



1 A comprehensive review of tropospheric background 2 ozone: Definitions, estimation methods, and meta-analysis 3 of its spatiotemporal distribution in China

4 Chujun Chen¹, Weihua Chen^{1*}, Linhao Guo¹, Yongkang Wu¹, Xianzhong Duan¹,
5 Xuemei Wang¹, Min Shao¹

6 ¹College of Environmental and Climate, Jinan University, Guangzhou, 510632, P. R. China

7 *Correspondence: Weihua Chen (chenwh26@jnu.edu.cn)

8 **Abstract.** Background ozone (O₃) refers to O₃ concentrations that remain unaffected by direct local
9 anthropogenic emissions, critical for comprehending tropospheric O₃ pollution, as it defines the baseline
10 levels without local anthropogenic emissions. Accurately estimating background O₃ is essential for
11 determining the maximum achievable reductions in O₃ through anthropogenic precursor emissions
12 control and for developing effective air quality management strategies. This review synthesizes the
13 definition and estimation methods for background O₃, including in situ measurement, statistical analysis,
14 numerical modeling, and integrated method. A meta-analysis of the spatiotemporal distribution of
15 background O₃ across China from 1994 to 2020 reveals substantial spatial variability, with the highest
16 concentrations in the Northwest region (48 ppb) and the lowest in the Northeast and Central regions (~33
17 ppb). The national average background O₃ concentration is approximately 40 ppb, contributing 77 % to
18 the tropospheric maximum daily 8-hour average ozone. Estimation methods show notable discrepancies:
19 in situ measurement and statistical analysis methods yield higher estimates, while integrated method
20 provide lower yet more consistent values. On a global scale, background O₃ concentrations in China are
21 ranked medium-to-high and exhibit an increasing trend. This review, from a global perspective,
22 highlights the need for integrated estimation methods to improve accuracy, underscores the importance
23 of international collaboration in addressing long-range pollutant transport, and calls for further research
24 on the interactions between background O₃ and climate change. By advancing the understanding of
25 background O₃ dynamics, this study provides critical insights for atmospheric chemistry research and air
26 pollution control efforts in China and beyond.



27 **1 Introduction**

28 Since the implementation of the “Air Pollution Prevention and Control Action Plan” in 2013 and the
29 subsequent “Three-Year Action Plan for Winning the Blue Sky War”, China has made significant
30 progress in air quality management, particularly in reducing fine particulate matter (PM_{2.5})
31 concentrations. These policies have been effective in curbing PM_{2.5} levels, with nationwide PM_{2.5}
32 concentrations declining by approximately 50 % from 2013 to 2020 (Geng et al., 2024). However, despite
33 these successes in controlling PM_{2.5}, the annual average concentration of ozone (O₃) in major urban
34 clusters has exhibited a persistent upward trend. From 2015 to 2022, the frequency of O₃ pollution days
35 has steadily increased, with urban areas such as Beijing, Shanghai, and Guangzhou experiencing a
36 marked rise in O₃ concentrations (Li et al., 2019; Wang et al., 2023). Notably, large-scale, prolonged O₃
37 pollution episodes have also become more frequent, with the number of days exceeding the national O₃
38 standard more than doubling in some regions over the past decade (Ozone Pollution Control Committee
39 of Chinese Society of Environmental Sciences, 2024). Therefore, the “Opinions on Deepening the Fight
40 Against Pollution”, issued by the Central Committee of the Communist Party of China and the State
41 Council, acknowledged these challenges and explicitly mandated that the coordinated control of both
42 PM_{2.5} and O₃ should be incorporated into the “14th Five-Year Plan” (2021-2025), signaling a new phase
43 in addressing multi-pollutant control.

44 O₃ is a secondary pollutant formed through complex photochemical reactions involving volatile
45 organic compounds (VOCs) and nitrogen oxides (NO_x). Tropospheric O₃ refers to O₃ in the lower part
46 of the atmosphere and consists of two primary components: O₃ produced from anthropogenic precursor
47 emissions and background O₃, both of which directly impacts human health, ecological ecosystems, and
48 agricultural productivity (McDonald-Buller et al., 2011; Wang et al., 2009b). Background O₃ refers to
49 the portion of O₃ concentrations that remain unaffected by direct local anthropogenic emissions. Its
50 sources are diverse, including natural emissions from vegetation, soil, lightning, and wildfires, as well as
51 O₃ produced from methane (CH₄) oxidation, stratosphere-troposphere exchange (STE), and the long-
52 range transport of pollutants, as shown in Fig. 1 (Dolwick et al., 2015; Thompson, 2019). It is important
53 to note that in the pre-industrial era (~1750), CH₄ emissions were overwhelmingly dominated by natural



sources (e.g., wetlands, inland freshwaters, and geological), accounting for approximately 95% of global emissions (Lassey et al., 2000; Prather et al., 2012; Valdes et al., 2005), which contributed to relatively stable atmospheric CH₄ concentrations (Ehhalt et al., 2001; Wuebbles and Hayhoe, 2002). Owing to its long atmospheric lifetime (8-9 years) and well-mixed global distribution, CH₄ played a crucial role in sustaining background O₃ levels on a global scale (Fiore et al., 2002; Vingarzan, 2004; West and Fiore, 2005; Thompson, 2019). Accordingly, CH₄ oxidation has traditionally been regarded as a contributor to background O₃ (Skipper et al., 2021; Sun et al., 2024; Thompson, 2019; Vingarzan, 2004; Wu et al., 2008). However, with the intensification of anthropogenic activities, the proportion of CH₄ emissions attributable to human sources (e.g., agriculture, fossil fuels, landfills and waste) has risen markedly from 31% in 1850 to 61 % by 2012 (Fiore et al., 2002; Jackson et al., 2024; Kirschke et al., 2013; Lelieveld et al., 1998; Saunio et al., 2016). In light of this shift, the contribution of anthropogenically derived CH₄ to O₃ formation can no longer be classified as part of the background component. To improve the accuracy of background O₃ assessments, it is therefore essential that future studies explicitly differentiate and exclude the influence of anthropogenic CH₄ emissions.

Background O₃, primarily influenced by natural sources and large-scale environmental factors (e.g., long-range transport of pollutants, and regional meteorological conditions), typically contributes 60-80 % of total tropospheric O₃ at both global and regional scales (Akimoto et al., 2015; Chen et al., 2022; Dolwick et al., 2015; Lee and Park, 2022; Lefohn et al., 2014; Zhang et al., 2011). Unlike PM_{2.5}, which can be more directly controlled through emission reductions, the management of O₃ is more complex and has become a significant challenge in global air quality governance (Chen et al., 2022). Research has shown that reductions in anthropogenic precursor emissions of O₃ have led to declines in pollution episodes in regions such as Europe, the United States, and Japan. However, background O₃ concentrations continue to rise, complicating efforts to reduce overall ground-level O₃ pollution (Akimoto et al., 2015; Cooper et al., 2012; Wilson et al., 2012; Yan et al., 2021). For example, studies from the United States show that while emissions reductions have resulted in fewer O₃ exceedance days, the relative contribution of background O₃ to total ground-level O₃ has risen by approximately 6 % over the past two decades (Jaffe et al., 2018). In recent years, environmental changes such as global climate



81 change, increased CH₄ emissions, and transboundary pollution have led to a steady increase in
82 background O₃ levels (Chen et al., 2022; Vingarzan, 2004). This rise is particularly evident in regions
83 like East Asia, where transboundary pollution from neighboring countries exacerbates the problem
84 (Vingarzan, 2004). Furthermore, as emissions of anthropogenic precursors continue to be controlled, it
85 is projected that the relative contribution of background O₃ to overall O₃ pollution will become
86 increasingly significant (Jaffe et al., 2018; Lam and Cheung, 2022; Skipper et al., 2021). This shift will
87 require a rethinking of air quality management strategies, with greater emphasis on mitigating the factors
88 influencing background O₃ levels, such as reducing global CH₄ emissions and addressing transboundary
89 pollution.

90 Unlike O₃ formed from anthropogenic precursors, background O₃ cannot be mitigated through local
91 emission reductions. Instead, it represents the “baseline” level for regional O₃ pollution, determining the
92 maximum achievable reduction in ground-level O₃ through local anthropogenic emission controls (Fiore
93 et al., 2014; Wang et al., 2009a; Zhang et al., 2011). The increasing levels of background O₃ are
94 complicating air quality management because they limit the effectiveness of local emission reductions
95 (Thompson, 2019; Vingarzan, 2004). In regions such as the United States and Europe, elevated levels of
96 background O₃ undermine the effectiveness of ongoing efforts to meet current O₃ standards and present
97 a major obstacle to meeting more stringent future standards (Thompson, 2019; Vingarzan, 2004). The
98 persistence of high background O₃ levels has become a critical area of scientific and policy research
99 worldwide. For example, the National Aeronautics and Space Administration (NASA) has highlighted
100 background O₃ as a priority issue in efforts to reduce O₃ pollution in the United States (Huang et al.,
101 2015). Similarly, the “*China Blue Book on Prevention and Control of Atmospheric Ozone Pollution*
102 (2020)” recognizes urban O₃ pollution and regional background O₃ concentrations as significant
103 challenges for future O₃ management and emphasizes the need for advanced research to better understand
104 regional variations in background O₃ concentrations and their impact on local air quality (Ozone
105 Pollution Control Committee of Chinese Society of Environmental Sciences, 2022).

106 The complexity and global implications of background O₃ make it an essential focus of research in
107 atmospheric chemistry, climate change, and air quality management. Its contribution to total tropospheric



108 O₃ concentrations is both substantial and difficult to control, as it is influenced by a range of natural and
109 anthropogenic factors beyond the immediate control of local emission regulations. Despite its growing
110 importance, key gaps remain in understanding the sources, variability, and impacts of background O₃.
111 This study aims to provide a comprehensive review of the definitions and estimation methods for
112 background O₃, offering a foundation for advancing scientific understanding in this area. By utilizing
113 publicly available datasets, we systematically examine the spatial and temporal variations of background
114 O₃ across China, uncovering regional heterogeneities, discrepancies between different estimation
115 methods, and key influencing factors. Additionally, we conduct a comparative analysis of China's
116 background O₃ levels with those in other global regions, providing a broader context for understanding
117 the dynamics of background O₃ in the face of global environmental change. This comparative analysis
118 not only reveals the distinct challenges China faces in managing O₃ pollution but also provides broader
119 insights into regional difference in background O₃, reinforcing the importance of the global outlook in
120 addressing this issue. Finally, we propose potential directions for future research on background O₃,
121 emphasizing the importance of filling existing knowledge gaps in this field. As background O₃ continues
122 to influence the effectiveness of O₃ mitigation efforts, this research is pivotal for shaping future air quality
123 management strategies and ensuring the protection of public health and ecosystems.

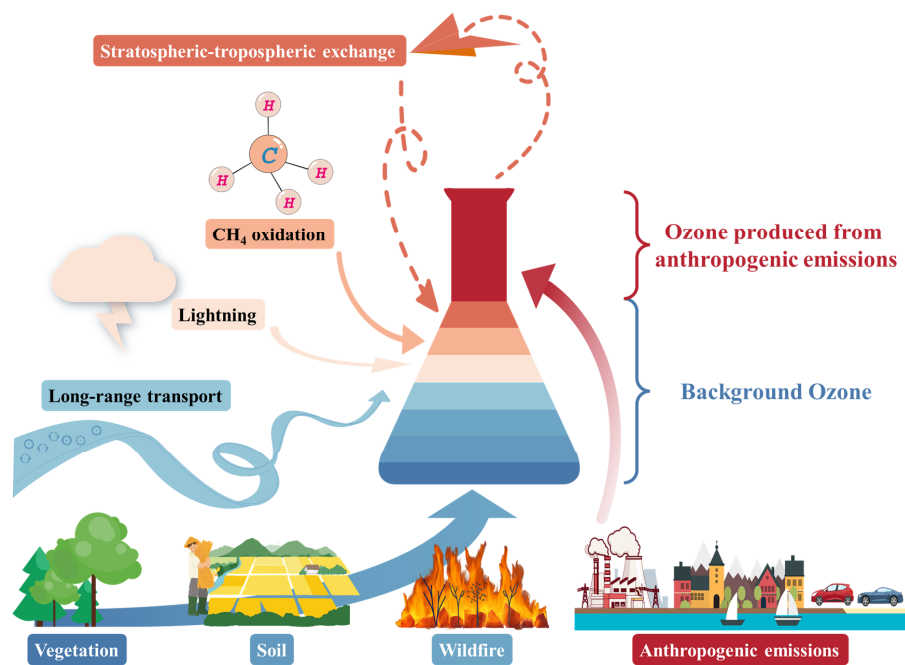


Figure 1: Conceptual diagram of O₃ components and sources.

2 Materials and methods

2.1 Data source and study area

To provide a comprehensive synthesis of advancements in the study of background O₃, a systematic literature search was conducted across major academic databases, including the Web of Science, Google Scholar, Science Direct (Elsevier), Scopus, Springer, Wiley, and China National Knowledge Infrastructure (CNKI). The search was centered on the following key thematic terms: background/baseline/natural, ozone/O₃, regional background ozone/O₃, and policy relevant background ozone/O₃, ensuring the inclusion of a wide range of relevant studies. This study identified 171 pertinent documents, comprising 134 peer-reviewed English-language papers, 25 peer-reviewed Chinese-language papers, 4 English-language reports, 4 English-language books, 2 Chinese-language books, and 2 Chinese-language master's theses. These documents form the core foundation of this review, which traces the evolution of the definition and estimation method for background O₃ over a span of seven



138 decades (1952-2024), providing a comprehensive historical perspective on the development of the field.

139 In addition to reviewing the definition and estimation method for background O₃, we also analyzed
140 the spatial and temporal characteristics of regional background O₃ concentrations in China during the
141 period 1994-2020. This analysis was based on 44 peer-reviewed papers, including 28 papers in English
142 and 16 papers in Chinese, which collectively provided over 700 data points on background O₃
143 concentration from various regions and time periods within China. The dataset includes diverse temporal
144 resolutions, such as annual data (31 %, 237 data points), seasonal data (26 %, 195 data points), and
145 monthly data (43 %, 326 data points). To offer a deeper understanding of the seasonal distribution of data,
146 the seasonal and monthly data were further categorized as follows: spring (24 %, 127 data points),
147 summer (28 %, 145 data points), autumn (24 %, 125 data points), and winter (24 %, 124 data points).
148 The seasonal divisions were based on standard meteorological periods: spring (March-May), summer
149 (June-August), autumn (September-November), and winter (December-February). Detailed information
150 on the collected data, including a breakdown of regional and temporal distributions, is provided in Table
151 S1.

152 To assess the regional differences in background O₃ concentrations across China, the country was
153 categorized into seven geo-administrative regions based on a combination of social, natural, economic,
154 and human environmental factors (He et al., 2023). These regions include Northeast China (NEC), North
155 China (NC), East China (EC), Central China (CC), Northwest China (NWC), Southwest China (SWC),
156 and South China (SC), as shown in Fig. 4. A detailed description of these regional divisions is provided
157 in Table S2.

158 2.2 Data process

159 The background O₃ concentrations presented in this study are expressed as molar mixing ratios in parts
160 per billion (ppb). In some literature, the background O₃ concentrations are reported in micrograms per
161 cubic meter (μg m⁻³). To ensure consistency with international standard units and facilitate comparisons
162 with global datasets, unit conversion was performed using the following Eq. (1):

$$163 \quad ppb = \left(\frac{22.4 \text{ L mol}^{-1}}{48 \text{ g mol}^{-1}} \right) \times (\mu\text{g m}^{-3}), \quad (1)$$



164 Where 22.4 L mol^{-1} represents the molar volume of an ideal gas at standard temperature (0°C)
165 and pressure (101.325 kPa), while 48 g mol^{-1} is the molar mass of O_3 .

166 **2.3 Trend analysis**

167 This study employed linear regression analysis to examine the annual trend in background O_3
168 concentration and assess the statistical significance of these trends over time. Specifically, linear
169 regression was applied to a scatter plot of background O_3 concentrations across different years, using the
170 least squares to determine the relationship between background O_3 concentration and time.

171 To evaluate the model's performance, the coefficient of determination (R^2) was calculated. R^2
172 represents the proportion of variance in background O_3 concentration explained by the linear model,
173 indicating how well the model fits the observed data. Higher R^2 values suggest a strong fit, while lower
174 values indicate a weaker fit. The P-value was also calculated to test the statistical significance of the
175 linear relationship between background O_3 concentration and time. A smaller P-value (typically less than
176 0.05) indicates a statistically significant linear relationship, suggesting that the observed trend is unlikely
177 to have occurred by chance. In contrast, larger P-values imply that the trend may not be statistically
178 significant and could result from random variation.

179 It is important to note that, for the analysis of interannual variations in background O_3 concentration,
180 only annual data from our compiled data set were used. Data points from individual studies that
181 significantly deviated from the overall trend were excluded to ensure the robustness of the analysis.
182 However, consecutive data points with large deviations were retained for consistency. Furthermore, when
183 background O_3 concentrations were derived using different methods in the same geographical region
184 within the same study, the results were averaged to provide a more representative value.

185 **3 Background ozone: conceptual evolution and key definitions**

186 Background O_3 generally refers to the portion of O_3 concentrations that are not influenced by direct local
187 anthropogenic emissions, though its definition varies across studies globally. In contemporary
188 atmospheric research, background O_3 is commonly categorized into two distinct types: natural
189 background ozone (NBO) and regional background ozone (RBO). These two categories are crucial for



190 understanding the sources and variations of background O₃ on both local and global scales. Figure 2
191 presents the evolution of background O₃ definitions.

192 Natural background ozone (NBO) refers to O₃ that forms exclusively through natural processes,
193 independent of anthropogenic emissions (McDonald-Buller et al., 2011; Vingarzan, 2004; Wu et al.,
194 2008). The primary sources of NBO include VOCs and NO_x emitted by natural sources such as vegetation,
195 soil, lightning, wildfires, and the oxidation of CH₄, as well as O₃ exchange between the stratosphere and
196 troposphere (Thompson, 2019). Historically, research into NBO originated with studies on atmospheric
197 photochemistry. In the 1950s, investigations into photochemical smog in Los Angeles identified O₃ as a
198 major component of smog, linking vehicular emissions of VOCs and NO_x to its formation (Haagen-Smit,
199 1952). While these studies primarily focused on anthropogenic sources, they also observed detectable O₃
200 concentrations in remote regions, far from urban pollution, suggesting natural processes contributed to
201 O₃ production (Galbally et al., 1986; Volz and Kley, 1988). By the late 1970s, systematic studies in the
202 United States identified key natural sources of O₃, such as biogenic VOCs (BVOCs), lightning, and soil-
203 emitted NO_x, leading to the formation of the NBO concept (Crutzen, 1974; Jacob et al., 1999; Liu et al.,
204 1987). Although NBO holds significant scientific importance, its practical application as a regulatory
205 tool remains limited, particularly in the Northern Hemisphere, where anthropogenic emissions dominate
206 regional O₃ production (Berlin et al., 2013). Nonetheless, NBO is a critical reference for establishing
207 baseline O₃ levels globally, facilitating the evaluation of human contribution to atmospheric O₃
208 concentration.

209 In the 1990s, researchers in the United States began to recognize the critical role of long-range
210 transport from anthropogenic sources in regional O₃ levels (Fiore et al., 2002a; Jacob et al., 1999;
211 Vingarzan, 2004). This realization was pivotal in developing the concept of United States Background
212 Ozone (USBO), which includes O₃ contributions from global NBO as well as anthropogenic emissions
213 originating outside the country, such as from neighboring regions like Canada and Mexico (Skipper et
214 al., 2021; Thompson, 2019). Acknowledging these external sources highlighted that background O₃
215 levels could not be fully mitigated through domestic emission reductions alone.

216 By the early 21st century, research on background O₃ increasingly intersected with air quality policy



217 development. A notable milestone was the introduction of Policy Relevant Background Ozone (PRBO)
218 by the United States Environmental Protection Agency (EPA) in 2006 during revisions to the National
219 Ambient Air Quality Standards (NAAQS) (U.S. EPA, 2006; Zhang et al., 2011). PRBO refers to ground-
220 level O₃ concentrations that exclude all anthropogenic emissions from North America (the United States,
221 Canada and Mexico) while accounting for natural sources and long-range transport from anthropogenic
222 and natural sources outside North America (Emery et al., 2012; Nopmongcol et al., 2016). This concept
223 aimed to help policymakers assess the effectiveness of domestic control measures in reducing O₃
224 pollution and inform the establishment of stricter O₃ standards. By differentiating controllable from
225 uncontrollable O₃ sources, PRBO enabled a more targeted approach to air quality management, framing
226 policy discussions around the limitations of local pollution control in addressing O₃ levels (Duc et al.,
227 2013; Zhang et al., 2011). The introduction of PRBO marked a significant transition in background O₃
228 research, shifting from a predominantly scientific focus to one directly informing air quality policy and
229 regulatory frameworks (Hosseinpour et al., 2024; U.S. EPA, 2006, 2007).

230 Although USBO and PRBO share some common elements, their definitions differ primarily in
231 geographic scope. PRBO focuses on transboundary contributions from regions outside North America,
232 whereas USBO includes emissions from neighboring countries, such as Canada and Mexico, that affect
233 the United States O₃ concentration. To address regional variations and better capture the dynamic of
234 background O₃ in specific areas, advancements in atmospheric chemistry models have enabled scientists
235 to differentiate the contributions of various sources to background O₃. This led to the emergence and
236 widespread adoption of the term Regional Background Ozone (RBO) around the 2010s (Kemball-Cook
237 et al., 2009; Langford et al., 2009; Ou-Yang et al., 2013). RBO refers to O₃ concentrations within a
238 defined region that are unaffected by direct local anthropogenic emissions. Its main sources include
239 natural emissions (e.g., BVOCs, soil, wildfires, and lightning), the oxidation of CH₄, stratospheric-
240 tropospheric exchange, and long-range transport (McDonald-Buller et al., 2011; Skipper et al., 2021; Sun
241 et al., 2024; Wang et al., 2022).

242 The distinction between NBO and RBO is crucial for understanding the complexity of background
243 O₃ concentrations, as each reflects different sources and scales of influence. NBO represents a natural



244 baseline, dominated by non-anthropogenic factors, serving as a reference point for assessing the human
245 impact on atmospheric composition. In contrast, RBO reflects the interplay of natural and anthropogenic
246 sources at local and global scales. Advancing our understanding of both NBO and RBO is essential for
247 improving air quality models, refining emission control strategies, and establishing science-based
248 standards for O₃ pollution reduction.

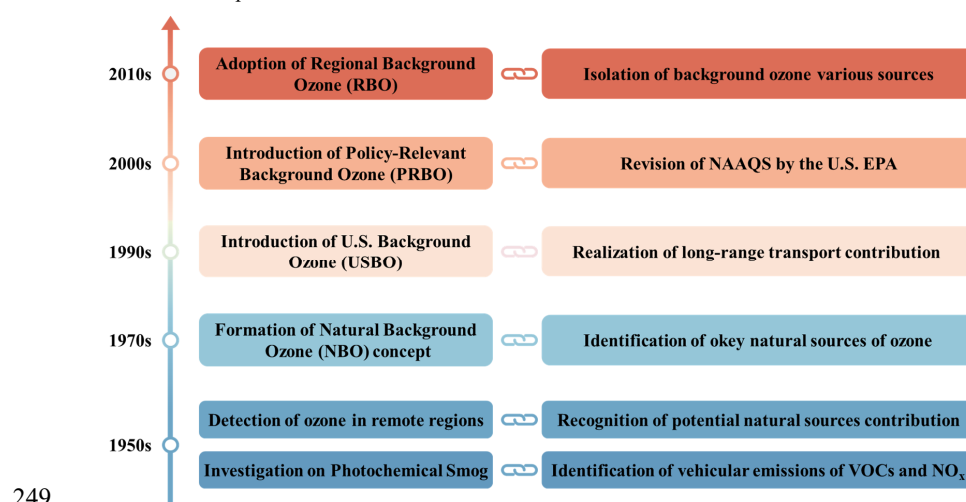


Figure 2: The evolution of background O₃ definitions.

4 Methods for estimating background ozone concentrations

The estimation of regional background O₃ is typically conducted using four primary methods: (1) in situ measurement estimation, (2) statistical analysis estimation, (3) numerical modeling estimation, and (4) integrated method estimation. Figure 3 summarizes the advantages, limitations, and applicability of each method, providing a comparative overview of their respective strengths and weaknesses.

4.1 In situ measurement estimation

The in situ measurement estimation method involves the deployment of monitoring stations in remote or elevated areas, typically located far from direct pollution sources, to measure O₃ concentrations directly (Lam and Cheung, 2022; Wang et al., 2009b). This approach is widely recognized as one of the most direct and commonly used methods for estimating regional background O₃. It is relatively straightforward



261 to implement, requires minimal post-measurement processing, and provides continuous, high frequency
262 data on O₃ variations across spatial and temporal scales. These attributes render it an invaluable tool for
263 tracking long-term trends in background O₃ concentrations.

264 However, this method has limitations, particularly concerning the spatial representativeness of the
265 data. The limited number of monitoring stations, especially in regions with complex terrain or vast
266 geographic areas, can result in insufficient coverage of the region's environmental conditions.
267 Furthermore, measurements from background stations are subject to local meteorological conditions,
268 such as temperature, humidity, and wind patterns, which can introduce uncertainties into background O₃
269 concentrations estimates (Skipper et al., 2021; Wu et al., 2017). This challenge is particularly pronounced
270 in the Northern Hemisphere, where widespread anthropogenic emissions complicate the identification of
271 truly "background" stations that are unaffected by human activities (Cooper et al., 2012; McDonald-
272 Buller et al., 2011; Skipper et al., 2021; Vingarzan, 2004).

273 Despite its limitations, the in situ measurement estimation method remains an indispensable tool
274 for estimating background O₃ concentrations. For instance, Vingarzan (2004) reported that background
275 O₃ concentration in the Northern Hemisphere rose from approximately 10 ppb before the Industrial
276 Revolution to 25-40 ppb by the 2000s, corresponding to an annual growth rate of 0.5-2 %. Similarly,
277 Akimoto et al. (2015) found background O₃ concentrations ranging from 60 to 70 ppb in Japan's Tokyo
278 and Fukuoka metropolitan areas between 1990 and 2008. In southern China, Wang et al. (2009b) recorded
279 background O₃ levels of 30-40 ppb at the Hok Tsui station in Hong Kong from 1994 to 2018, with an
280 average annual increment of 0.58 ppb. These studies demonstrate that, despite challenges in achieving
281 complete representativeness, the in situ measurement estimation method provides valuable insights into
282 regional background O₃ trends and advances our understanding of the long-term impacts of both natural
283 and anthropogenic processes on atmospheric chemistry.

284 **4.2 Statistical analysis estimation**

285 The statistical analysis estimation method uses observed O₃ concentration data and applies statistical
286 techniques to estimate regional background O₃ levels (Altshuller and Lefohn, 1996; Berlin et al., 2013;
287 Steiner et al., 2010; Wang et al., 2022). Historically, such estimations primarily relied on real-time



288 measurements from monitoring stations. However, limitations in the spatial and temporal coverage of
289 monitoring networks, along with their susceptibility to local environmental factors, have constrained
290 their ability to capture the broader regional O₃ levels accurately. For example, monitoring stations
291 situated in areas with complex terrain may yield skewed data due to topographical effects on air
292 circulation patterns, which in turn significantly influence the distribution of O₃ concentration (Wang et
293 al., 2022). To overcome these challenges, researchers have increasingly adopted advanced statistical
294 models that incorporate diverse observational data sources, enhancing the accuracy and reliability of
295 background O₃ estimates (Riley et al., 2023; Rizos et al., 2022).

296 A notable advantage of statistical analysis estimation methods is their capability to process
297 extensive datasets over long temporal scales, providing a cost-effective approach to estimating regional
298 background O₃ levels. These methods can leverage large-scale data networks, such as satellite
299 observations or regional monitoring systems (Langford et al., 2009). However, the reliability of statistical
300 models is heavily dependent on the quality and spatial representativeness of the input observational data.
301 High quality data are essential to minimize biases, and the monitoring stations must be strategically
302 distributed to represent the target region adequately. Additionally, rigorous data preprocessing is critical
303 to mitigate the influence of external factors, such as extreme weather events, that may distort the
304 background O₃ concentrations estimates (Berlin et al., 2013; Langford et al., 2009).

305 The commonly used statistical analysis methods include the following:

306 **4.2.1 Principal Component Analysis**

307 Principal Component Analysis (PCA) is a widely used multivariate statistical technique designed to
308 extract key patterns from datasets containing multiple interrelated variables (Jolliffe, 2005). By
309 transforming correlated variables into a smaller set of uncorrelated principal components, PCA
310 effectively reduces data complexity while preserving the most significant information. In the context of
311 atmospheric pollution, PCA has proven to be particularly useful for isolating background O₃ by
312 minimizing the influences from meteorological factors, such as temperature, humidity, and wind, as well
313 as local airflows from urban and industrial sources. This makes PCA an invaluable tool for understanding
314 regional air quality and estimating background O₃ levels, particularly in cases where direct measurements



315 are confounded by local pollution or short-term meteorological variability.

316 Despite its effectiveness, the application of PCA requires substantial computational resources,
317 particularly when processing large datasets with high temporal and spatial resolution. Additionally, the
318 accuracy of PCA results is highly contingent upon the availability of high-quality, long-term
319 observational data. As emphasized by Wang et al. (2022), insufficiently robust datasets can hinder PCA's
320 ability to isolate the true background O₃ signal, resulting in biased or unreliable estimates.

321 Langford et al. (2009) applied PCA to analyze regional background O₃ concentrations in Texas from
322 August to October 2006. Their analysis revealed that the first principal component accounted for
323 approximately 84 % of the variance in the O₃ data, strongly indicating its relevance as a proxy for
324 background O₃ levels. The estimated background O₃ concentrations at monitoring stations across Texas
325 ranged from 15 to 75 ppb, with higher values typically observed in rural areas with minimal local
326 pollution. Similarly, Suciú et al. (2017) and Berlin et al. (2013) employed PCA to estimate background
327 O₃ levels in Houston, Texas, reporting concentrations between 29 and 50 ppb. In China, Liang et al.
328 (2018) and Wang et al. (2022) applied PCA to estimate background O₃ concentrations, which ranged
329 from 35 to 70 ppb in the Yangtze River Delta region in May 2016 and from 30 to 75 ppb in Shandong
330 Province between 2018 and 2020. These findings underscore the robustness of PCA in estimating
331 background O₃ levels and highlight its versatility across diverse geographical regions, including both
332 developed and developing regions worldwide.

333 **4.2.2 K-means clustering**

334 K-means clustering is an unsupervised, iterative machine-learning algorithm widely employed for
335 grouping data, such as O₃ concentrations, meteorological parameters, and other environmental factors,
336 based on shared characteristics (Riley et al., 2023). Its primary strength lies in the ability to discern
337 patterns within large and complex datasets by clustering observations with similar attributes. Clusters
338 with minimal anthropogenic influence are often interpreted as representative of background O₃
339 concentrations. These clusters, typically defined by low pollutant levels or specific meteorological
340 conditions, facilitate the identification of periods or locations where regional background O₃ can be
341 reliably assessed (Riley et al., 2023; Zohdirad et al., 2022).



342 The computational efficiency of K-means clustering makes it particularly suitable for large-scale
343 studies, as it can simultaneously analyze multiple variables influencing O₃ variability, such as
344 temperature, humidity, and wind patterns. This capability to manage multivariate data enables K-means
345 to derive meaningful insights from complex datasets, which is especially useful in evaluating background
346 O₃ in regions with diverse environmental conditions. For example, Riley et al. (2023) applied K-means
347 clustering to estimate background O₃ concentrations in eastern Australia from 2017 to 2022. Their
348 analysis revealed an average background O₃ concentration of 28.5 ppb, with a decadal increase of 1.8
349 ppb, reflecting the global trend of rising background O₃ levels.

350 Despite its utility, the effectiveness of K-means clustering is highly dependent on the quality of
351 input data. The algorithm is sensitive to noise, outliers, and inconsistencies, which can undermine the
352 reliability of its results. For example, extreme weather events or episodic pollution spikes can distort the
353 clustering process, leading to inaccurate estimations of background O₃. Consequently, high-quality, well-
354 preprocessed datasets are essential to ensure robust and reliable outcomes. Furthermore, K-means
355 clustering is a descriptive rather than a causal technique, meaning it identifies associations between
356 variables but does not elucidate the underlying physical or chemical mechanisms of O₃ formation
357 (Govender and Sivakumar, 2020; Ning et al., 2024; Riley et al., 2023). To mitigate these limitations and
358 enhance the accuracy of background O₃ estimates, K-means clustering can be integrated with other
359 complementary analytical methods, combining its descriptive power with approaches that provide deeper
360 causal understanding (Riley et al., 2023).

361 4.2.3 TCEQ method

362 The Texas Commission on Environmental Quality (TCEQ) method, based on O₃ monitoring data from
363 background regions, has been widely adopted in Texas, the United States, as a reliable approach for
364 estimating regional background O₃ levels (Nielsen-Gammon et al., 2005). This approach defines regional
365 background O₃ as the minimum value within the maximum daily 8-hour average (MDA8) O₃ across all
366 monitoring stations in a given area, effectively representing the lowest O₃ levels unaffected by local
367 emissions (Wu et al., 2017). By focusing on these minimum values over an extended period, the TCEQ
368 method isolates background concentrations, which are crucial for understanding regional air quality and



369 evaluating long-term trends in O₃ pollution.

370 Compared to more complex statistical methods such as PCA, the TCEQ method is simpler to
371 implement and often yields more consistent and interpretable results. However, it is not without
372 limitations. The method is sensitive to meteorological variability, which can lead to temporary spikes or
373 drops in O₃ concentrations, potentially affecting accuracy. Additionally, the TCEQ method requires a
374 dense network of monitoring stations to accurately represent regional background O₃ levels, as sparse
375 monitoring coverage may fail to capture true background concentrations (Wang et al., 2022; Wu et al.,
376 2017).

377 Despite these limitations, the TCEQ method has provided valuable insights into background O₃
378 levels across various regions. For instance, Berlin et al. (2013) and Langford et al. (2009) used this
379 method to estimate background O₃ concentrations during high-O₃ periods (May-October) in Texas
380 between 2000 and 2012. Their estimates ranged from 25 to 45 ppb and 40 to 80 ppb, respectively. Beyond
381 the United States, the TCEQ method has been applied in diverse geographical regions, further
382 underscoring its utility. For example, Xue et al. (2014) applied the TCEQ method to estimate background
383 O_x (O₃ + NO₂) concentrations in Hong Kong from 2002 to 2013, reporting an average O_x concentration
384 of 54 ppb with an annual increase of 0.52 ± 0.55 ppb yr⁻¹, highlighting the growing trend of background
385 O₃ pollution in urbanized regions of Asia. Similarly, Wang et al. (2022) estimated background O₃
386 concentrations in Shandong Province, China, to average 31.4 ppb from 2018 to 2020. These findings
387 demonstrate that the TCEQ method is adaptable across different geographical contexts and provides
388 robust background O₃ estimates that can inform air quality management strategies and policymaking.

389 **4.2.4 O₃-NO_z intercept method**

390 The O₃-NO_z intercept method is an approach for estimating background O₃ concentrations by
391 establishing the linear relationship between O₃ concentrations and its precursors (Altshuller and Lefohn,
392 1996; Hirsch et al., 1996; Yan et al., 2021). In this approach, NO_z is defined as the difference between
393 NO_y (the total reactive nitrogen species, including nitric acid and peroxy nitrates) and NO_x (which
394 comprises NO and NO₂). NO_z serves as an indirect indicator of background O₃ level, based on the
395 assumption that it reflects the presence of O₃-producing precursors in the atmosphere. Through



396 regression analysis, O_3 levels are extrapolated to the intercept where NO_x equals zero, representing an
397 approximation of background O_3 concentrations unaffected by local emissions and photochemical
398 influences.

399 One of the key strengths of this method lies in its simplicity, as it requires only reliable
400 measurements of O_3 , NO_x , and NO_y without necessitating extensive observational networks. However,
401 the method's validity depends heavily on the assumption of a linear relationship between O_3 and NO_x ,
402 which may not hold under all atmospheric conditions. For instance, photochemical processes, such as
403 the formation of secondary pollutants, meteorological variability (e.g., wind, temperature), and local
404 environmental factors can introduce non-linearities into the O_3 - NO_x relationship, potentially impacting
405 the accuracy of the estimates. Additionally, the method's precision is highly sensitive to the quality of
406 O_3 , NO_x , and NO_y measurements, as inaccuracies in these data can result in significant biases when
407 estimating background O_3 levels.

408 Several studies have applied the O_3 - NO_x intercept method to estimate background O_3 concentrations
409 in various regions, providing valuable insights into its efficacy and limitations. For example, Hirsch et
410 al. (1996) applied this method at Harvard Forest in the United States, estimating background O_3
411 concentrations of 40 ppb in May and 25 ppb in September. Similarly, Yan et al. (2021) applied the method
412 in the southeastern United States during the summer of 2013, estimating background O_3 concentrations
413 of 29.8 ppb in a region influenced by both local emissions and regional transport of pollutants. However,
414 Yan et al. (2021) noted that the method's accuracy could be compromised in areas with high rates of
415 nitric acid (HNO_3) deposition. Elevated HNO_3 deposition sequesters reactive nitrogen compounds at the
416 surface, potentially masking near-surface O_3 levels and leading to overestimations of background O_3
417 concentrations.

418 To address these limitations, Yan et al. (2021) proposed a modified version of the O_3 - NO_x method,
419 referred to as the $1-\sigma$ O_3 - NO_x method. This refinement involved excluding regions with high HNO_3
420 deposition rates and minimizing the influence of regional emissions through improved data selection
421 criteria. The modified method estimated background O_3 concentration at 21.3 ppb, approximately 8 ppb
422 lower than the traditional O_3 - NO_x method, demonstrating enhanced reliability under conditions with



elevated nitrogen deposition. This modification highlights the importance of accounting for nitrogen deposition dynamics to improve the robustness of background O₃ estimations.

4.2.5 O₃-CO-HCHO response method

Cheng et al. (2018) introduced an innovative approach for estimating background O₃ concentrations by using carbon monoxide (CO) and formaldehyde (HCHO) as chemical indicators to trace the production and consumption of O₃. This method integrates the chemical reaction dynamics between O₃, CO, and HCHO, resulting in a rapid-response O₃ estimator. This approach was specifically designed to enhance the efficiency and accuracy of O₃ estimation by leveraging the dynamic chemical processes that influence O₃ levels. Building upon this foundation, Yan et al. (2021) proposed the O₃-CO-HCHO approach, which refines the original concept by eliminating the influence of both anthropogenic and natural emissions of O₃ precursors, enabling a more accurate estimation of background O₃ concentrations.

The O₃-CO-HCHO method is particularly advantageous due to its applicability to both observational data and model outputs, offering robust results across a broad range of conditions. The method is governed by the following key equations:

$$O_3 = k_1(CO_{total} - CO_{back}) - (k_1k_2 - k_3)(HCHO_{total} - HCHO_{back}) + O_{3back}, \quad (2)$$

$$O_{3back} = O_3 - k_1(CO_{total} - CO_{back}) + (k_1k_2 - k_3)(HCHO_{total} - HCHO_{back}), \quad (3)$$

Here, $k_1 = \frac{\Delta O_3}{\Delta CO_{anthro}}$, $k_2 = \frac{\Delta CO_{bio}}{\Delta HCHO_{bio}}$, $k_3 = \frac{\Delta O_3}{\Delta HCHO_{bio}}$. The terms “anthro”, “bio”, “total”, and “back” refer to anthropogenic sources, biogenic sources, total sources, and background sources, respectively.

In model-based applications, tracer simulations provide the necessary inputs to determine the unknown variables on the right-hand side of Eq. (3), facilitating the estimation of background O₃ concentrations. This capability makes the method particularly valuable in model-based studies, where emissions sources and their contributions are explicitly tracked. Conversely, when applied to observational data, distinguishing the origins of various species presents challenges. Empirical methods can be employed to approximate missing variables, combining observational data with nonlinear regression analysis, as described in Eq. (2). This enables the estimation of background O₃ concentrations



449 even in the absence of precise source-specific information.

450 However, it is important to note that the chemical interactions among O₃, CO, and HCHO are
451 inherently nonlinear and influenced by regional geography, meteorological conditions, and other
452 environmental factors. These complexities may limit the method's accuracy, as its performance is highly
453 context dependent. (Cheng et al., 2018; Yan et al., 2021). Specifically, the current methodology is most
454 effective in regions minimally affected by anthropogenic pollution, where HCHO is primarily formed
455 via the oxidation of biogenic isoprene, such as in the southeastern United States. A limitation of this
456 method is the difficulty of disentangling contributions from natural and anthropogenic O₃ precursors.
457 Nevertheless, Yan et al. (2021) proposed integrating the O₃-CO-HCHO method with an “anthropogenic-
458 source-zeroing” scenario, which can estimate the impact of emissions from natural sources.

459 Applying the O₃-CO-HCHO method, Yan et al. (2021) estimated the background O₃ concentration
460 in the inland regions of the southeastern United States during the summer of 2013 to range between 10-
461 15 ppb, approximately 5-10 ppb lower than estimates derived from other methods. This refinement
462 highlights the utility of the O₃-CO-HCHO method for achieving more accurate assessments of zero-
463 chemical-signature background O₃ concentrations.

464 **4.2.6 Percentile method**

465 The percentile method is a widely adopted statistical analysis estimation approach for estimating regional
466 background O₃ concentrations, offering a straightforward and practical alternative to complex modeling
467 techniques (Berlin et al., 2013; Jenkin, 2008). This method involves analyzing O₃ concentration data
468 over a specific time period and selecting a particular percentile to represent the background O₃ levels.
469 The selected percentile is assumed to reflect minimal O₃ concentrations that are largely unaffected by
470 local pollution sources, thereby serving as a proxy for regional background O₃ concentrations.

471 A key advantage of the percentile method lies in its simplicity and ease of implementation, making
472 it particularly suitable for regions with limited monitoring networks or computational resources required
473 for advanced modeling techniques. However, the reliability and accuracy of this method are highly
474 dependent on the selection of the appropriate percentile value, which can vary significantly depending
475 on regional characteristics such as emissions patterns, meteorological conditions, and topographical



476 features (Cooper et al., 2012). Consequently, the chosen percentile may exhibit significant variability
477 across different geographical regions, potentially affecting the consistency of background O₃ estimates.
478 For example, Akimoto et al. (2015) proposed using the 2nd percentile of MDA8 O₃ concentrations as a
479 suitable measure of background O₃ levels in Japan, capturing low concentrations unaffected by local
480 anthropogenic emissions during high-O₃ episodes. In contrast, Yan et al. (2021) applied the 5th percentile
481 to estimate background O₃ concentrations in the southeastern United States. Similarly, Cooper et al.
482 (2012) and Wilson et al. (2012) advocated for the use of the 5th percentile in their studies of background
483 O₃ levels in the United States and Europe, respectively, suggesting it achieves a balance between
484 accurately representing background O₃ levels and accounting for regional variations in pollutant
485 emissions.

486 **4.2.7 Temperature-ozone relationship method**

487 The temperature-ozone relationship method estimates background O₃ contributions by analyzing the
488 correlation between O₃ concentrations and temperature (Mahmud et al., 2008). Generally, O₃
489 concentrations increase with rising temperatures, as elevated temperatures enhance the photochemical
490 reactions that produce O₃. However, within a specific temperature range, O₃ concentrations tend to
491 stabilize due to the equilibrium between O₃ production and destruction processes. These stabilized O₃
492 levels, typically observed during periods of relatively stable meteorological conditions, are often
493 regarded as indicative of regional background O₃ concentrations, reflecting natural influence rather than
494 anthropogenic emissions (Mahmud et al., 2008; Sillman and Samson, 1995; Steiner et al., 2010).

495 This method offers several advantages, primarily its simplicity and reliance on widely available
496 observational meteorological and O₃ concentrations data. Given the accessibility of temperature datasets,
497 the temperature-ozone relationship method is particularly effective for conducting large-scale spatial and
498 temporal analyses. Its versatility is demonstrated by its applicability across diverse geographic regions
499 and climatic conditions, ranging from temperate zones to tropical climates, where temperature plays a
500 key role in driving O₃ dynamics.

501 Despite its practicality, the method has certain limitations. A primary challenge is the variability in
502 the temperature range corresponding to stable O₃ levels, which differs among regions due to local



503 meteorological and geographical factors. Extreme meteorological conditions, such as high humidity or
504 strong winds, can disrupt the temperature-ozone correlation, reducing the reliability of this method in
505 such scenarios. Moreover, O₃ formation is influenced by multiple factors, including solar radiation,
506 precursor emissions, and atmospheric chemistry, making temperature an incomplete predictor of O₃
507 dynamics. The method's accuracy also depends on the quality and temporal resolution of the data used;
508 short-term datasets, such as those based on monthly averages, can introduce significant uncertainties due
509 to O₃'s sensitivity to short-term meteorological fluctuations and emission variations. This limitation
510 underscores the importance of using long-term, high-resolution datasets to derive more reliable
511 temperature-ozone relationships (Li et al., 2020; Liao et al., 2021). Incorporating seasonal and regional
512 variations in temperature and O₃ formation processes can further enhance the method's accuracy.

513 Despite these challenges, the temperature-ozone relationship method has been successfully applied
514 in several studies to estimate background O₃ concentrations. For example, Steiner et al. (2010) applied
515 this method to estimate the average background O₃ concentrations in California during the summer
516 months (June-October) between 1980 and 2005, finding values ranging from 30 to 40 ppb. Similarly,
517 Chen et al. (2022) used this method to assess background O₃ levels in China from 2013 to 2019, reporting
518 concentrations of 35-40 ppb during clean seasons and 50-55 ppb during O₃-polluted seasons.

519 **4.2.8 Nocturnal ozone concentration method**

520 The nocturnal O₃ concentration method leverages the relatively stable O₃ levels observed during
521 nighttime, when photochemical reactions driven by sunlight are absent, making it a valuable approach
522 for estimating regional background O₃ levels (Chan et al., 2003). At night, O₃ levels generally remain
523 constant or exhibit minimal fluctuations, as they are primarily governed by the equilibrium between O₃
524 production and destruction through reactions with NO_x and other atmospheric components. However,
525 this method is not without its challenges. A key limitation arises from the titration reaction between O₃
526 and NO, which produces NO₂ and depletes ambient O₃ levels. This phenomenon, known as O₃ titration,
527 can result in underestimation of true background O₃ concentrations, particularly in areas with elevated
528 NO emissions (Akimoto et al., 2015; Itano et al., 2007; Shin et al., 2012).

529 To mitigate the impact of O₃ titration, researchers have introduced adjustments to nocturnal O₃



estimates by incorporating a “total O₃” concentration, denoted as O_{3total} , which serves as a proxy for background O₃ levels. The “total O₃” is calculated using the following equations:

$$[O_{3total}] = [O_3] + [NO_2] - \alpha \times [NO_x], \quad (4)$$

Here, $[O_3]$, $[NO_2]$, and $[NO_x](= [NO] + [NO_2])$ represent the mixing ratios of O₃, NO₂, and NO_x, respectively. The parameter α accounts for the fraction of NO₂ in NO_x from primary emissions, with a typical value of $\alpha = 0.1$ used in most studies (Akimoto et al., 2015; Itano et al., 2007; Shin et al., 2012). However, Wang et al. (2009b) suggested a lower value of $\alpha = 0.041$, introducing variability in the estimated $[O_{3total}]$. This adjustment helps to compensate for the effects of NO titration, yielding a more accurate representation of regional background O₃ levels.

Despite its utility, the nocturnal O₃ concentration method is subject to inherent limitations. A primary drawback is its reliance on observational data, which can be influenced by local variations in emissions and meteorological conditions, thereby complicating the estimation process.

In an applied context, Chen et al. (2022) used the nocturnal O₃ concentration method to estimate background O₃ levels across China during the period from 2013 to 2019. Their analysis revealed that background O₃ concentrations ranged between 25 and 38 ppb during clean seasons and between 35 and 49 ppb during O₃-polluted seasons.

4.3 Numerical modeling estimation

The numerical modeling estimation method, which uses atmospheric chemistry and transport models such as GEOS-Chem, WRF-Chem, and CMAQ, is widely employed to simulate the formation, transportation, and variability of regional background O₃ concentrations. These models offer several distinct advantages by incorporating a comprehensive array of atmospheric processes, including photochemical reactions, vertical mixing, advection, and the transport of pollutants across various spatial and temporal scales. By accounting for the intricate interactions among emissions, meteorological conditions, and atmospheric chemistry, numerical models provide a more robust and accurate representation of regional background O₃ levels compared to in situ measurement estimation or statistical analysis estimation methods alone. Additionally, numerical models can be customized to align with specific research objectives through adjustments to chemical mechanisms and parameterization schemes,



557 rendering them adaptable to diverse regions and temporal scales.

558 A notable strength of numerical models lies in their ability to differentiate the contributions of
559 various emission sources to regional O₃ concentrations (Jaffe et al., 2018; Thompson, 2019; Zhang et al.,
560 2011). This capability sets them apart from in situ measurement estimation and statistical analysis
561 estimation approaches, which typically lack the granularity to isolate the relative contributions of natural
562 versus anthropogenic emissions. However, numerical modeling estimation also presents significant
563 challenges. These models are computationally intensive, requiring substantial resources, especially when
564 simulating extensive domains or prolonged time periods. Moreover, their accuracy depends heavily on
565 the quality of input data, such as emission inventories, meteorological conditions, and assumptions
566 regarding physical and chemical processes, which can introduce uncertainties in estimated O₃
567 concentrations (Dolwick et al., 2015; Guo et al., 2018; Hogrefe et al., 2018; Jaffe et al., 2018).

568 Numerical models typically estimate regional background O₃ concentrations using two primary
569 approaches: the emission scenario method and the tracer method (Fiore et al., 2002a). The emission
570 scenario method employs three-dimensional air quality models, such as GEOS-Chem, MOZART, WRF-
571 Chem, and CMAQ, to simulate background O₃ levels by conducting perturbation experiments where
572 local anthropogenic emissions are reduced or set to predefined values. This approach enables the isolation
573 of local emissions' contributions to regional background O₃ levels (Zhang et al., 2011; Li et al., 2018; Lu
574 et al., 2019; Pfister et al., 2013). In contrast, the tracer method uses chemical tracers to track the transport
575 and transformation of emissions, offering an alternative approach to estimating background O₃
576 concentrations. Models such as CMAQ-ISAM and CAMx-OSAT, developed by the United States
577 Environmental Protection Agency (EPA), incorporate tracer methods to estimate regional background O₃
578 concentrations (Lefohn et al., 2014; Li et al., 2012; Reid et al., 2008).

579 Although both methods have their strengths, studies have highlighted discrepancies in O₃ estimates
580 depending on the approach employed (Jaffe et al., 2018; Skipper et al., 2021). For example, Emery et al.
581 (2012) found that the CAMx model generally produced higher background O₃ concentrations in the
582 United States compared to GEOS-Chem, with CAMx showing a higher correlation with observational
583 data, especially at remote stations and during high-O₃ episodes. Conversely, GEOS-Chem demonstrated



greater accuracy in capturing seasonal mean O₃ concentrations in rural areas. Similarly, Dolwick et al. (2015) compared the tracer and emission scenario methods using CAMx and CMAQ models. Their analysis revealed consistent estimates of background O₃ concentrations in suburban United States areas across both methods. However, in urban areas, the tracer method yielded lower background O₃ estimates than the emission scenario method, indicating a substantial influence of local emissions on O₃ concentrations in densely populated regions. Equally, Fiore et al. (2014) reported differences in background O₃ concentrations between GEOS-Chem and GFDL-AM3 models, with variations ranging from 1 to 10 ppb depending on region, season, and altitude.

Numerical modeling estimation has been extensively applied to estimate global and regional background O₃ concentrations. For example, using the global model GEOS-Chem, Emery et al. (2012) and Zhang et al. (2011) estimated average background O₃ concentration in the United States from March to August 2006, ranging from 20 to 45 ppb, with 27 ± 8 ppb in low-altitude areas and 40 ± 7 ppb in high-altitude areas. Guo et al. (2018) reported annual variation of up to 15 ppb in regional background O₃ concentration in the United States between June and August from 2004 to 2012. Meanwhile, regional models such as CAMx and CMAQ yielded background O₃ estimates of 25 to 50 ppb in the United States between March and August 2006 (Emery et al., 2012). In China, Sahu et al. (2021) found background O₃ concentrations exceeded 22 ppb in 2015.

4.4 Integrated method estimation

The three methods discussed above each possess distinct advantages and limitations, contributing to uncertainties in estimating regional background O₃ concentration. Given these challenges, researchers have increasingly turned to integrated method estimation methods to improve the accuracy and reliability of these estimations.

For instance, Dolwick et al. (2015) improved model-based estimates of background O₃ by comparing observed and simulated O₃ concentrations. Their analysis of rural areas in the western United States during April to October 2007 reported background O₃ concentrations ranging from 40 to 45 ppb, with the lowest concentrations observed along the Pacific coast, ranging from 25 to 35 ppb.

Similarly, Sun et al. (2024) refined estimates by treating model biases as spatial functions,



611 optimizing regional background O₃ estimations. Based on this methodology, Skipper et al. (2021)
612 extended the methodology by incorporating both spatial and temporal functions to account for variations
613 driven by regional background O₃ and anthropogenic emissions. This revised approach estimated an
614 average background O₃ concentration of approximately 33 ppb for the United States in 2017, with peak
615 values around 38 ppb. Notably, this adjustment improved the consistency of estimates by 28 % compared
616 to the unadjusted model, demonstrating the utility of integrated method in refining atmospheric models.

617 The rapid advancement of Machine Learning (ML) techniques has further facilitated the integration
618 of these technologies with traditional methods for estimating regional background O₃ concentrations. For
619 example, Hosseinpour et al. (2024) developed a Multivariate Linear Regression (MVLR) model and a
620 Random Forest (RF) based ML algorithm to adjust model-derived background O₃ concentrations. While
621 the MVLR model follows an adjustment method akin to that of Skipper et al. (2021), the RF-ML
622 algorithm employs the Shapley Additive Explanations (SHAP) method to evaluate the relative
623 importance of each input variable. The RF-ML model, trained using k-fold cross-validation,
624 demonstrated superior predictive accuracy. Hosseinpour et al. (2024) showed that the RF-ML algorithm
625 produced results most consistent with those from the in situ measurement estimation method,
626 outperforming those from the original CAMx model, MVLR adjustments, and two other ML algorithms.
627 Utilizing this methodology, they estimated background O₃ concentrations in 13 urban areas of the United
628 States during April-June and July-September 2016 to range from 31-46 ppb and 27-45 ppb, respectively.
629 This finding underscore the potential of ML algorithms to enhance model-based background O₃ estimates
630 by capturing nonlinear relationships and complex variable interactions (Breiman, 2001; Kashinath et al.,
631 2021).

632 Overall, integrated method estimation methods, particularly those integrated with machine learning
633 techniques, represent a significant advancement in estimating regional background O₃ concentrations.
634 These approaches not only improve the accuracy and robustness of estimates but also provide valuable
635 insights into the complex dynamics of O₃ formation and transport. By combining observational data,
636 statistical adjustments, and advanced modeling techniques, researchers can achieve a more
637 comprehensive understanding of regional O₃ levels and their temporal variations.



Method	Advantages	Limitations	Applicability
 In situ measurement	• direct observation • reliable data • high temporal resolution	• limited spatial coverage • challenging to represent background ozone over large areas	suitable for remote, mountainous, and marine areas with low human impact
 Statistical analysis	• capable of handling large-scale data • low computational cost	• dependent on model assumptions and data quality • limited regional applicability	suitable for areas with abundant existing observed data
 Numerical modeling	• comprehensive coverage • capable of analyzing multiple sources • provides process insights	• high computational cost • reliant on input data and model assumptions • results subject to high uncertainty	suitable for large-scale regions
 Integrated method	providing high accuracy by combining the strengths of observations and models	• complex technology • dependent on the coverage and quality of input data	suitable for regions requiring high-precision estimates

Figure 3: Summary of the advantages, limitations, and applicability of different estimation methods for background O₃.

5 Comprehensive assessment of background ozone in China: patterns, trends, sources, and global comparisons

5.1 Regional patterns of background ozone in China

Figure 4 presents the average background O₃ concentrations across China and its various regions. On a national scale, the average background O₃ concentration is 40.3 ± 11.9 ppb, accounting for 77 % of the MDA8 O₃ concentration. Notable regional variability in background O₃ concentrations is observed, highlighting the differential impacts of local meteorological conditions, pollutant emissions, and geographic characteristics.

Among the regions, Northwest China (NWC) stands out with the highest background O₃ concentrations, reaching 48.2 ± 8.3 ppb, which accounts for 96 % of the MDA8 O₃ concentration. This elevated concentration is attributed to several interrelated factors. First, strong solar radiation and arid atmospheric conditions enhance photochemical reactions, accelerating O₃ formation. He et al. (2021) demonstrated that abundant sunshine and dry conditions significantly increase O₃ production due to the intensified photolysis of precursor compounds. Furthermore, the high altitude and unique surface characteristics of Northwest China promote strong daytime atmospheric convection, facilitating the downward transport of O₃ from the upper atmosphere to the surface levels (Ding and Wang, 2006; Liu et al., 2019; Ma et al., 2005; Nie et al., 2004). Additionally, the relatively low anthropogenic emissions



658 result in fewer precursors like NO_x and VOCs, thereby minimizing rapid fluctuations in O_3 levels. The
659 weaker nocturnal O_3 depletion, caused by limited O_3 scavenging from sparse emissions and lower
660 nighttime temperatures, further amplifies baseline O_3 concentrations (Nie et al., 2004; Qin et al., 2023;
661 Xu et al., 2020).

662 Southwest China (SWC), alongside with the urban clusters of East China (EC) and North China
663 (NC), also exhibits higher background O_3 concentrations, averaging 38.7 ± 10.8 ppb, 38.4 ± 13.0 ppb,
664 and 37.7 ± 13.5 ppb, respectively. These concentrations account for 84 %, 66 %, and 71 % of the MDA8
665 O_3 concentration in each respective region. In Southwest China, regional pollutant transport plays a
666 significant role. During the spring, prevailing winds carry pollutants such as NO_x and VOCs from
667 Southeast Asia, intensifying local O_3 levels (Ye et al., 2024). Summer conditions - characterized by high
668 humidity, elevated temperatures, and intense solar radiation - further amplify photochemical O_3
669 formation (Chen, 2020). The region's complex topography, including mountainous areas and plateaus,
670 also contributes to localized O_3 accumulation. For instance, the Sichuan Basin, with its basin - like terrain,
671 impedes air mass dispersion, leading to pollutants entrapment and prolonged O_3 buildup (Hu et al., 2019).
672 In contrast, East China and North China are heavily influenced by high industrial and vehicular emissions,
673 which release significant quantities of NO_x and VOCs. The precursors undergo photochemical reactions
674 under intense sunlight and elevated summer temperatures, resulting in higher O_3 levels. Moreover, the
675 East Asian Summer Monsoon (EASM) facilitates the transport of O_3 and its precursors from low-latitude
676 regions, such as South China, to higher latitudes, exacerbating O_3 pollution during the monsoon season
677 (Gao et al., 2005; Liu et al., 2019, 2021; Sun et al., 2016; Xu et al., 2011, 2020)

678 The background O_3 concentrations in South China (SC), Central China (CC), and Northeast China
679 (NEC) are relatively low compared to other regions of China, with values of 35.5 ± 8.0 ppb, 33.2 ± 10.9
680 ppb, and 33.0 ± 5.7 ppb, respectively. These concentrations account for 71 %, 57 %, and 67 % of the
681 MDA8 O_3 in each corresponding region. In South China, the relatively low background O_3
682 concentrations can be primarily attributed to the frequent rainfall and high humidity, which facilitate the
683 removal of O_3 precursors such as NO_x and VOCs, thereby suppressing O_3 formation (He et al., 2021).
684 Although BVOCs emissions are relatively high in this region due to abundant vegetation and elevated



685 temperatures, their impact on O₃ formation is less pronounced compared to regions like North China.
686 This is because anthropogenic emissions, such as vehicular exhaust and industrial discharges, typically
687 amplify the contribution of BVOCs on O₃ formation. In the absence of significant anthropogenic
688 pollution, the role of BVOCs in O₃ formation remains relatively limited (Ye et al., 2024). Moreover, the
689 mixed topography of South China, characterized by a combination of hilly terrain and plains, promotes
690 air mixing and disperse O₃, preventing its prolonged accumulation at the surface (Wang et al., 2011).

691 In Central China (CC), the lower background O₃ concentrations are linked to the region's inland
692 locations, which reduces its exposure to oceanic influences and transboundary pollutant transport. The
693 absence of strong maritime airflow limits the import of O₃ precursors, while frequent rainfall during the
694 warmer months helps remove these precursors from the atmosphere, further suppressing O₃ formation
695 (Sahu et al., 2021). Anthropogenic emissions, primarily from vehicular exhaust, industrial discharges,
696 and solvent usage, constitute the dominant sources of O₃ in this region (Zeng et al., 2018). Consequently,
697 the relative contribution of background O₃ is lower, as anthropogenic emissions play a more substantial
698 role in O₃ formation. The combination of moderate meteorological conditions and limited transport of
699 O₃ precursors contributes to the observed lower background O₃ levels in Central China. In Northeast
700 China, the lower background O₃ concentration can be attributed to a prolonged period of low temperature,
701 which significantly reduces the rate of photochemical reaction. Additionally, the region experiences
702 strong summer air convection and substantial precipitation, both of which further inhibit O₃ generation
703 (Chen, 2024; Xu et al., 2020).

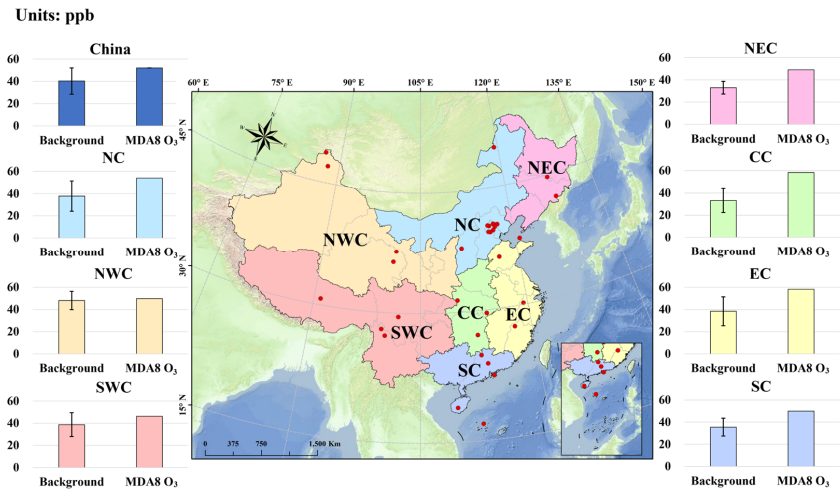


Figure 4: Spatial distribution of background O₃ concentrations (1994-2020) and MDA8 O₃ concentrations across various regions of China. MDA8 O₃ concentrations for the seven regions (2013 to 2018) were sourced from He et al. (2023). The locations of 33 background monitoring stations are indicated with red dots. The seven regions include Northeast China (NEC), North China (NC), East China (EC), Central China (CC), Northwest China (NWC), Southwest China (SWC), and South China (SC).

5.2 Comparative evaluation of background ozone concentration estimates using diverse methods

Figure 5 presents a comparison of average background O₃ concentrations across China, as estimated using various methods. Among these, the in situ measurement estimation method remains the most widely utilized, as it directly relies on observational data from established monitoring networks. In this study, data from 33 background monitoring stations were compiled (Fig. 4), with detailed information on their locations and characteristics provided in Table S3. In contrast, the other three methods, particularly the integrated method estimation approach, have been less frequently applied in research, reflecting their higher reliance on assumptions and advanced modeling techniques.

The estimated background O₃ concentrations for China derived from the four methods reveal relatively small differences in average values. The in situ measurement estimation method and statistical analysis estimation method yield the highest average concentration, with values of 40.6 ± 12.0 ppb and 39.9 ± 11.5 ppb, respectively, followed by the numerical modeling estimation method (36.5 ± 12.6 ppb). The integrated method estimation method, which integrates observational data with modeling outputs,



723 reports the lowest estimate (34.0 ± 2.7 ppb), approximately 6 ppb lower than those from in situ
724 measurement estimation and statistical analysis estimation methods.

725 Despite the similar average values, substantial discrepancies exist among the various methods used
726 to estimate background O₃ concentrations, underscoring the significant influence of methodological
727 differences. The in situ measurement estimation reveals a particularly wide variability, with estimated
728 background O₃ concentrations ranging from approximately 14 ppb to as high as 85 ppb. This broad range
729 reflects the substantial influence of localized factors, such as topography, climatic conditions, and
730 anthropogenic emissions, on observational data. In comparison, statistical analysis estimation and
731 numerical modeling estimation methods yield relatively consistent results, although the difference
732 between the maximum and minimum estimated background O₃ concentration for both methods reach 60
733 ppb. Notably, more than 80 % of the estimated background O₃ concentrations fall within the range of 25-
734 53 ppb, suggesting a reasonable degree of agreement between the two methods. The consistency is likely
735 attributable to the reliance on long-term data trends and calibrated algorithms, which effectively reduce
736 the impact of extreme values while capturing broader patterns in O₃ behavior. The integrated method
737 estimation method, by integrating observational data, statistical analysis, and numerical results, exhibits
738 the least variability. Background O₃ estimates from this approach are confined to a narrower range of 28-
739 39 ppb, reflecting its ability to reconcile the inherent variability in observational data with the structured
740 consistency of numerical models. This reduced uncertainty enhances the method's reliability for both
741 scientific research and policy applications.

742 These differences highlight the complexities and challenges associated with estimating background
743 O₃ concentrations using diverse methodologies. The variability observed across methods arises from
744 several key factors, including disparities in data sources, underlying assumptions, and the
745 parameterization of physical and chemical processes (Jaffe et al., 2018; Skipper et al., 2021; Wang et al.,
746 2022; Yan et al., 2021). For instance, the in situ measurement estimation method is directly influenced
747 by local meteorological and emission conditions, while the numerical modeling estimation method is
748 subject to uncertainties in simulating processes such as natural emissions, transboundary transport, and
749 photochemical reactions. Although the integrated method estimation method benefits from leveraging



both observations and modeled outputs, it may introduce additional uncertainty through integration techniques and sensitivity to the input data quality.

The discrepancies among these methods emphasize the need for further refinement and rigorous cross-validation to improve the accuracy and reliability of background O₃ concentration estimates. Future efforts should prioritize the expansion and enhancement of observational networks, the refinement of model parameterization schemes, and the development of advanced integrated method frameworks. Such advancements are essential for narrowing the discrepancies among different estimation methods, providing consistent and reliable background O₃ estimates, and enabling more effective air quality management and policy formulation.

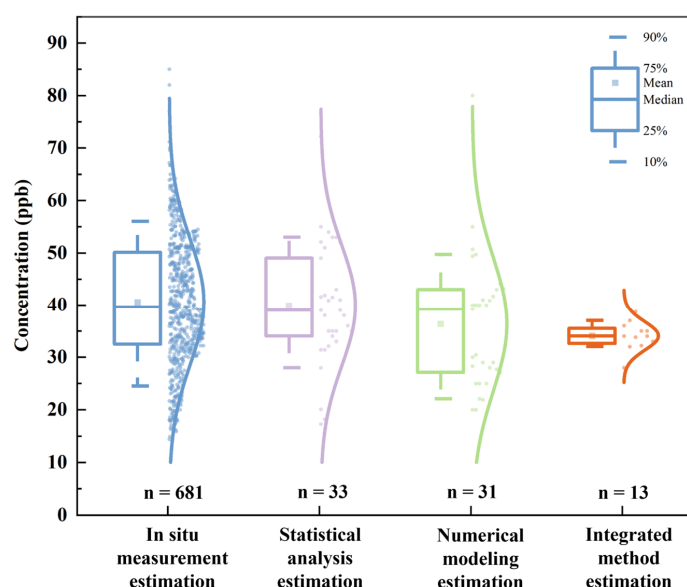


Figure 5: Estimated regional average background O₃ concentrations in China (1994-2020) based on multiple methods.

5.3 Long-term trends and interannual variability of background ozone in China

Due to the absence of long-term background O₃ concentration data for other regions, Figure 6 focuses on the annual variation trends of background O₃ concentrations in four major regions of China (i.e., NWC, NC, EC, and SC) during the period from 1994 to 2020. Overall, background O₃ concentrations in these regions have exhibited an upward trend over the years, albeit with notable differences in growth rates



767 across regions.

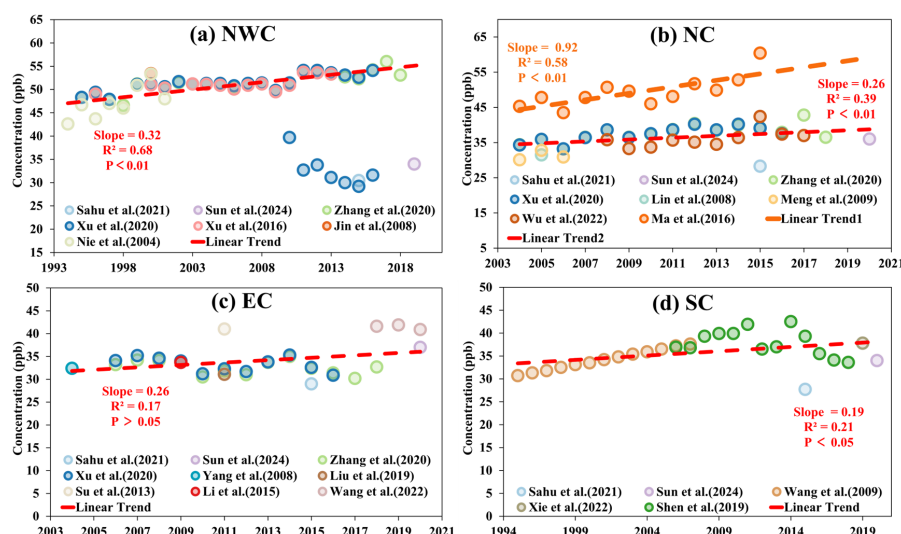
768 Notably, Northwest China (NWC) exhibited the most pronounced increase in background O₃
769 concentration, with an average annual growth rate of 0.32 ppb yr⁻¹ ($r^2=0.68$, $p<0.01$), as shown in Fig.
770 6(a). This marked growth is likely driven by the stratospheric-tropospheric exchange and regional
771 transport of O₃ precursors, as suggested by Xu et al. (2018) and Zhang et al. (2020). Previous studies
772 have highlighted the significant role of long-range transport of air pollutants in this region, contributing
773 to elevated O₃ levels. In addition, shifts in atmospheric circulation and an increase in the frequency of
774 stratospheric-tropospheric exchange events further amplify O₃ concentration in this region (Xu et al.,
775 2016, 2020; Xue et al., 2011).

776 Following, North China (NC) and East China (EC) also experienced notable increases in
777 background O₃ concentration, each with an average annual growth rate of 0.26 ppb yr⁻¹, as shown in Fig.
778 6(b) and Fig. 6(c). However, a statistically significant upward trend was observed in North China, where
779 the increase passed the 0.01 confidence level. In contrast, the growth rate in East China, though
780 comparable, did not achieve statistical significance ($p>0.05$), suggesting regional variability in the factors
781 driving O₃ trends. This discrepancy could be attributed to differences in urbanization levels,
782 industrialization intensity, and meteorological conditions, which modulate the dispersion and chemical
783 transformation of O₃ precursors differently in these regions (Ma et al., 2016; Xu et al., 2020; Zhang et
784 al., 2020). A detailed study by Ma et al. (2016) further supports these findings, reporting a higher growth
785 rate in background O₃ concentration in North China, reaching 1 ppb yr⁻¹ ($r^2=0.58$, $p<0.01$), based on data
786 from the Shangdianzi background station. This finding highlights the intensification of regional
787 background O₃ pollution, likely driven by both local emissions and the regional atmospheric conditions
788 conducive to O₃ accumulation.

789 In stark contrast, South China (SC) experienced the slowest growth in background O₃ concentration,
790 with an average annual increase of only 0.19 ppb yr⁻¹ ($r^2=0.21$, $p<0.05$), as shown in Fig. 6(d). This
791 relatively modest increase may be attributed to a combination of factors, including more stable natural
792 and anthropogenic emission sources and more effective atmospheric cleansing processes (Qin et al., 2021;
793 Shen and Wang, 2012; Xie et al., 2022; Zhang and Zhang, 2019). For instance, the region's comparatively



794 higher precipitation rates and frequent weather systems facilitate the removal of pollutants from the
795 atmosphere, thereby moderating O₃ levels.



796
797 **Figure 6: Annual trend of background O₃ concentrations in the NWC (1994-2019), NC (2004-2020), EC (2004-**
798 **2020), and SC regions (1995-2020). The dashed lines represent the linear trends.**

799 5.4 Source attribution and analysis of background ozone in China

800 The analysis above reveals that the growth characteristics of background O₃ concentrations across
801 different regions of China are influenced by the synergistic effects of multiple factors, including regional
802 natural source emissions, cross-regional transport, stratospheric-tropospheric exchange, and local
803 atmospheric pollutant reduction measures. These factors interact in complex and dynamic ways, resulting
804 in significant regional and seasonal variations in background O₃ levels.

805 Natural source emissions are a key driver of background O₃ levels in China, with studies
806 consistently highlighting their substantial contribution. For example, Wang et al. (2011) and Lu et al.
807 (2019), using the numerical model GEOS-Chem, estimated that over 70 % of regional background O₃
808 concentrations in China originate from natural emissions, including BVOCs, soil NO_x, and CH₄
809 emissions and others. Among these, BVOCs exert a particularly significant impact on O₃ formation. Lu
810 et al. (2019) demonstrated that during the peak summer months of July and August in 2016-2017, BVOCs
811 emissions contributed over 15 ppb to the background O₃ in central and eastern China. Similarly, Chen et



812 al. (2022) emphasized that during O₃ pollution seasons, BVOCs emissions dominate the increase in
813 background O₃, contributing 8-16 ppb compared to non-pollution seasons. These findings underscore the
814 importance of incorporating the variability of natural emissions into modeling and policy frameworks,
815 particularly in light of future climate change that may exacerbate BVOCs emissions.

816 Long-range transport plays an equally significant role in shaping background O₃ concentration
817 across China. Several studies have shown that the influx of O₃ and its precursors from other regions,
818 including Southeast Asia, Europe, North America, India, and the Middle East, can elevate background
819 O₃ concentration in China by 2-15 ppb (Wang et al. (2011), Li et al. (2014), and Ni et al. (2018)). This
820 influence is particularly pronounced during specific seasons when atmospheric circulation facilitates the
821 transboundary transport of atmospheric pollutants (Ni et al., 2018; Sahu et al., 2021; Ye et al., 2024).
822 Regional transport also significantly influences the background O₃ levels in urbanized and densely
823 populated areas. For instance, Su et al. (2013) showed that air masses originating from high altitudes, the
824 Yangtze River Delta region, and the Pearl River Delta regions could cause spikes at the Mount Wuyi
825 background station, with concentration reaching 62-73 ppb, far exceeding the station's annual average
826 of 41 ± 15.9 ppb. Similarly, Wang et al. (2009b) measured that air masses from eastern China had an
827 average O₃ concentration of 48 ppb at a background station in Hong Kong, highlighting the significant
828 impact of inter-regional transport on coastal regions.

829 Stratospheric-tropospheric exchange (STE) is a critical vertical transport process contributing to
830 background O₃ levels, particularly in high-altitude and northern regions of China. This process is most
831 active during spring, when stratospheric O₃ is transported downward into the troposphere (Ding and
832 Wang, 2006; Lu et al., 2019; Xu et al., 2018). Wang et al. (2011) estimated that STE contributes
833 approximately 7 ppb to background O₃ concentrations in northern China during the spring season.
834 Observations at the Mt. Waliguan Station on the Tibetan Plateau further support the importance of STE;
835 Xu et al. (2018) reported that STE contributes 8-12 ppb to background O₃ concentrations during spring.
836 Lu et al. (2019) found that STE processes contribute as much as 20 ppb to background O₃ concentration
837 in western China during March and April, with an average contribution of 1.8-8.7 ppb across China from
838 March to October. In lower-latitude regions such as the Pearl River Delta, Shen et al. (2019) demonstrated



839 that vertical transport processes, including STE, predominantly influence background O₃ levels during
840 spring and autumn. These findings underscore the critical role of altitude and latitude in modulating the
841 magnitude of STE contributions.

842 5.5 Comparative analysis of background ozone levels: insights from China and global perspectives

843 Figure 7 presents a comparative analysis of background O₃ concentrations in China and several other
844 global regions, with a particular focus on the United States, Canada, Europe, Japan, and South Korea.
845 On average, background O₃ concentrations in China (40.3 ± 12.0 ppb) are slightly higher than those
846 observed in the United States (35.7 ± 14.0 ppb) (Chan and Vet, 2010; Dolwick et al., 2015; Emery et al.,
847 2012; Fiore et al., 2003, 2002a; Hirsch et al., 1996; Parrish et al., 2009; Parrish and Ennis, 2019; Steiner
848 et al., 2010; Vingarzan, 2004; Yan et al., 2021; Zhang et al., 2011) and Europe (34.2 ± 10.3 ppb) (Auvray
849 and Bey, 2005; Brönnimann et al., 2000; Kalabokas et al., 2000; Naja et al., 2003; Parrish et al., 2009;
850 Scheel et al., 1997; Vecchi and Valli, 1998; Vingarzan, 2004; Wilson et al., 2012). This suggests that
851 although developed regions have made significant progress in controlling anthropogenic O₃ precursors,
852 background O₃ remains a major concern due to various regional factors such as higher emissions,
853 industrial activity, and specific atmospheric conditions (Huang et al., 2015). In contrast, background O₃
854 levels in China are significantly higher than those observed in Canada (26.9 ± 7.4 ppb) (Chan and Vet,
855 2010; Vingarzan, 2004), which is likely due to Canada's lower industrial activity, less dense population,
856 and colder climate that limits the photochemical processes necessary for O₃ formation.

857 When comparing China to other East Asian regions, the background O₃ concentration is slightly
858 higher than in South Korea (38.8 ± 11.74 ppb) (Ghim and Chang, 2000; Kim et al., 2023; Lam and
859 Cheung, 2022; Lee and Park, 2022; Yeo and Kim, 2021), but marginally lower than in Japan (45.4 ± 23.2
860 ppb) (Akimoto et al., 2015; Lam and Cheung, 2022; Sunwoo et al., 1994; Tsutsumi et al., 1994). Detailed
861 information on the data, including a breakdown of regional and temporal distributions, is provided Table
862 S4. Notably, East Asian regions, including China, South Korea, and Japan, typically exhibit background
863 O₃ levels that are 3-20 ppb higher than those observed in Europe, the United States, and Canada. This
864 regional disparity is attributable to a combination of factors, including the region's warm climate, high
865 solar radiation, and the presence of industrialized areas that emit large quantities of O₃ precursors. These



866 factors collectively enhance photochemical O₃ (Lee et al., 2021; Li et al., 2016; Nagashima et al., 2010;
867 Yamaji et al., 2006). Furthermore, complex regional airflow patterns, including transboundary transport
868 and local atmospheric dynamics, promote the accumulation of background O₃, especially in densely
869 populated urban centers. These findings underscore the critical need for regional cooperation in
870 addressing O₃ pollution in East Asia, where transboundary influences and shared atmospheric conditions
871 complicate the management of background O₃ levels.

872 A more granular regional comparison reveals notable differences in background O₃ concentrations
873 among various regions of both China and the United States. Specifically, the difference in background
874 O₃ concentrations between Central and Western China (including NWC and SWC) reaches 10 ppb, while
875 the discrepancy between the Eastern and Western United States is as high as 13 ppb. Western China and
876 the Western United States exhibit higher background O₃ levels. In particular, the Los Angeles area in the
877 Western United States reports background O₃ levels as high as 62 ppb (Parrish and Ennis, 2019), a
878 phenomenon attributed to the region's combination of intense ultraviolet radiation, low humidity, and
879 favorable atmospheric conditions for O₃ formation. Similarly, the higher altitudes of Western China
880 enhance its susceptibility to stratospheric transport, which contributes to elevated O₃ concentrations. The
881 Western United States is similarly influenced by trans-Pacific atmospheric transport, further exacerbating
882 O₃ levels.

883 In contrast to the significant regional differences observed in China and the United States,
884 background O₃ concentrations in Canada and Europe exhibit relatively small variations, typically ranging
885 from 4 to 7 ppb. The limited variation in Canada can be attributed to factors such as its low population
886 density, minimal industrial activity, and expansive natural vegetation, all of which, coupled with its cold
887 climate, limit O₃ production. In Europe, the relatively smaller regional differences are likely as a result
888 of effective transnational air quality management and stringent pollution control policies, which have
889 successfully minimized disparities in O₃ concentrations across the continent. The relatively uniform air
890 quality management frameworks in these regions have helped mitigate large-scale emissions and reduce
891 regional discrepancies in background O₃ levels (Miranda et al., 2015; Næss, 2004; Rodrigues et al., 2021;
892 Xu et al., 2019).

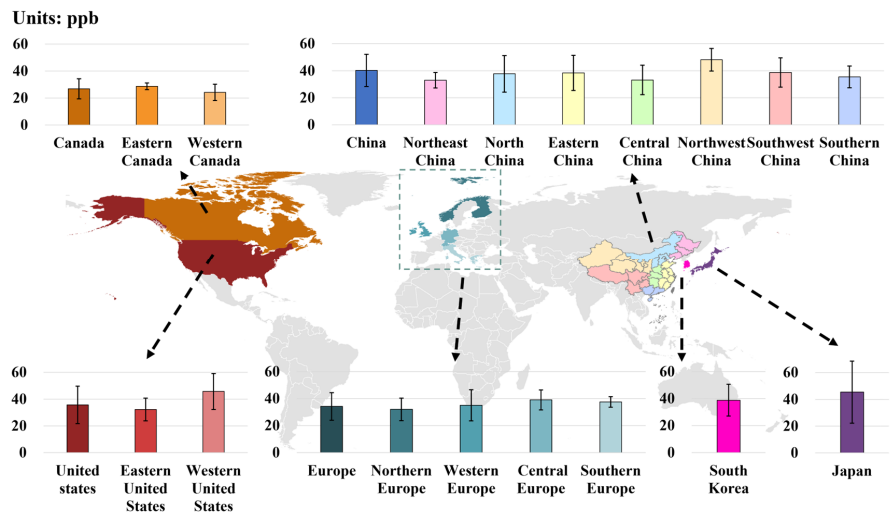


Figure 7: Average background O₃ concentrations in the United States, Canada, Europe, South Korea, Japan, and China.

6 Conclusions and perspectives

Background O₃ concentrations are critical for understanding O₃ pollution, as they represent the baseline level of O₃ even in the absence of local anthropogenic emissions. These concentrations determine the maximum achievable reduction in O₃ through the mitigation of anthropogenic precursor emissions, making accurate estimates crucial for effective air quality management and setting realistic pollution control targets. This study provides a comprehensive review of the definition and estimation methods for background O₃ concentrations, with a focus on recent advances in regional research in China. Our findings reveal an average background O₃ concentration of 40.3 ± 11.9 ppb in China, which accounts for 77 % of the tropospheric MDA8 O₃. Notable spatial variations are observed, with the highest levels in Northwest China (48.2 ± 8.3 ppb) and the lowest in Northeast China (33.0 ± 5.7 ppb), alongside an upward national trend reflecting growing O₃ pollution. Despite progress in estimation methods, discrepancies persist across the four estimation methods, with the in situ measurement estimation method and statistical analysis estimation method yielding higher values, while the integrated method estimation method offers lower but more consistent estimates. Compared to other regions, East Asia, including China, South Korea, and Japan, experiences background O₃ levels 3-20 ppb higher than the United States,



911 Canada, and Europe. This highlights the region-specific atmospheric conditions and pollution
912 characteristics, and the imperative of addressing background O₃ pollution within a global framework.

913 Although substantial progress has been made in estimating background O₃ over recent decades,
914 considerable challenges remain due to the complexity of its sources and the multitude of influencing
915 factors, particularly in the context of global climate changes and transboundary pollution. Future research
916 should prioritize several key areas to advance the understanding and management of background O₃:

917 **6.1 Accurate quantification of background ozone sources and processes**

918 Natural emissions, long-range transport, and stratospheric-tropospheric exchange (STE) are key drivers
919 of background O₃ concentrations; however, significant uncertainties remain in quantifying their
920 individual contributions. To improve our understanding and predictive capabilities, future research must
921 prioritize the refinement of quantification methods for these sources and processes. For instance, the
922 variability of natural emissions, particularly from BVOCs and lightning, remains inadequately
923 characterized across different climatic conditions. In addition, STE represents another critical but poorly
924 understood source of background O₃, with studies indicating significant seasonal and regional variations
925 in its contribution (Lu et al., 2019; Xie et al., 2017). Despite the critical importance of these processes,
926 existing models often encounter difficulties in accurately simulating natural emissions and STE,
927 primarily due to limitations in model structures and parameterization (Auvray and Bey, 2005; Griffiths
928 et al., 2021; Huang et al., 2024; Koo et al., 2010). As a result, the accuracy of model predictions for
929 background O₃ concentrations is compromised, resulting in increased uncertainties that hinder effective
930 policy planning and air quality management.

931 **6.2 Development of integrated method techniques**

932 Single method approaches for estimating background O₃ concentrations have inherent limitations, as
933 they often fail to capture the full spectrum of factors influencing O₃ levels. For example, while numerical
934 models provide valuable insights, they frequently underestimate actual O₃ concentrations due to
935 simplifications in chemical processes and uncertainties in input data. In contrast, statistical analysis
936 estimation methods are heavily dependent on the availability and representativeness of observational



937 data, which can be sparse or biased, particularly in regions with limited monitoring networks. These
938 limitations highlight the necessity for more integrated approaches that combine the strengths of different
939 methods.

940 In this context, the development of integrated method techniques presents a promising approach to
941 improve background O₃ estimation. By integrating observational data, statistical analysis, and numerical
942 results, integrated method estimation can mitigate the inherent limitations of each individual method. For
943 example, data assimilation techniques, which combine model outputs with real-time observational data,
944 have been shown to improve both spatial and temporal resolution, yielding more accurate and robust O₃
945 estimates (Skipper et al., 2021; Sun et al., 2024). Additionally, the integration of high-resolution regional
946 models with long-term observational datasets can significantly enhance spatiotemporal coverage of
947 background O₃ estimates, enabling precise characterization of O₃ variability across diverse geographic
948 scales, from urban centers to remote rural areas. Recent advancements in machine learning-based fusion
949 methods further extend the potential of data integration by uncovering nonlinear relationships among
950 multiple data sources, thereby improving estimation accuracy. These approaches can also account for
951 complex interactions between meteorological conditions, emission sources, and atmospheric chemistry,
952 which are often challenging to capture using traditional methods. Given the potential of integrated
953 method techniques to provide more accurate and comprehensive background O₃ estimates, future
954 research should prioritize their continued development and validation. Such efforts will improve the
955 precision and reliability of background O₃ estimates, thereby enhancing our understanding of regional
956 O₃ pollution dynamics and supporting the development of more effective air quality management
957 strategies.

958 **6.3 Fostering international collaboration on long-range pollution transport**

959 As air quality standards for O₃ become increasingly stringent, background O₃ concentrations have
960 emerged as a critical challenge for many countries in achieving regulatory targets. This issue is
961 particularly pronounced in regions impacted by both local and transboundary pollution, where efforts to
962 reduce domestic emissions may not fully address the underlying drivers of elevated background O₃ levels.
963 For instance, studies conducted in the United States have demonstrated that despite substantial reductions



964 in local emissions of O₃ precursors, background O₃ concentrations in some areas remain persistently high
965 (Cooper et al., 2012; Huang et al., 2015). This phenomenon is partly attributed to long-range transport
966 of pollutants, including O₃ precursors, from distant regions, often spanning international borders and
967 even continents (Cynthia Lin et al., 2000; Dentener et al., 2010). Such transboundary pollution
968 underscores the need for comprehensive international cooperation to effectively mitigate the challenges
969 posed by background O₃.

970 International collaboration is therefore essential for tackling the elevated background O₃. To this
971 end, fostering transboundary emission reduction agreements between countries and regions can play a
972 pivotal role in curbing the long-range transport of O₃ and its precursors. Moreover, strengthening the
973 global background O₃ monitoring network, particularly in remote regions and marine stations, would
974 significantly enhance the capacity for real-time monitoring of background O₃ levels on a global scale.

975 **6.4 Strengthening research on the interaction between background ozone and climate change**

976 The impact of climate change on background O₃ concentrations represents a critical area for future
977 research, with profound implications for air quality management and public health. Climate change is
978 expected to affect background O₃ levels through multiple interconnected mechanisms. For example,
979 rising temperatures and altered precipitation patterns are expected to affect natural emissions, such as
980 BVOCs emissions from forests and NO_x emissions from soil, both of which are particularly sensitive to
981 climatic factors like temperature and humidity. These changes would, in turn, influence regional
982 background O₃ levels. Beyond these direct emission impacts, climate change is likely to modify
983 atmospheric circulation patterns, thereby affecting the long-range transport of atmospheric pollutants and
984 the spatial distribution of background O₃. Alterations in wind patterns and monsoon systems, for example,
985 could significantly alter the transport of O₃ and its precursors over large distances, thereby exacerbating
986 regional background O₃ levels, especially in areas downwind of major pollution sources (Collins et al.,
987 2003; Sonwani et al., 2016; Sudo et al., 2003; Wu et al., 2008). Consequently, future research should
988 prioritize understanding the dynamic interplay between climate change and background O₃
989 concentrations to improve predictive models and inform effective air quality management strategies.

990



991 **Author contributions**

992 CC collected the data. CC conducted the data analysis and prepared the draft with the support of WC, LG
993 and YW. XD, XW, and MS contributed to the revision of the paper.

994

995 **Competing interests**

996 The authors declare that they have no conflict of interest.

997

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