatch in spatial scales between model grid cells and site observations), so that the output of the hybrid model could have the closest values to the observations and enable more accurate impact evaluation. In this study, we used the LightGBM ML algorithm to integrate GEOS-Chem-simulated O<sub>3</sub> at a lower resolution with higher-resolution multi-source data to produce higher-resolution hourly O<sub>3</sub> and MDA8-O<sub>3</sub> fields.

182 LightGBM is a ML algorithm based on the gradient boosting decision tree (Chen and Guestrin, 2016), which has a high training efficiency and lower memory footprint, and thus is suitable for processing massive high-dimensional data 183 184 (Zhang et al., 2019). The general steps to build a ML model can be summarized as follows: (1) choose an algorithm 185 appropriate for the problem (e.g., regression or classification); (2) clean the data and split them into training and test data; 186 (3) train and tune the model with training data to well capture prediction patterns; (4) evaluate model performance on test 187 data; and (5) return to step (3) and (4) until an optimal predictive ability is reached. The training and evaluation processes 188 are both performed at the site level in accordance with the observations, whereby the predictor variables and model 189 responses were first sampled at the same locations using the bilinear interpolation approach (Accadia et al., 2003). This 190 approach of handling spatial scale mismatch between model grid cells and site observations has been commonly used in 191 previous studies (e.g., Li et al., 2021). When predicting the gridded O<sub>3</sub> concentrations with the trained model, predictor variables at different spatial resolutions were all regridded to the same resolution of 0.25°×0.25° consistent with the ERA5 192 193 meteorological fields. By taking the advantage of these higher-resolution datasets, the hybrid approach can not only correct

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the biases of the GEOS-Chem-simulated  $O_3$ , but also refine them into a finer resolution. To evaluate if the hybrid approach truly benefits from using a higher-resolution meteorological fields, we also repeated the whole training exercise with the input meteorology of GEOS-Chem (MERRA2 at  $2.0^{\circ} \times 2.5^{\circ}$ ) instead of ERA5.

197 During the model training process, the model was evaluated with 10-fold cross-validation to ensure the robustness 198 and reliability of the model, whereby the training data were randomly partitioned into 10 subsets of approximately the same 199 size, with 90% of data used to train individual models and the ensemble model, and the remaining 10% of data used to 200 examine model performance (Xiao et al., 2018). This process was repeated 10 times so that each data record was left for 201 testing once. The tuning of the hyperparameters was optimized using grid search optimization to improve detection 202 performance and diagnostic accuracy (Wang et al., 2019). Statistical indicators, including the coefficient of determination 203  $(R^2)$  and root-mean-square error (RMSE), were used in subsequent assessment of model performance for GEOS-Chem 204 alone and for the hybrid approach.

Our analysis revealed that training the model with one year or more of data results in only marginal reductions in RMSE and enhancements in  $R^2$  (**Fig. S1**); thus a timescale of two years appears to strike a good balance between computational burden and model accuracy. These results align with the findings of Ivatt and Evans (2020), who suggested that much of the variability in the power spectrum of surface O<sub>3</sub> can be captured by timescales of a year or less. Therefore, here we utilized observations from the period 2016-2017 as the training data, which offered a more economical computing cost and improved training time efficiency, and observations in 2018 as the independent test data to evaluate model performance.

### 212 **2.4 Ozone exposure metric and exposure-yield response functions**

Among  $O_3$  exposure indices, AOT40 has been used widely during the last two decades as it has been found to have a strong relationship with relative yield of many crop species (Mills et al., 2007), and thus was used to quantify the impacts of surface  $O_3$  on crop yields in this study. The flux-based metrics, which require long-term simulations using a processbased stomatal uptake model, were beyond the scope of this study. The AOT40 (ppm-h) is defined as follows:

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$$AOT40 = \sum_{i=1}^{n} ([O_3]_i - 0.04)$$
(1)

where the  $[O_3]_i$  is the hourly mean  $O_3$  concentration (ppm) during the 12 hours of local daytime (08:00–19:59); *n* is the number of hours in the growing season defined as the 90 days prior to the start of the harvesting period according to the crop calendar.

The exposure–yield response functions based on extensive field experimental studies have been established to relate a quantifiable O<sub>3</sub>-exposure metrics to crop yields. It has been suggested that responses of crop yields were found greater in Asian experiments than the American and European counterparts, indicating possibly higher O<sub>3</sub> sensitivity of Asian crop varieties (Emberson et al., 2009; Feng et al., 2022). To better understand O<sub>3</sub>-induced risks to crops in China, the AOT40 exposure-yield functions developed based on field experiments in China are used in this study, which are named as AOT40-China. The exposure–yield response functions for soybean is from Zhang et al. (2017), and for other three crops are from Feng et al. (2022). The statistical exposure-yield relationships used in this study are summarized in **Table S1**.

### 228 2.5 Analysis of health impacts

All-cause mortality, cardiovascular disease mortality and respiratory disease mortality are selected as the health outcomes of our study due to the high correlation between these endpoints and short-term O<sub>3</sub> exposure in previous studies. A log-linear exposure-response function is widely adopted and recommended by the World Health Organization (WHO) for health impact assessment in areas with severe air pollution. In particular, the log-linear model is the most widely applied exposure-response model at present in China (Lelieveld et al., 2015; Yin et al., 2017a; Zhang et al., 2022b). The premature
 mortality is calculated following:

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$$\Delta M = \delta c * \left[ \frac{(RR - 1)}{RR} \right] * P$$
(2)

where  $\Delta M$  is the excess mortality attributable to O<sub>3</sub> exposure;  $\delta c$  is the baseline mortality rate for a particular health endpoint (Yin et al., 2017b; Madaniyazi et al., 2016); *P* is the exposed population; and RR is the relative risk defined as:

$$RR = \exp((X - X_0) * \beta)$$
(3)

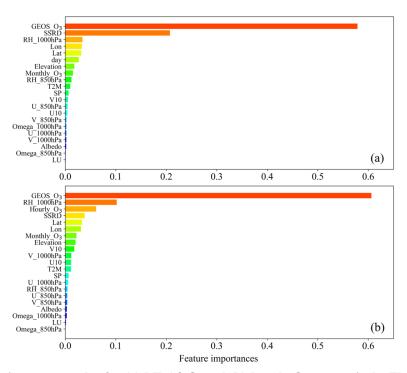
where  $\beta$  is the exposure-response coefficient derived from epidemiological cohort studies (Shang et al., 2013); *X* represents the model-calculated O<sub>3</sub> concentration; the value of *X*<sub>0</sub> is the threshold concentration below which no additional risk is assumed. Consistent with previous studies (Lelieveld et al., 2015; Liu et al., 2018), we used *X*<sub>0</sub> = 75.2 µg m<sup>-3</sup>.

242 In this study, the mean MDA8-O<sub>3</sub> concentrations in warm season (May-September) were used to estimate the diseasespecific health impacts of short-term exposure to  $O_3$ . The province-level population and national baseline mortality rate for 243 244 particular diseases were provided by the National Bureau of Statistics (http://www.stats.gov.cn/). The spatial differences of 245 baseline mortality in China were not considered without provincial-level data, which means that we assume the baseline 246 mortality is evenly distributed across China (Dedoussi et al., 2020). The exposure-response coefficients were obtained from existing epidemiological studies in China (Table S2). If the corresponding coefficient of a province could not be found in 247 248 published epidemiological studies, the datum closest to that province would be selected as a substitute. If there were no 249 neighboring provinces, the results of national meta-analysis would be used (Zhang et al., 2021).

### 250 3 Results

### 251 **3.1 Model development and validation**

252 The finally selected features and their importance estimated by the LightGBM algorithm based on 10-fold cross 253 validation are shown in Fig. 2. GEOS-Chem-simulated  $O_3$  is the top predictor for predicting surface  $O_3$  concentrations, accounting for 61% and 58% of all relative importance in the ML algorithm predicting hourly O<sub>3</sub> and daily MD8A-O<sub>3</sub>, 254 respectively. The result indicates that process-based GEOS-Chem simulations have high utility for O3 predictions under 255 256 the hybrid approach (Ma et al., 2021). The meteorological variables with high contribution to both the daily and hourly 257 models are downward surface solar radiation (SSRD), relative humidity at 1000 hpa (RH 1000hpa) and 10-m horizontal 258 wind (U10 and V10). Other special features, including location (latitude and longitude), elevation and diurnal and monthly 259 pattern of O<sub>3</sub>, also contribute to ambient O<sub>3</sub> estimations. The spatial distributions of bias-corrected O<sub>3</sub> are consistent with observations for both training and test datasets (Fig. S2), indicating that there is no obvious overfitting, i.e., the model is 260 261 able to generalize from the training set to the test set. The good generalization ability of the model gives us confidence in 262 its ability to make accurate predictions based on new data. In general, the hybrid approach can yield good O3 estimates in 263 the data-intensive regions, including eastern and central China that are the hotspot areas of O<sub>3</sub> pollution.

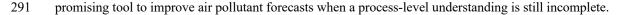


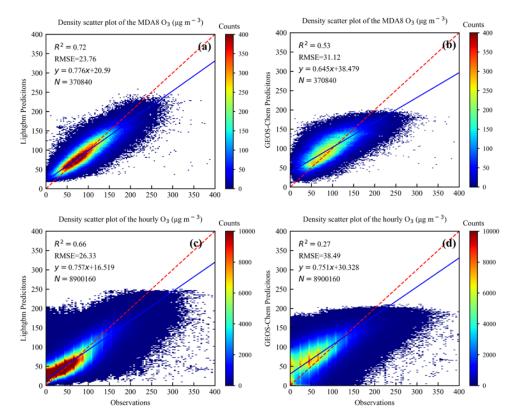
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Figure 2. The feature importance plot for (a) MDA8-O<sub>3</sub> and (b) hourly O<sub>3</sub>, respectively. The full list of candidate variables with their symbols, units, descriptions, and data sources are shown in Table S3.

Fig. 3 shows the density scatter plots between O<sub>3</sub> measurements and GEOS-Chem simulations, as well as the hybrid-267 approach predictions for 2018. The  $R^2$  value of the hybrid approach and GEOS-Chem model are 0.66 and 0.27 at hourly 268 level, and 0.72 and 0.53 at MDA8-O3 level, respectively. Bias-corrected O3 concentrations have lower RMSE in 269 270 comparison with GEOS-Chem simulated O<sub>3</sub> concentrations, reduced from 31.1 to 23.8  $\mu$ g m<sup>-3</sup> for MDA8-O<sub>3</sub> predictions, and from 38.5 to 26.3  $\mu$ g m<sup>-3</sup> for hourly predictions. The MDA8-O<sub>3</sub> model performance is better than that of the hourly 271 272 model, indicating reduced errors upon temporal averaging. To test if using the higher-resolution meteorological data offers 273 better prediction accuracy compared with the original input meteorology of GEOS-Chem, the MERRA2 dataset driving 274 GEOS-Chem was also used to train the model. We found that the higher-resolution ERA5 dataset performed better in 275 reproducing observed O<sub>3</sub> concentrations with moderately smaller RMSE and larger  $R^2$  (Fig. S3), demonstrating the level 276 to which a higher-resolution meteorological dataset, despite not being strictly consistent with the input meteorology for the 277 CTM, can help enhance the performance of the hybrid approach and help resolve finer spatial details within the original 278 CTM grid cells. In summary, the result suggests that the CTM-simulated results can be substantially improved by applying 279 ML with multi-source datasets, and the bias-corrected data can improve our understanding of long-term O<sub>3</sub> trends and its 280 further implications on crop and human health over China, as discussed in the following sections.

281 In comparison with previous studies, Liu et al. (2020) used XGBoost to predict O<sub>3</sub> in major urban areas of China at a 282 resolution of  $0.1^{\circ} \times 0.1^{\circ}$ , and the  $R^2$  value and RMSE for MDA8-O<sub>3</sub> were 0.74 and 23.8 µg m<sup>-3</sup>, respectively. Their result 283 indicates that higher-resolution predictions may help enhance model accuracy, but represent a trade-off between model 284 accuracy and time efficiency depending on the purpose. Instead of directly predicting O<sub>3</sub> concentrations, Ivatt and Evans 285 (2020) predicted biases in GEOS-Chem-simulated O3 concentrations and then corrected them with XGBoost. They also 286 suggested that the corrected model performs considerably better than the uncorrected model, with RMSE reduced from 287 32.4 to 15.0  $\mu$ g m<sup>-3</sup> and Pearson's R raised from 0.48 to 0.84. Their greater improvement with larger reduced RMSE than 288 our result is mainly because they selected fewer sites for training, with all the urban and mountain sites (observations made 289 at a pressure < 850 hPa) removed. The removal of these sites can improve the overall apparent performance of the model 290 because O<sub>3</sub> formation could have different characteristics in these areas. In general, ML methods have been proven to be a



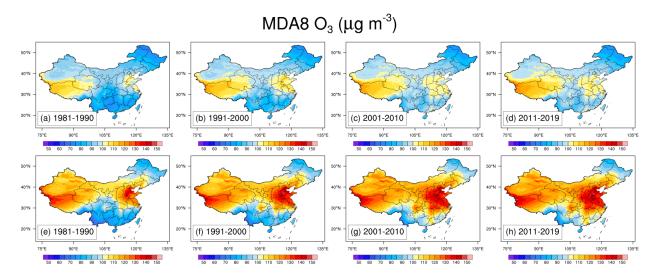


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Figure 3. Density scatter plots and linear regression statistics of O<sub>3</sub> predictions vs. observation for 2018: (a) biascorrected MDA8-O<sub>3</sub> vs. observations; (b) GEOS-Chem MDA8-O<sub>3</sub> vs. observations; (c) bias-corrected hourly O<sub>3</sub> vs. observations; and (d) GEOS-Chem hourly O<sub>3</sub> vs. observations. The model results are sampled at the same locations. The dashed red line indicates the 1:1 line, and the solid blue line indicates the line of best fit using orthogonal regression. The  $R^2$  is the coefficient of determination, RMSE is the root-mean-square error, and N is the number of data points. The X and Y axis represents the O<sub>3</sub> observations and predictions, respectively.

### 300 **3.2** Spatiotemporal distribution and trends of O<sub>3</sub> predictions

301 Fig. 4 demonstrates the spatial patterns of averaged annual and warm-season (May-September) MDA8-O3 from 1981 302 to 2019. When compared to the high concentrations in the warm season, MDA8-O3 concentrations are relatively lower at 303 annual level. The annual and warm-season MDA8-O3 concentrations have similar spatial distribution, and both present an 304 increasing trend over the past decades, with more substantial increase observed between 1981 and 2010. The O<sub>3</sub> levels in 305 southern China are lower than those in northern China, but they are still relatively high in the PRD region, which is 306 consistent to findings in previous studies (e.g. Liu and Wang, 2020a). During the first decade of 1981–1990, high O<sub>3</sub> 307 concentration areas are mainly concentrated in the BTHs and northern Shandong. In the next two decades, O3 pollution 308 extensively expands to most of East and North China, spreading northward to Jilin and Liaoning, westward to Shanxi and 309 Ningxia, and southward to northern Hunan, Shanxi and Zhejiang. Moreover, the SCB and PRD regions also experience 310 aggravated O<sub>3</sub> pollution during this period. In the last decade of the study period, O<sub>3</sub> concentrations remain at high levels in BTHs and SCB without obvious changes. To understand the detailed changes and trends of O<sub>3</sub>, next we analyze the 311 312 interannual variability.

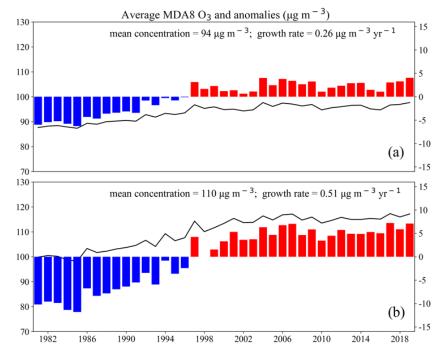


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Figure 4. Spatial distribution of the annual mean MDA8-O<sub>3</sub> concentrations (μg m<sup>-3</sup>) during: (a) 1981–1990; (b)
1991–2000; (c) 2001–2010; and (d) 2011–2019. Spatial distribution of the warm-season (May-September) mean
MDA8-O<sub>3</sub> concentrations of (e)1981–1990, (f) 1991–2000, (g) 2001–2010; and (h) 2011–2019.

317 Fig. 5 shows that the annual averaged MDA8-O<sub>3</sub> concentrations increase from 87  $\mu$ g m<sup>-3</sup> in 1981 to 98  $\mu$ g m<sup>-3</sup> in 2019, with a growth rate of  $+0.26 \ \mu g \ m^{-3} \ yr^{-1}$ , while the warm-season averaged MDA8-O<sub>3</sub> concentrations increase from 318 100 µg m<sup>-3</sup> in 1981 to 117 µg m<sup>-3</sup> in 2019, having a growth rate of +0.51 µg m<sup>-3</sup> yr<sup>-1</sup>. Moreover, the average annual and 319 warm-season O<sub>3</sub> concentrations have a more obvious upward trend before 2000s, with a growth rate of 0.38  $\mu$ g m<sup>-3</sup> yr<sup>-1</sup> 320 and 0.71  $\mu$ g m<sup>-3</sup> yr<sup>-1</sup>, compared to that after 2000s, when O<sub>3</sub> concentrations appear to fluctuate within a certain range. 321 322 GEOS-Chem-simulated O<sub>3</sub> has a similar trend as the bias-corrected O<sub>3</sub>, but it generally overestimates O<sub>3</sub> concentrations on 323 national scale (Fig. S4). The annual and warm-season averaged MDA8-O3 concentrations in BTHs, YRD, SCB and PRD regions are shown in Fig. S5–S6. The warm-season increasing trend for BTHs, YRD, SCB and PRD regions are 0.32 µg 324  $m^{-3} yr^{-1}$ , 0.63 µg  $m^{-3} yr^{-1}$ , 0.84 µg  $m^{-3} yr^{-1}$ , and 0.81 µg  $m^{-3} yr^{-1}$  from the year 1981 to 2019. 325



327 Figure 5. The bias-corrected MDA8-O<sub>3</sub> predictions (black line; left y axis) and corresponding anomalies (colored

bar; right y axis) from 1981 to 2019: (a) annual mean; and (b) warm-season mean (May-September). The trends
 (growth rates) are obtained by ordinary linear regression on mean values of MDA8-O<sub>3</sub>. The anomalies are defined
 as annual mean minus the multidecadal average over 1981–2019.

331 In recent years, the worsening O<sub>3</sub> pollution has fueled numerous studies on ground-level O<sub>3</sub> spatial distribution and 332 changes in China, which were conducted on local, regional and national scale using different O<sub>3</sub> fields from observations, CTMs and ML estimates. In this study, we mainly focus on the regional and national O<sub>3</sub> characteristics, and the reported 333 O3 trends in recent studies are listed in Table 1. By comparing the results of existing works, we find that source-varied O3 334 335 fields can induce great uncertainty of the O<sub>3</sub> trends. Moreover, the O<sub>3</sub> trends are found to be very sensitive to the study 336 period even with the same O<sub>3</sub> fields (Wei et al., 2022), which indicates large interannual variability, mostly reflecting the 337 changing anthropogenic emissions and meteorology (Lu et al., 2019; Li et al., 2020). In contrast to the perceptible O<sub>3</sub> trends, Liu et al. (2020) suggested that O<sub>3</sub> pollution in most parts of China has only modest changes between 2005 and 2017, and 338 339 their trends were not spatially continuous. Wang et al. (2022b) also reported that O<sub>3</sub> has small positive increase rates for 340 2013-2021 in many cities, and the O<sub>3</sub> increase rates greatly differ from site to site even within the same region.

341 In comparison, our results indicate no obvious increasing trends of national MDA8-O3 within the same study period. On a regional scale, only BTHs have a perceptible increasing trend in more recent years, while no such trends are found 342 343 over the YRD, SCB and PRD regions during the same period. The summertime MDA8-O3 in BTHs has a change rate of 344 +0.81  $\mu$ g m<sup>-3</sup> yr<sup>-1</sup>, which is much lower than the results using O<sub>3</sub> observations (Li et al., 2020). One possible reason is that most observational sites are in urban regions, which usually suffer more serious O<sub>3</sub> pollution, while the O<sub>3</sub> concentrations 345 from model simulations and ML methods are calculated on the scale of a grid cell with lower domain-averaged values. 346 347 Moreover, gridded data at a relatively coarse resolution may fail to capture larger site differences, leading to the larger 348 discrepancy of between O<sub>3</sub> observations and gridded O<sub>3</sub> estimates.

Region	Period	Increase rate	Data source/Method	References
Nation	2013–2017 (annual)	0.35	ML (XGBoost)	(Liu et al., 2020)
	2013–2017 (annual)	0.92	WRF-CMAQ	(Liu and Wang, 2020b)
	2013–2017 (annual)	1.33	ML (ERT)	(Wei et al., 2022)
	2015-2019 (annual)	4.40	ML (ERT)	(Wei et al., 2022)
	2015–2019 (annual)	1.90	Observations	(Maji and Namdeo, 2021)
	2013–2019 (summer)	3.80	Observations	(Li et al., 2020)
	1981–2019 (annual)	0.26	ML (LightGBM)	This study
	1981–2000 (annual)	0.38	ML (LightGBM)	This study
	1981–2019 (warm-season)	0.51	ML (LightGBM)	This study
	1981–2000 (warm-season)	0.71	ML (LightGBM)	This study
BTH	2010–2017 (annual)	0.60	ML (Random Forest)	(Ma et al., 2021)
	2013–2017 (annual)	1.33	ML (XGBoost)	(Liu et al., 2020)
	2013–2017 (annual)	4.78	ML (ERT)	(Wei et al., 2022)
	2012–2017 (summer)	1.16	GEOS-Chem	(Dang et al., 2021)
	2013–2019 (summer)	6.60	Observations	(Li et al., 2020)
	1981–2019 (summer)	0.46	ML (LightGBM)	This study
	2013–2019 (summer)	0.81	ML (LightGBM)	This study
YRD	2013–2017 (annual)	2.94	ML (ERT)	(Wei et al., 2022)
	2015–2019 (annual)	5.60	ML (ERT)	(Wei et al., 2022)
	2012–2017 (summer)	3.48	GEOS-Chem	(Dang et al., 2021)
	2013–2019 (summer)	3.20	Observations	(Li et al., 2020)
	1981–2019 (annual)	0.24	ML (LightGBM)	This study
	1981–2019 (summer)	0.73	ML (LightGBM)	This study
SCB	2013-2017 (annual)	2.37	ML (ERT)	(Wei et al., 2022)

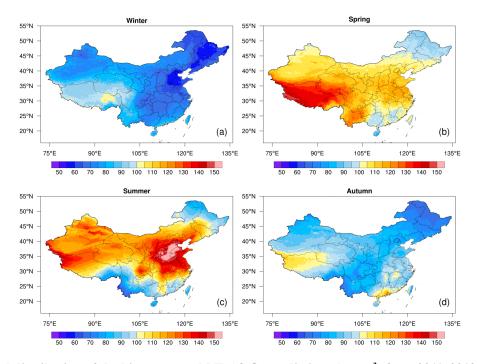
### 349 Table 1 Summary of reported regional and national MDA8-O<sub>3</sub> trends (µg m<sup>-3</sup> yr<sup>-1</sup>).

	2013–2019 (summer)	1.40	Observations	(Li et al., 2020)
	1981–2019 (annual)	0.48	ML (LightGBM)	This study
	1981–2019 (summer)	0.98	ML (LightGBM)	This study
PRD	2007–2017 (annual)	1.20	Observations	(Yang et al., 2019)
	2013–2017 (annual)	-0.72	ML (ERT)	(Wei et al., 2022)
	2015–2019 (annual)	4.38	ML (ERT)	(Wei et al., 2022)
	2013–2019 (summer)	2.20	Observations	(Li et al., 2020)
	1981–2019 (annual)	0.56	ML (LightGBM)	This study
	1981–2019 (fall)	0.69	ML (LightGBM)	This study

350

### 351 **3.3 Seasonal characteristics of O<sub>3</sub> predictions**

352 Differences in averaged annual and warm-season O<sub>3</sub> concentrations indicate that O<sub>3</sub> has distinctive seasonal characteristics. Fig. 6 shows the seasonal variations in O<sub>3</sub> concentrations from 2011–2019, and results for other past three 353 decades are shown in Fig. S7-S9. In winter, pollution is mainly concentrated in the coastal areas of southern China. In 354 spring, O<sub>3</sub> pollution primarily occurs in eastern China and the southern part of Yunnan Province. O<sub>3</sub> pollution continues to 355 356 aggravate over eastern China in summer, particularly in BTHs, and further extends to SCB. The air quality in eastern and 357 central China is greatly improved in fall, while southern China experiences the most pollution in this period. In general, the peak and trough values of O<sub>3</sub> concentrations appear in summer and winter, respectively. However, O<sub>3</sub> concentrations 358 359 are found to be minimum in summer and maximum in fall over PRD, which is largely determined by the summer monsoon 360 (Zhou et al., 2013; Wang et al., 2018a). Fig. S10 shows the seasonal averaged MDA8-O3 concentrations in different regions from 1981 to 2019. In winter, O<sub>3</sub> concentrations do not have much change across the four regions over the past decades, 361 362 staying mostly between 70-80 µg m<sup>-3</sup>. Moreover, wintertime O<sub>3</sub> concentrations after the 2000s are generally lower than 363 that before the 2000s in BTHs, YRD and SCB. In contrast, summertime O3 concentrations have a dramatic increase over 364 the four regions. In spring and fall, O<sub>3</sub> concentrations have an increasing trend in PRD, while it mostly fluctuates within a certain range in the other three regions. The results show that O<sub>3</sub> in non-winter seasons has a more pronounced increase 365 during 1981–2019 albeit with regional differences. The regional characteristics of O<sub>3</sub> and its influencing factors will be 366 367 further discussed in Section 3.4. The BTH, SCB, YRD, and PRD regions have been identified as hotspots of O<sub>3</sub> pollution in China. These regions are characterized by high population density (Wang et al., 2018b) and are also major agricultural 368 369 areas (Monfreda et al., 2008), which may face greater burdens of crop yield and human health losses with high O<sub>3</sub> 370 concentrations. Therefore, here we provide more detailed analysis and investigation of these regions.



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Figure 6. Spatial distribution of the bias-corrected MDA8-O<sub>3</sub> predictions (μg m<sup>-3</sup>) from 2011–2019: (a) winter; (b)
 spring; (c) summer; and (d) fall.

### 374 **3.4 Regional characteristics of O<sub>3</sub> predictions**

375 Fig. 7 shows the bar plots of the seasonal MDA8-O<sub>3</sub> concentrations in each region from 1981–2019 for bias-corrected 376 and GEOS-Chem-simulated O<sub>3</sub>. For the bias-corrected O<sub>3</sub>, the averaged summertime MDA8-O<sub>3</sub> concentrations in BTHs, YRD, SCB and fall-time MDA8-O<sub>3</sub> concentrations in PRD are  $137 \pm 8 \ \mu g \ m^{-3}$ ,  $119 \pm 10 \ \mu g \ m^{-3}$ ,  $113 \pm 12 \ \mu g \ m^{-3}$  and  $98 \pm 10 \ \mu g \ m^{-3}$ . 377  $10 \ \mu g \ m^{-3}$ , with the increasing rate being 0.46  $\ \mu g \ m^{-3} \ yr^{-1}$ , 0.73  $\ \mu g \ m^{-3} \ yr^{-1}$ , 0.98  $\ \mu g \ m^{-3} \ yr^{-1}$  and 0.69  $\ \mu g \ m^{-3} \ yr^{-1}$  from 1981 378 to 2019, respectively (Fig. S11). For GEOS-Chem-simulated O<sub>3</sub>, the averaged summertime MDA8-O<sub>3</sub> concentrations in 379 BTHs, YRD, SCB and fall-time MDA8-O<sub>3</sub> concentrations in PRD are  $141 \pm 7 \ \mu g \ m^{-3}$ ,  $125 \pm 11 \ \mu g \ m^{3}$ ,  $120 \pm 14 \ \mu g \ m^{-3}$ 380 381 and  $100 \pm 12 \ \mu g \ m^{-3}$ , respectively. It shows that O<sub>3</sub> concentrations of the four regions have a consistent upward trend in 382 the summer over the past decades, but there are regional differences in other seasons. Compared to BTHs and YRD, PRD 383 and SCB have more distinctive O<sub>3</sub> increases in spring and fall. Among these four regions, the O<sub>3</sub> concentrations in BTHs 384 have the biggest seasonal differences, but have the smallest seasonal differences in PRD.

385 The spatiotemporal patterns of O<sub>3</sub> in China have been proven to largely depend on both emissions and meteorology. The regional O<sub>3</sub> pollution is usually found to be triggered by specific circulation patterns as local meteorological factors 386 are modulated by synoptic-scale circulation patterns. China has a large territory and is affected by different weather systems. 387 The continental high-pressure systems, components of East Asian summer monsoon (EASM) and tropical cyclones, among 388 389 others, are critical synoptic conditions leading to  $O_3$  formation and transport in China (Wang et al., 2022b; Han et al., 2020). For instance, regional O<sub>3</sub> pollution in North China usually occurs under a typical weather pattern of an anomalous high-390 391 pressure system at 500 hPa (Gong and Liao, 2019), which creates favorable meteorological conditions for high O<sub>3</sub> levels 392 with high temperature, low relative humidity, anomalous southerlies and divergence in the lower troposphere. As one of 393 the most important components of EASM, the Western Pacific subtropical high (WPSH) strongly influences summertime 394 precipitation and atmospheric conditions in East China. A strong WPSH can decrease O3 levels over YRD as enhanced 395 moisture is transported into YRD under prevailing southwesterly winds (Zhao and Wang, 2017). Located on the southern 396 coast of China, PRD features a typical subtropical monsoon climate. There O<sub>3</sub> concentrations are usually the lowest in 397 summer due to the prevailing southerlies with clean air from the ocean and the associated large rainfall, while the worst O<sub>3</sub>

398 pollution usually happens in fall mainly due to the occasional northerly winds during the monsoonal transition, thereby 399 importing precursors from the north, and stable and still relatively warm and sunny weather conditions before the winter 400 starts. Downdrafts in the periphery circulation of a typhoon system can also strongly enhance surface  $O_3$  before typhoon landing (Jiang et al., 2015; Lu et al., 2021; Li et al., 2022). On one the hand, the poor ventilation in the peripheral subsidence 401 402 region of typhoons favors the accumulation of  $O_3$  and its precursors. On the other hand, the deep subsidence can transport 403 the O3 in the upper troposphere and lower stratosphere to surface, causing aggravated O3 pollution. Moreover, smallerscale circulation patterns, such as land-sea and mountain-valley breezes, also influence O<sub>3</sub> in coastal regions (Ding et al., 404 405 2004; Zhou et al., 2013; Wang et al., 2018a).

406 When compared to the hybrid approach, GEOS-Chem generally has similar O<sub>3</sub> distribution and trends over each region, while overestimating O<sub>3</sub> concentrations (Table S4). GEOS-Chem particularly overestimates wintertime and fall-407 time O<sub>3</sub> concentrations in SCB, which are  $10 \pm 1 \ \mu g \ m^{-3}$  and  $17 \pm 3 \ \mu g \ m^{-3}$  higher than those of the hybrid approach, 408 respectively. Previous studies reported such model overestimates and proposed a number of explanations involving 409 410 precursor emissions, dry deposition, and vertical mixing in the planetary boundary layer (PBL) (Lin et al., 2008; Travis et 411 al., 2016; Fiore et al., 2005). Both observational analyses and inter-model comparisons suggested that the summertime dry 412 deposition of O<sub>3</sub> calculated by the Wesely scheme in GEOS-Chem could be underestimated, which has been invoked as a cause for model overestimates of O<sub>3</sub>. The biased emissions in the model, as consistent with the biased-high tropospheric 413 414  $NO_x$  columns, result in overestimated O<sub>3</sub>. Travis et al. (2016) showed that GEOS-Chem with reduced  $NO_x$  emissions 415 provides an unbiased simulation of  $O_3$  observations from the aircraft and reproduces the observed  $O_3$  production efficiency in the boundary layer. Lin et al. (2008) suggested that the excessive PBL mixing can lead to the biased-high O<sub>3</sub> 416 417 concentrations. The fully mixed O<sub>3</sub> throughout the PBL means that the higher O<sub>3</sub> concentrations in the upper PBL are 418 brought down to the surface much more efficiently. Moreover, the excessive spatial averaging of emissions at coarser 419 resolutions could also lead to systematic overestimation of regional O<sub>3</sub> production (Wild and Prather, 2006). In summary, 420 with a higher prediction accuracy, the hybrid approach lends greater credence to using model simulations to extrapolate 421 historical O<sub>3</sub> further back in time, which can furthermore provide us with more accurate estimates of O<sub>3</sub> impacts on crop 422 production and human health.

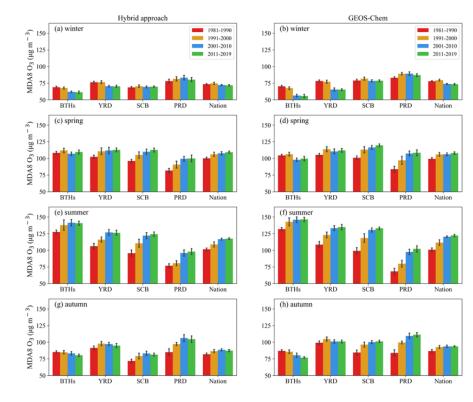
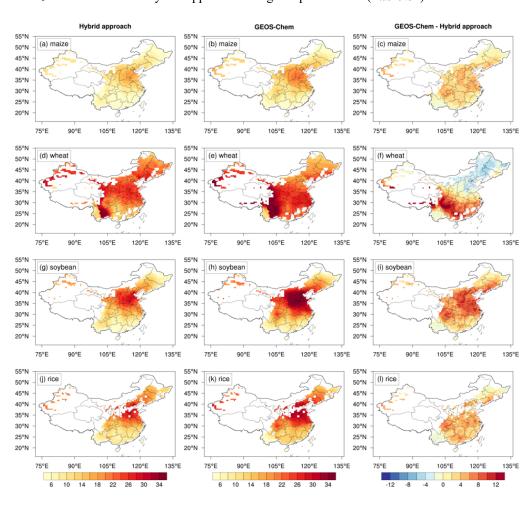


Figure 7. The seasonal mean MDA8-O<sub>3</sub> concentrations ( $\mu$ g m<sup>-3</sup>) in different regions during 1981-2019. Biascorrected MDA8-O<sub>3</sub> in: (a) winter; (c) spring; (e) summer; and (g) fall. GEOS-Chem MDA8-O<sub>3</sub> in: (b) winter; (d) spring; (f) summer; and (h) fall. The error bar represents the standard deviation.

### 427 **3.5** Crop production losses attributable to O<sub>3</sub> pollution

428 Fig. 8 shows the relative yield losses (RYLs; RYL = 1 - RY, where RY is the relative yield defined as the ratio of the O3-affected yield to the yield without O3 exposure) calculated with GEOS-Chem and bias-corrected O3 using AOT40-429 430 China metric. For a given crop, the RYLs show generally consistent spatial distribution across the metrics, with BTHs 431 having the most serious crop yield losses due to high O<sub>3</sub> concentrations. Compared to the bias-corrected O<sub>3</sub>, using GEOS-Chem-simulated O<sub>3</sub> generally leads to larger yield losses, especially over BTHs and SCB, reflecting overestimated O<sub>3</sub> 432 433 concentrations by GEOS-Chem in cropland areas during the growing seasons (Fig. S12), primarily in spring and summer, 434 which is consistent to the above analysis. GEOS-Chem-simulated O<sub>3</sub> leads to slightly underestimated wheat yield loss only 435 over some parts of BTHs, mostly because the primary growing period of wheat there is in winter and spring, and GEOS-436 Chem has lower O<sub>3</sub> estimates than the hybrid approach during this period there (Table S4).



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Figure 8. Estimated annual mean relative yield losses (RYLs, in %) of four staple crops from 1981–2019 using the AOT40-China metric. The estimated RYLs using bias-corrected O<sub>3</sub>: (a) maize; (d) wheat; (g) soybean; and (j) rice. The estimated RYLs using GEOS-Chem-simulated O<sub>3</sub>: (b) maize; (e) wheat; (h) soybean; and (k) rice. The differences in estimated RYLs between GEOS-Chem-simulated and bias-corrected O<sub>3</sub>: (c) maize; (f) wheat; (i) soybean; and (l) rice. The GEOS-Chem-simulated O<sub>3</sub> were regridded to 0.5°×0.5° for comparison with bias-corrected O<sub>3</sub>.

Fig. 9 shows the bar plots of the relative yield for each crop using AOT40-China exposure-yield response relationship.
Crop yield losses are generally consistent with the O<sub>3</sub> trends as the exposure-yield relationships used here are essentially a
set of linear functions. Most crops experience aggravated yield losses over the past four decades due to enhanced O<sub>3</sub>
concentrations, except for wheat, which has the largest yield loss during the period 1991 to 2000. The reason could be that
BTHs have the highest O<sub>3</sub> concentrations in spring during the 1990s, which is the primary growing season for wheat (Fig.
S13). Noticeable uncertainties of crop yield losses are found across metrics.

The average annual crop RYLs from 1981 to 2019 for wheat, rice, soybean and maize range from 1.1 to 13.4%, 2.7 to 450 451 13.4%, 6.3 to 24.8% and 0.8 to 7.4%, respectively. The differences in yield losses across crops reflect the dependence on 452 crop-specific phenology and ecophysiology. The estimated annual RYLs using bias-corrected O<sub>3</sub> for wheat, rice, soybean 453 and maize from 1981 to 2019 range from 17.5–25.5%, 10.7–19.1%, 7.3–17.9% and 7.1–12.7%, with a growth rate of 0.03% 454  $vr^{-1}$ , 0.04%  $vr^{-1}$ , 0.27%  $vr^{-1}$  and 0.13%  $vr^{-1}$ . Wheat is the most sensitive crop to the O<sub>3</sub> concentrations, whereas maize is 455 the least sensitive. Using GEOS-Chem-simulated O3, the estimated annual RYLs for wheat, rice, soybean and maize from 456 1981 to 2019 are 18.7–28.7%, 14.0–22.0%, 12.4–23.1%, and 7.9–13.2%, having a growth rate of 0.08% yr<sup>-1</sup>, 0.14% yr<sup>-1</sup>, 0.23% yr<sup>-1</sup> and 0.11% yr<sup>-1</sup>. There are noticeable differences in crop yield estimates using the bias-corrected and GEOS-457 458 Chem O<sub>3</sub>, indicating again the importance of the bias-corrected high-resolution O<sub>3</sub> data in related crop issues.

459 In existing studies evaluating the O<sub>3</sub>-induced crop losses in China, which also use exposure-yield relationship derived 460 from the experiments conducted in Asia, Zhang et al. (2017) reported that the ambient O<sub>3</sub> concentrations in Northeast China 461 cause substantial annual yield loss of soybean ranging from 23.4% to 30.2% during 2013 and 2014, depending on the O<sub>3</sub> metric used (including AOT40, W126, SUM06 and a flux-based metric). Feng et al. (2022), using AOT40, indicated that 462 463 the annual average RYLs of wheat (33%), rice (23%) and maize (9%) from 2017 to 2019. Our correspondingly estimated RYLs for rice (18.0%) and maize (10.0%) are generally consistent to their results, while the RYLs for soybean (16.4%) 464 and wheat (23.4%) are much lower than the estimates. Since we used the same exposure-yield response relationships in 465 466 their studies, the discrepancies are primarily attributed to the differences in used metrics (only for soybean), O<sub>3</sub> fields and 467 sensitivity of crop to the changes of O<sub>3</sub> concentrations (Mukherjee et al., 2021; Feng et al., 2022; Mills et al., 2018). In Zhang et al. (2017), the O<sub>3</sub> measurements are obtained from the experimental field (45°73'N, 126°61'E), and in Feng et al. 468 469 (2022), the measured O<sub>3</sub> concentrations are from over 3,000 monitoring sites across East Asia. The results of comparison 470 are consistent to the previous analysis of O<sub>3</sub> trends and variability from different sources, where the domain-average values 471 of  $O_3$  observations are larger than gridded  $O_3$  from model simulations (Section 3.2) and thus lead to larger estimates of 472 RYLs. On one hand, it indicates that O<sub>3</sub> fields should be considered as a great source of uncertainty when comparing the 473 results of previous studies using source-varied O<sub>3</sub> fields. Moreover, different degrees of importance should be given for 474 specific crops, for example, the changes in O<sub>3</sub> concentrations have a larger impact on wheat crop. On the other hand, it 475 highlights again the necessity and importance of bias correction for model-simulated O<sub>3</sub> when O<sub>3</sub>-inudec crop reduction.

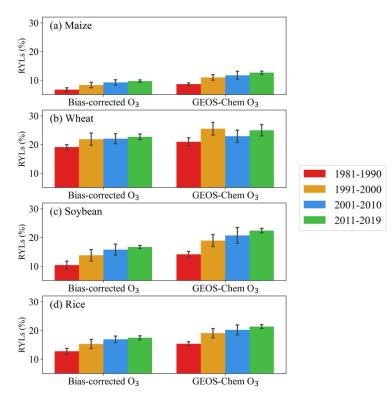




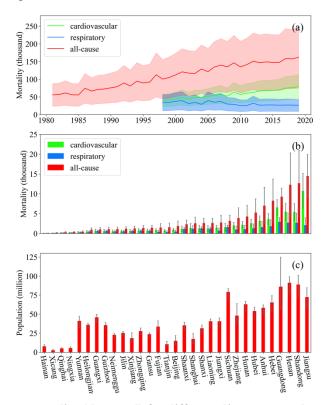
Figure 9. The estimated decadal mean relative yield losses (RYLs) of four staple crops using different metrics from
1981–2019. The estimated RYLs using bias-corrected O<sub>3</sub>: (a) maize; (c) wheat; (e) soybean; and (g) rice. The
estimated RYLs using GEOS-Chem-simulated O<sub>3</sub>: (b) maize; (d) wheat; (f) soybean; and (h) rice. The error bar
represents the standard deviation.

### 481 **3.6 Health impacts attributable to O<sub>3</sub> pollution**

482 The estimated annual all-cause premature deaths induced by O<sub>3</sub> increase from 55,876 in 1981 to 162,370 in 2019 with 483 an increasing trend of +2,979 deaths yr<sup>-1</sup>. The annual premature deaths related to respiratory and cardiovascular diseases 484 are 34,155 and 40,323 in 1998, and 26,471 and 79,021 in 2019, having a rate of change of -546 and +1,773 deaths yr<sup>-1</sup> during 1998–2019, respectively (Fig. 10a). Among three types of health outcomes, only respiratory diseases experienced 485 486 a decreasing trend in premature mortality, and the premature mortality is constantly below 40,000. The decreasing trend of 487 the respiration-related mortality primarily results from the decreased annual baseline mortality rate over the past decades 488 (Fig. S14). As the total respiratory-related deaths decreased over the past decades, respiratory O<sub>3</sub> deaths are decreasing 489 even under aggravated O<sub>3</sub> pollution. Based on GEOS-Chem-simulated O<sub>3</sub>, the corresponding estimated change rate for all-490 cause disease is +3,516 deaths yr<sup>-1</sup> from 50,384 in 1981 to 176,741 in 2019. Premature mortality induced by respiratory 491 disease decreases from 37,822 in 1998 to 29,079 in 2019 with a change rate of -584 deaths yr<sup>-1</sup>, while cardiovascular 492 disease increases from 44,516 in 1998 to 85,980 in 2019 with a change rate of  $\pm 1,977$  deaths yr<sup>-1</sup> (Fig. S15). The result shows that using GEOS-Chem-simulated O<sub>3</sub> generally gives higher estimates of mortality than using the bias-corrected 493 494 data. Fig. 10b shows the provincial annual average premature mortality of different health endpoints. The five provinces 495 with the highest all-cause mortality are Jiangsu [14,510 (95% CI: 9,022-19,935)], Shandong [12,684 (95% CI:4,258-496 20,990)], Henan [12,290 (95% CI: 4,125-20,343)], Guangdong [9,268 (95% CI: 7,224-11,416)] and Hebei [8,276 (95% 497 CI: 2,776–13,706), which are generally consistent with previous studies for China (Zhang et al., 2021; Zhang et al., 2022a). 498 Similar distribution can be found for respiratory and cardiovascular diseases but with a different ranking order. Generally, 499 those provinces in densely populated areas (Fig. 10c) with higher O<sub>3</sub> concentrations, such as BTHs, YRD and PRD, have 500 higher health burdens. In contrast, the northeastern and southern China (excluding Guangdong) suffer the least life losses

### 501 induced by O<sub>3</sub> exposure (**Fig. S16**).

502 When compared with estimates from previous studies, our estimates of are generally quite consistent with that given by Maji and Namdeo (2021), which reported that the short-term all-cause, cardiovascular and respiratory premature 503 mortalities attributed to ambient O<sub>3</sub> exposure were 156,000, 73,500 and 28,600 in 2019. Based on O<sub>3</sub> observations in 334 504 505 Chinese cities, Zhang et al. (2021) suggested that the national all-cause, respiratory, cardiovascular mortalities attributable 506 to O<sub>3</sub> are 270,000 to 390,000, 49,000 to 63,000, and 150,000 to 220,000 across 2015–2018, which are much higher than most existing results. Since the methodological approaches are largely similar and we use the log-linear exposure-response 507 508 function, we ascribe that the very high estimated mortalities are mainly due to concentration-response threshold X<sub>0</sub> assumed 509 to be zero in their study. A lower  $X_0$  means that O<sub>3</sub> can cause more adverse impacts on human health even at low 510 concentrations, thus leading to higher mortalities.



511

Figure 10. (a) Annual premature morality (thousand) for different diseases over the past decades; (b) annual mean
 province-based morality (thousand) attributed to different health endpoints; and (c) annual mean province-based
 population (million). The morality is calculated using the bias-corrected O<sub>3</sub>.

### 515 4. Conclusions and discussion

516 In this study, to have a more accurate characterization of  $O_3$  spatiotemporal distribution and trends as well as their impacts on agriculture and human health, we used a hybrid approach to generate bias-corrected O<sub>3</sub> data across China from 517 1981 to 2019. The hybrid approach helps improve O<sub>3</sub> predictions by taking advantage of a chemical transport model, a ML 518 519 algorithm and increasing availability of high-resolution environmental and meteorological data. In the model training 520 process, we found that utilizing a higher-resolution meteorological dataset, albeit one that is not the same as the default 521 CTM input meteorology, has high potential to enhance the performance of the hybrid model in reproducing observed  $O_3$ concentrations. The validation shows that the bias-corrected O<sub>3</sub> can achieve a higher prediction accuracy than GEOS-522 523 Chem-simulated O<sub>3</sub> alone when compared with historical in-situ measurements. Before being corrected, the GEOS-Chem-524 simulated O<sub>3</sub> concentrations tend to be overestimated and lead to higher crop yield losses and larger O<sub>3</sub>-induced mortalities.

525 Noticeable differences in crop RYLs and mortality estimates highlight the advantages of using high-resolution O<sub>3</sub> data to 526 improve our understanding of long-term O<sub>3</sub> impacts.

When examining the regional and national O<sub>3</sub> trends, we found that MDA8-O<sub>3</sub> concentrations have a perceptible 527 528 increasing trend before 2000s, but fluctuate within a certain range with large interannual variabilities in more recent years. 529 The large discrepancies in previous studies indicate that the regional and national O<sub>3</sub> trends in China still suffer with great 530 uncertainties, particularly when different approaches are used to produce the O<sub>3</sub> estimates. However, these studies using source-varied  $O_3$  fields consistently show the great interannual variabilities of  $O_3$  concentrations. Some insights can be 531 532 obtained from existing findings, which need to be carefully considered when examining O<sub>3</sub> trends and comparing them 533 with existing results. First, given the large site differences, the calculation of observational O<sub>3</sub> trends is very sensitive to 534 the subsets of data from networks. Thus, great uncertainty could still exist even using O<sub>3</sub> observations from the same source 535 depending on the chosen subsets of data. Second, different formats of O<sub>3</sub> fields (e.g., site-based and gridded) could lead to 536 large uncertainties of the O<sub>3</sub> trend estimates. A higher resolution of gridded O<sub>3</sub> estimates from CTMs and ML may reduce 537 the differences between O<sub>3</sub> observational results. Third, the calculated O<sub>3</sub> trends are very sensitive to the chosen study 538 period due to large interannual variability and seasonal differences. The changing meteorological conditions are the major 539 factor causing the large interannual O<sub>3</sub> variations, and reductions in the emissions of NO<sub>x</sub>, SO<sub>2</sub> and PM also have complex effects on ground-level O<sub>3</sub> concentrations (Wang et al., 2022b). Liu and Wang (2020a) suggested that the meteorological 540 541 impacts on O<sub>3</sub> trends vary region by region and year by year and could be comparable with or even larger than the impacts 542 of changes in anthropogenic emissions.

543 Our estimated RYLs for maize and rice and soybean in China are generally consistent to existing studies, while the 544 RYLs for soybean and wheat are lower than their estimates mainly due to the differences in used metrics, O3 fields and 545 crop sensitivity to ambient O<sub>3</sub> concentrations. It suggests that plating O<sub>3</sub>-resistant cultivars could be an effective approach 546 to increase total crop production to meet the increasing food demands. In addition to the metrics and O<sub>3</sub> fields, uncertainties 547 of estimated O<sub>3</sub>-induced crop losses could be also from other sources (e.g., exposure-yield relationships). Though some 548 other metrics (e.g., M7/M12 and W126) have also been used in some studies (Van Dingenen et al., 2009; Avnery et al., 549 2013; Wang et al., 2022c), there are not available exposure-yield relationships for all four major crops specific for China. 550 The estimated RYLs for crops could be largely biased using metrics with exposure-yield relationships developed for U.S. 551 or Europe (Fig. S17), as they are inadequate to represent Asian crop genotypes and environmental conditions. So, the 552 region-specific exposure-yield relationships are highly recommended to be used in future study estimating the O<sub>3</sub>-induced crop reduction, especially for the regional study. 553

554 In recent years, although existing studies have made efforts to quantify the O<sub>3</sub>-related health impacts in China, only a 555 few focused on the nationwide acute O<sub>3</sub> health burden assessment, particularly for assessment over multiple decades (Maji 556 and Namdeo, 2021; Sahu et al., 2021; Zhang et al., 2021; Zhang et al., 2022a). There are some remaining issues to be 557 addressed regarding O<sub>3</sub> health impacts. For instance, the existence of a "safe" threshold of O<sub>3</sub> levels still remains debated. 558 A recent study reported that no consistent evidence was found for a threshold in the O<sub>3</sub>-mortality concentration-response 559 relationship in seven cities of Jiangsu Province, China during 2013-2014 (Chen et al., 2017; Maji and Namdeo, 2021). 560 Given the importance of the threshold assumption in assessing health effects of air pollution, more studies are needed to 561 determine a most likely threshold for O<sub>3</sub>-mortality association in the future. Moreover, the multiple temporal O<sub>3</sub> metrics 562 (e.g.,1-h maximum and daytime average O<sub>3</sub> concentrations) have also been proved to play an important role in the 563 variability of estimated health effects, even though standard ratios are used to convert among multiple metrics (Anderson 564 and Bell, 2010). In addition to the uncertainties from varying methodologies, interpretation of the O<sub>3</sub> epidemiological 565 impact is also constrained by the variability in geographical, seasonal, and demographic characteristics (Yin et al., 2017b). 566 Liu et al. (2013) suggested that associations between  $O_3$  and mortality appeared to be more evident during the cool season 567 than in the warm season, and stronger in the oldest age group and among those with less education. The effect modification

by population susceptibility and the confounding effects of concomitant exposures (temperature, particulate matter, etc.)
 should be further considered in future works.

- 570 A major limitation of our study lies in the uncertain predictions in regions where monitoring data are scarce (e.g., the 571 western half of China). The monitoring sites are sparsely distributed in those areas, which may fail to capture the accurate 572 association between O<sub>3</sub> concentrations and various predictors there, especially considering that the ML algorithm has likely 573 over-emphasized such relationships in the data-intensive eastern regions. Second, the land use data were prescribed in 2013 574 due to the limited availability of data, and this may neglect some major land use changes in China over the past decades. 575 Though the land use data were found by the ML algorithm to contribute little to the overall model, more detailed land use 576 data are expected to further increase model accuracy. In addition, though concentration-based metrics are easy to calculate 577 and ensured to be scientifically sound in some experiments (Fuhrer et al., 1997; Mills et al., 2007), they do not consider 578 the active responses of plant ecophysiology to ambient climatic and environmental changes and thus likely inadequate for 579 examining yield losses in a future climate and atmospheric environment (Tai et al., 2021). So, flux-based metrics are 580 recommended in future studies to better understand the long-term evolution of crop losses over China (Feng et al., 2012; 581 Zhang et al., 2017; Tai et al., 2021; Pleijel et al., 2022), wherein more crop- and region-specific experiments and trials are 582 needed to acquire appropriate metrics and exposure-yield response functions and calibrate the process-based crop model.
- 583 Despite these limitations, our study represents important progress in evaluating the long-term, multidecadal health 584 burdens and agricultural losses resulting from O<sub>3</sub> pollution in China. Across the four major regions, BTHs experience the 585 highest RYLs for major crops due to elevated O<sub>3</sub>. On the other hand, the YRD and PRD regions have greater human health 586 losses primarily due to their large population size. The results can provide important references for governments and agencies when making related national or regional policies to meet the imperative environment, health, and food security 587 588 demands. To effectively address O<sub>3</sub> impacts, collaborative efforts can be made in multifaceted aspects: (1) to implement 589 stricter regulations and specific emission control measures for major ozone precursors from industrial, vehicular and 590 agricultural sources that account for region-specific chemical, meteorological and terrestrial conditions; (2) to encourage 591 the adoption of more sustainable and adaptive agricultural practices that minimize O<sub>3</sub> exposure and its damage on crops (e.g., cultivating O<sub>3</sub>-resistant crop varieties); (3) to improve short-range O<sub>3</sub> forecast capabilities of regional models, 592 593 especially with the enhancement of artificial intelligence technology, which may enable better early warning systems to 594 prepare the public and farmers for O<sub>3</sub> episodes; (4) to raise public awareness via promotional campaigns and educational 595 programs to inform individuals, communities, and farmers about the risks associated with O<sub>3</sub>. It is important for 596 policymakers to consider these suggestions and act to effectively mitigate the negative O<sub>3</sub> impacts.
- 597 Data availability. Model output data used for analysis and plotting are available on the open-access online repository:
   598 <u>ml\_simulated\_ozone\_China</u>.
- 599 **Competing interests.** The authors declare that neither they nor their co-authors have any competing interests. At least one 600 of the (co-)authors is a member of the editorial board of Atmospheric Chemistry and Physics.
- Author contributions. APKT designed the study and supervised the writing of the paper. JM conducted model simulation,
   analyzed results, and wrote the draft with the assistance of TGY and KTC. DHYY performed the GEOS-Chem simulations.
   ZZF assisted in the interpretation of the results. All authors contributed to the discussion and improvement of the paper.
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