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Forecasting and Identifying the Meteorological and Hydrological Conditions Favoring the Occurrence of Severe Hazes in Beijing and Shanghai using Deep Learning

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Abstract. Severe haze or low visibility event caused by abundant atmospheric aerosols has become a serious environmental issue in many countries. A framework based on deep convolutional neural networks has been developed to forecast the occurrence of such events in two Asian megacities: Beijing and Shanghai. Trained using time sequential regional maps of meteorological and hydrological variables alongside surface visibility data over the past 41 years, the machine has achieved a good overall accuracy in associating the haze events with favorite meteorological and hydrological conditions. Furthermore, an unsupervised cluster analysis using features with a greatly reduced dimensionality produced by the trained machine has, arguably for the first time, successfully categorized typical regional meteorological-hydrological regimes alongside local quantities associated with haze and non-haze events in the two targeted cities, providing substantial insights to advance our understandings of this environmental extreme.

1 Introduction

Frequent low visibility or haze event caused by elevated abundance of atmospheric aerosols due to fossil fuel and biomass burning has become a serious environmental issue in many Asian countries in recent decades, interrupting economic and societal activities and causing human health issues (*e.g.*, Chan and Yao, 2008; Silva et al., 2013; Lee *et al*., 2017). For example, rapid economic development and urbanization in China have caused various pollution-related health issues particularly in populated metropolitans such as Beijing-Tianjin region and Yangtze river delta centered in Shanghai (*e.g.*, Liu *et al*., 2017). In Singapore, the total economic cost of severe haze events in 2015 is estimated to be $510 million (0.17% of GDP), or $643.5 million based on a wiling-to-pay analysis (Lin *et al*., 2016). To ultimately prevent this detrimental environmental extreme from happening requires rigid emission control measures in place through significant changes in energy consumption as well as land and plantation management. Before all these measures could finally take place, it would be more practical to develop skills to accurately predict its occurrence hence to allow mitigation measures to be implemented ahead of time.

Severe haze events arise from the solar radiation extinction by aerosols in the atmosphere, this mechanism can be enhanced with the increase of relative humidity that enlarges the size of particles (*e.g.*, Kiehl and Briegleb 1993). Aerosols also need favorite atmospheric transport and mixing conditions to reach places away from their immediate source locations, while their lifetime in the atmosphere can be significantly reduced by rainfall removal. In addition, soil moisture is also a key to dust emissions. Therefore, meteorological and hydrological conditions are critical to the occurrence of haze events besides particulate emissions. To forecast the occurrence of such events using existing atmospheric numerical models developed based on fluid dynamics and explicit or parameterized representations of physical and chemical processes, the actual task is to accurately predict the concentration of aerosols at a given geographic location and a given time in order to correctly derive surface visibility (*e.g.*, Lee *et al*. 2017 & 2018). However, the propagation of numerical or parameterization errors through the model integration could easily drift the model away from the original track, not mentioning that lack of real-time emission data alone would simply handicap such an attempt. Therefore, a more fundamental issue in practice is whether these models could reproduce the *a posteriori* distribution of the possible outcomes of the targeted low-probability extreme events. Ultimately, lack of knowledge about the extreme event would, in turn, hinder the effort to improve the forecasting skills.

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Differing from the deterministic models, an alternative statistical prediction approach could be adopted should the predictors of a targeted event could be identified and a statistical correlation between them could be established with confidence. However, this is a rather difficult task for the traditional approaches because it requires an analysis dealing with a very large quantity of high-dimensional data in order to establish a likely multi-variate and nonlinear correlation of generalization. Nevertheless, such attempts can obviously benefit now from the fast-growing machine learning (ML) and deep learning (DL) algorithm development (*e.g.*, LeCun *et al*., 2015). In addition, technological advancement and continuous investment from governments and other sectors across the world have led to a rapid increase of quantity alongside substantially improved quality of meteorological, oceanic, hydrological, land, and atmospheric composition data. These data might still not be sufficient for evaluating and improving certain detailed aspects of the deterministic forecasting models. However, rich information contained in these data about favorite environmental conditions for the occurrence of extreme events such as hazes could already have a great value for developing alternative forecasting skills.

Many Earth science applications dealing with meteorological or hydrological data need a trained machine to not only forecast values but also recognize patterns or images. However, this can easily lead to a curse of dimensionality of many traditional ML algorithms. Fortunately, deep learning that directly links large quantity of raw data with targeted outcomes through deep convolutional neural networks or CNNs (Goodfellow *et al*., 2016) offers a clear advantage in sufficiently training deep networks suitable for solving highly nonlinear issues. In doing so, DL can also eliminate the possible mistakes in data derivation or selection introduced by subjective human opinion regarding a poorly understood phenomenon. Recently, DL algorithms have been explored in various applications in atmospheric, climate, and environmental sciences, ranging from recognizing specific weather patterns (*e.g.*, Liu *et al*., 2016; Kurth *et al*., 2018; Lagerquist *et al*., 2019; Chattopadhyay *et al*., 2020), weather forecasting including hailstorm detection (*e.g.*, Grover *et al*., 2015; Shi *et al*., 2015; Gagne *et al*., 2019), to deriving model parameterizations (*e.g.*, Jiang *et al*., 2018), and beyond.

When weather patterns associated with targeted outcome are known or irrelevant to the task, the forecasting can be normally proceeded to recognize a given pattern by using pattern-to-pattern correlation from sequential training data with spatial-information-preserving full CNNs such as U-net (Ronneberger *et al*., 2015; Weyn *et al*., 2020). However, this is certainly not the case for the applications where the environmental conditions associated with targeted outcome are yet known. For such applications, a possible solution is to utilize a large quantity of raw data with minimized human intervention in data selection to train a deep CNN in order to associate targeted outcomes with favorite environmental conditions. This study represents such an attempt, where a DL forecast framework is trained to identify the meteorological and hydrological conditions associated with the occurrences of severe hazes. The DL framework has been developed initially with the severe hazes in Singapore (Wang, 2020), and now hazes in two megacities of China, Beijing and Shanghai. In terms of particulate pollutant emissions, all these cities share certain sources including fossil fuel combustions from transportation, domestic, and industries. On the other hand, each city also has its own unique sources, for instance, desert and perhaps anthropogenic dust for Beijing, and massive biomass burning in Singapore (Chen *et al*., 2013; Liu *et al*., 2017; Lee *et al*., 2017, 2018, & 2019). It is obvious that besides meteorological and hydrological conditions, dynamical patterns of anthropogenic activities leading to the emissions of particulate matters are also important factors behind the occurrence of severe hazes. Nevertheless, the major purpose of this study is to advance our fundamental knowledge about the

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weather conditions favoring the occurrence of hazes and, through an in-depth analysis on the forecasting results to identify the limit of such a machine and thus to provide useful information for establishing a more complete forecasting platform for the task.

In the paper, the architecture alongside method and data for training are firstly described after this Introduction, followed by a discussion of training and validation results. Then, an unsupervised cluster analysis benefited from the trained machine is introduced along with the results that furthers the understanding of the CNN's performance and summarizes, for the first time, the various typical meteorological and hydrological regimes associated with haze versus non-haze situations in the two cities. The last section concludes the major efforts and findings.

2 Network Architecture, Training Methodology and Data

The convolutional neural network used in this study, the HazeNet (Wang 2020), has been developed by adopting the general architecture of the CNN developed by the Oxford University's Visual Geometry Group or VGG-Net (Simonyan and Zisserman, 2015). The actual structure alongside hyper-parameters of HazeNet have been adjusted and fine-tuned based on numerous test trainings. In addition, certain techniques that were not available when the original VGG net was developed, *e.g.*, batch normalization (Ioffe and Szegedy, 2015), have been included as well. The current version for haze applications of Beijing and Shanghai contains 20,507,161 parameters (11,376 non-trainable). Figure 1 shows the general architecture of a HazeNet version with 12 convolutional and 4 dense layers (in total 57 layers).

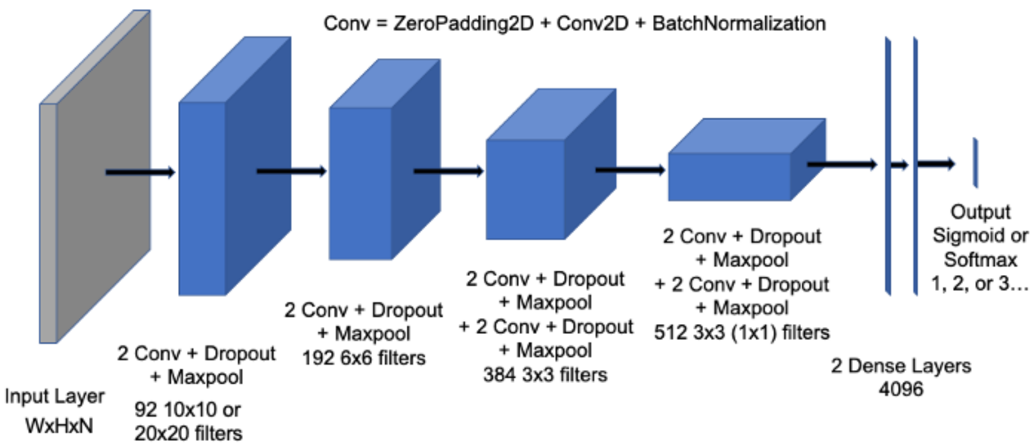

Figure 1. Architecture of the 12 convolutional plus 4 dense layer HazeNet. Here "Conv" represents a unit containing a zero-padding then a 2D convolutional layer, followed by a batch normalization layer. There is a flatten layer before the 2 dense layers. W = width, H = height, and N = number of features of the input fields, they are 64, 96, and 16 for Beijing, and 64, 64, and 16 for Shanghai case, respectively.

The network has been trained in a standard supervised learning procedure for classification. In this procedure, the network takes input features to produce classification output that are then compared with known results or labels based on observations. The coefficients of the network are thereafter optimized in order to minimize the error between the prediction and the

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observation or label. The loss function used in optimization is cross-entropy (*e.g.*, Goodfellow *et al.*, 2017). Such a procedure is repeated until the performance of the network can no longer be improved. In practice, the trainings usually last about 2000 epochs (each epoch is a training cycle that uses up the entire training dataset). This procedure in nature is to train a deep CNN to recognize then associate input features (bundled meteorological and hydrological conditions in this case) with corresponding class, *i.e.*, severe haze events or non-haze events. As a result, the knowledge specifically about the favorite meteorological and hydrological conditions of severe hazes could be advanced.

The labels for the training are derived using the observed daily surface visibility (*vis.* thereafter), obtained from the Global Surface Summary Of the Day or GSOD dataset consisting of daily observations of meteorological conditions from tens of thousands of airports around the globe (Smith *et al.*, 2011). In the cases of Beijing and Shanghai, data are from the time period from 1979 to 2019, containing 14975 samples. For simplicity, the discussions will be mainly on the 2-class training, where events with *vis.* ≤ the long-term mean value of the 25th percentile or p25 of *vis*. (6.27 km in Beijing, 5.95 km in Shanghai; Fig. 2, right panel; also Fig. S1 in Supplementary) are defined as class 1 or severe hazes, otherwise the class 0 or non-haze cases. The p25 values actually represent a substantial reduction of *vis.* due to high particulate pollution (*e.g.*, Lee *et al*., 2017). Note that unlike in the case of Singapore (Wang 2020), fog and mist are more common low visibility events in Beijing and Shanghai and thus have been excluded from the labels of severe hazes by following GSOD fog marks. The number of severe haze events occurred during 1979-2019 defined in the above procedure is 2999 and 3099 for Beijing and Shanghai, or in a frequency of 20.0% and 20.7%, respectively.

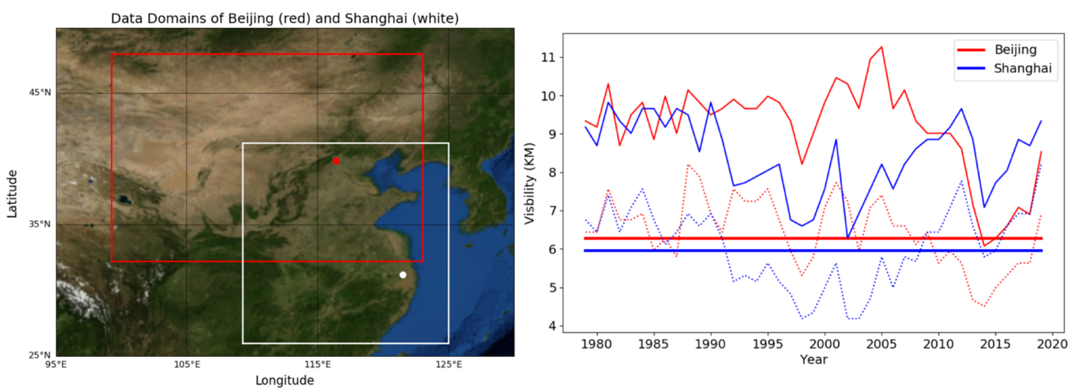

Figure 2. (Left) The input-feature defining domains for Beijing (red box and dot, 99.25 - 123E, 32.25-48N; 96x64 grids with ERA5 data) and Shanghai (white box and dot, 109.25-125E, 26-41.25N; 64x64 grids), made using Basemap library, a matplotlib extension. (Right) Annual means (solid curves), 25th percentiles (dash curves), and 25th percentile means (solid straight lines) of surface visibility in Beijing (red) and Shanghai (blue) between 1979 and 2019.

The training and validation of HazeNet also need the input features with the same sample dimension of the labels. These input data are derived from hourly longitude-latitude maps of meteorological and hydrological variables covering the data collection domain (Fig. 2, Left), obtained from ERA5 reanalysis data produced by the European Centre for Medium-range Weather Forecasts or ECMWF (Hersbach *et al*., 2020). These data are distributed in a grid system with a horizontal spatial interval of 0.25 degree. Up to 16 features are derived from the original hourly data fields covering the analysis domain respectively for Beijing (64x96 grids)

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and Shanghai (64x64 grids), including: daily mean of surface relative humidity (REL thereafter); diurnal change as well as daily standard deviation of 2-meter temperature or DT2M and T2MS, respectively; daily mean of 10-meter zonal and meridional wind speed or U10 and V10, respectively; daily mean of total column water (TCW); daily mean (TCV) and diurnal change (DTCV) of total column water vapor; daily mean of planetary boundary layer height (BLH); daily mean soil water volume in soil layer 1 and 2 or SW1 and SW2, respectively; daily mean of total cloud cover (TCC); daily mean geopotential heights at 500 (Z500) and 850 (Z850) hPa pressure levels along with their diurnal changes D500 and D850, respectively. All input features have been normalized into a range of [-1, +1] (Fig. S2 in Supplementary).

Before the training, the entire samples of labels alongside corresponding input features were randomly shuffled first then split as: 2/3 of the samples went to training set and 1/3 to validation set, each is used duly for its designated purpose throughout the entire training process without switch. The above procedure treats each of the events as an independent one. For the convenience in comparing performance or restarting training based on a saved machine, a pair of saved training and validation datasets produced following the above procedure was used.

The number of samples used in training HazeNet is rather limited in deep learning standard. However, to associate 16 joint two-dimensional maps with targeted labels even with the current number of samples is still a demanding task, requiring a deep CCN to accomplish. Furthermore, targeted severe hazes are a low probability event. Its frequency of appearance is about 20.0% in Beijing and Shanghai cases. Therefore, trained machine would easily bias toward the overwhelming non-haze events. To resolve these issues, a combination of class-weight and batch normalization has been implemented in HazeNet. This approach has effectively reduced the overfitting while overcome the data imbalance issue, making the long training of a deep CNN become possible (Wang, 2020).

3 Training and Validation Results of Haze Forecasting

Currently, it is still difficult to find any practical score in forecasting the occurrence of severe hazes for comparison. Therefore, the performance of HazeNet has been mainly measured by using certain commonly adopted metrics for classification largely derived from the concept of the so-called confusion matrix (*e.g.*, Swets, 1988; Table A), including *accuracy*, *precision*, *recall*, *F1 score*, *equitable threat score* or *ETS*, and *Heidke skill score* or *HSS* (Appendix A). Unless otherwise indicated, the discussions on the performance scores are hereafter referring to the severe haze class, or class 1, and obtained from validation rather than training. In all the cases, the performance metrics referring to non-haze or class 0 has much better scores.

In order to train a stable machine, trainings with 2000 epochs or longer have been conducted instead of using certain commonly used skills such as early stop. As a result, the validation performance metrics of the trained machines all appeared to be stabilized by approaching the end of training (Fig. 3). These scores were consistent with the results of ensemble training with the same configuration but different randomly selected training and validation datasets, and also comparable among trainings with different configurations. Overfitting has been clearly overcome due to such a long training procedure alongside the adoption of class0weight and batch normalization. In a 2-class classification (haze vs. non-haze), trained deep HazeNet can always reach an almost perfect training accuracy (e.g., 0.9956 for Beijing cases) and a validation accuracy of 80% in both Beijing and Shanghai cases, or the no-skill forecast accuracy for no-haze (Fig. 3, left). At the same time, the performance scores in predicting specifically severe

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hazes are also very reasonable, *e.g.*, for Beijing cases either precision or recall exceeds 0.5 (they normally evolve in opposite direction), leading to a nearly 0.5 *F1 Score* (Fig.3, right). The corresponding scores in training are obviously much higher, *e.g.*, with precision, recall, and F1 as 0.9804, 0.9980, and 0.9880, respectively for Beijing cases, owing to the deep and thus powerful CNNs. HazeNet performed slightly better than several known deep CNNs such as Inception Net V3 (Szegedy *et al*., 2015), ResNet50 (He *et al*., 2015), and VGG-19 (Simonyan and Zisserman, 2015) in the same haze forecasting task (Wang, 2020). Nevertheless, as indicated previously that a nearly perfect validation performance is not realistic since meteorological and hydrological conditions are not the only factors behind the occurrence of haze events.

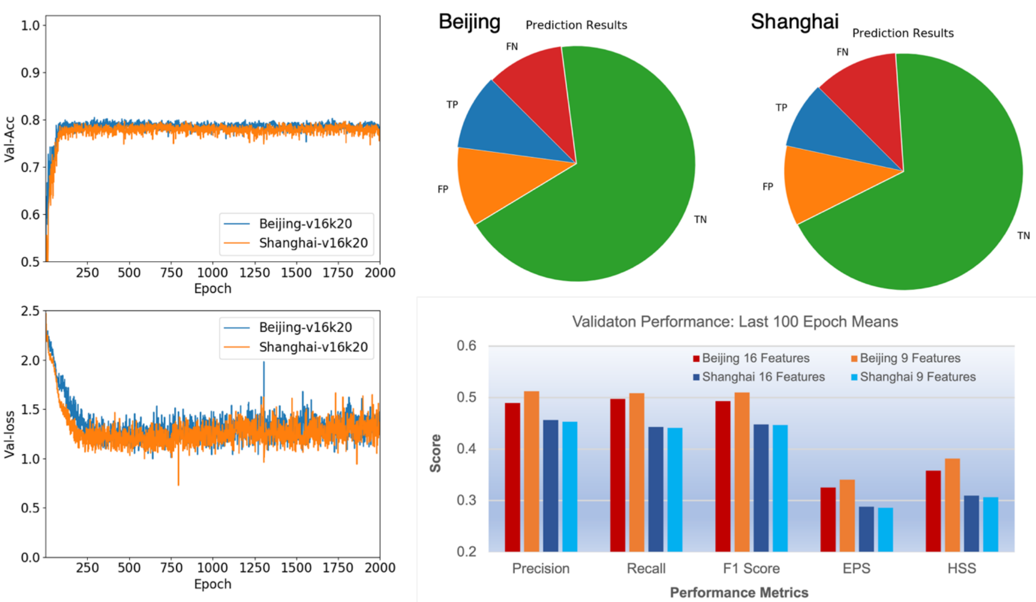

Figure 3. (Left) Validation accuracy (top panel) and loss (lower panel) of HazeNet with 16 features for Beijing and Shanghai cases, kernel size for the first filter is 20x20. (Right Top) Prediction outcomes in reference to haze events or class-1 of Beijing and Shanghai. Here TP = true positive, TN = true negative, FP = false positive, and FN = false negative prediction outcomes. (Right Bottom) Scores of performance metrics as last 100 epoch means for Beijing and Shanghai with 16 and 9 features, respectively.

Looking into the specific prediction outcomes in referring to severe haze, the trained machine has produced considerably higher ratio of true positive or TP outcomes than in the Southeast Asia cases (Wang, 2020) despite a number of outcomes of false positive or FP (*i.e.*, false alarm) and false negative or FN (*i.e.*, missing forecast). In forecasting the severe hazes in Beijing, the trained machine performs reasonably well throughout all months except for April and May or the major dusty season there, producing F1 score, ETS, and HSS all exceed or near 0.5 as well as the number of TP outcomes is higher than that of FN (Fig. 4). The performance of HazeNet actually improves in months with higher observed haze events. For Beijing, the lowest haze season is during the dusty April and May when all the major performance metrics are lower than 0.4, and the machine produces more missing forecasts than true positive outcomes. The relatively poor performance in spring suggests that the weather and hydrological features associated with dust-

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dominated haze events during this period might differ from the situations in the other seasons when hazes are mainly caused by local particulate pollution. For Shanghai cases, HazeNet performs better during late autumn and entire winter (from November to February) when haze occurs most frequently. The worst performance comes from the monsoon season (July to October), or the season with lowest haze cases.

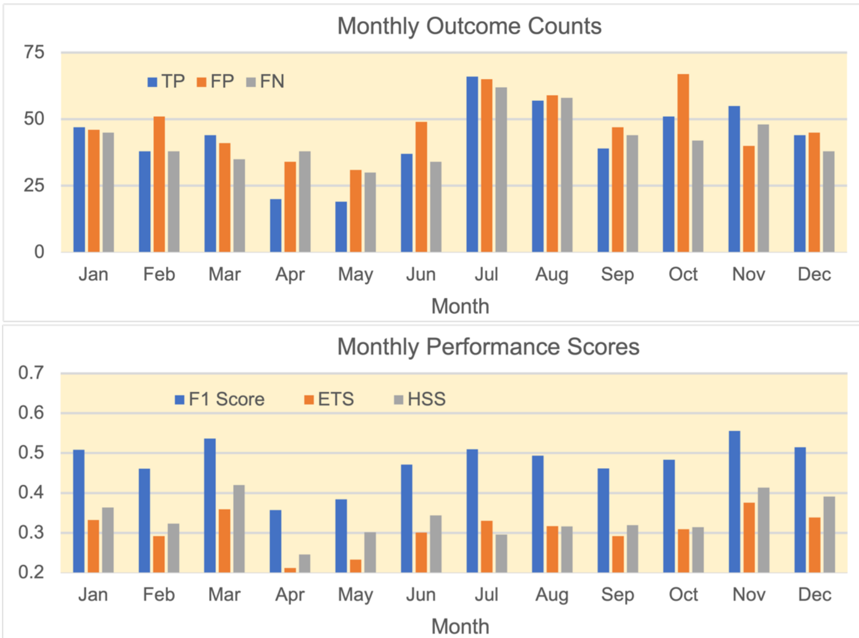

Figure 4. (Top) Predicted TP, FP, and FN outcomes and (Bottom) performance scores for each month. All from validation of Beijing cases with 16 features.

Kernel size and CNN performance. The deep architecture of HazeNet and the long training procedure have actually made the performance less sensitive to many hyperparameters of the network. One hyperparameter, however, is specifically interesting to explore for an application using large quantity of meteorological maps, that is the kernel size of the first convolutional layer, where the input data, *i.e.*, meteorological and hydrological maps are convoluted then propagated into the subsequent layers. Meteorological maps or images often contain characteristic patterns with different spatial scales. Intuitively, preserving these patterns could be important in predicting the targeted extremes. Apparently, a larger kernel size produces smoother output images from the first convolutional layer, while a smaller kernel size can preserve many spatial details of the meteorological maps as demonstrated from the layer output shown in Fig. 5. In practice, however, the patterns produced by the latter configuration might be too complicated for the networks to recognize and to perform classification, whereas patterns resulted from a relatively larger kernel size for the first convolutional layer might be more characteristic for the task. The actual result suggests that HazeNet configured with a first-layer kernel size of 20 to 26 or close to 5 – 6 degree in spatial 'resolution', consistently produces a better performance (about a 10% improvement in *F1 score*) than that by a smaller kernel size of 3 or 6. As a result, a kernel size of 20 has been adopted as the default configuration for the first 2 convolutional layers in this study.

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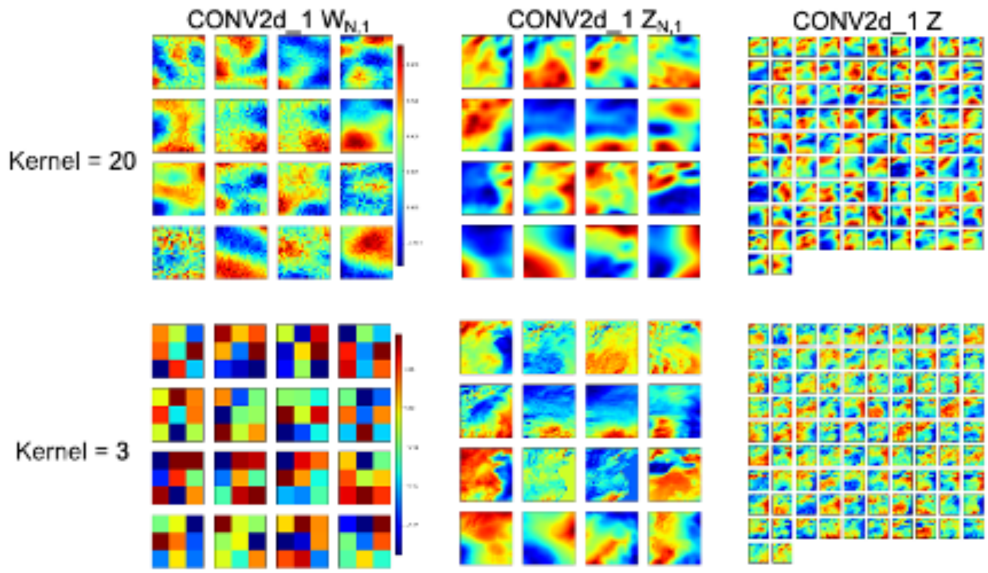

Figure 5. (Left column) Weight coefficients of the first filter set ($W_{N,1}$), (Middle column) partial output for each feature ($Z_{N,1}$), and (Right column) the output (Z) of the first convolution layer (CONV2d_1) with two selected kernel sizes or ks: (upper panels) 20x20 and (lower panels) 3x3. Here *W* represents the filters and *Z* the output of convolution, the subsets of Z before the feature dimension is merged can be expressed as: $Z_{N,i} = W_{N,i}(ks, ks) \cdot f_N^T(ks, ks)$, with the order of input features N =1,…16 and *i* represents the convolutional layer index, *i.e.*, 1 is the first layer or CONV2d_1. For the first layer, input feature size is (*h,w*) = (64, 64), the sets of filters is 92, thus the final output Z has a dimension of (*h*-*ks*+1, *w*-*ks*+1, 92). Shown are results from the trainings for Shanghai haze cases.

Reducing the number of input features. One recognized advantage of deep CNN in practice is its capacity to directly link the targeted outcome with a large quantity of raw data to avoid human misjudgment in selecting and abstracting input features due to a lack of knowledge about the application task. Nevertheless, for an application such as this one that uses a large number of meteorological and hydrological variables (or channels in machine learning term), reducing the number of input features with minimized influence on the performance can still benefit the efforts of establishing physical or dynamical causal relations and beyond.

There are certain available methods to rank feature then reduce some unimportant ones. These do not work straightforwardly for deep CNNs (*e.g.*, McGovern *et al.*, 2019). In the previous effort, this has been done by testing the sensitivity of the full network performance in real training with either a single feature or all but one features (Wang, 2020), which apparently is also a demanding task. Here, another attempt has been made to use a trained then saved machine to examine the sensitivity of the network to various features (Appendix B).

The sensitivity analyses for Beijing and Shanghai cases have obtained largely consistent results, indicating that the network is more sensitive to the same 9 features than the other 7 (Fig. S3). The highest-ranking features though differ, with diurnal change of column vapor (DTCV) and soil water content in the second soil layer (SW2) as the most sensitive features for Beijing, while relative humidity (REL) and planetary boundary layer height (BLH) for Shanghai. Most importantly, trainings using only the top 9 most sensitive features have produced a performance equivalent to or even better than the same training but with 16 features (Fig. 3). With reduced

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number of features, many further analyses can be conducted with less workload and produce results that are easily understood.

4 Identifying and Categorizing the Typical Regional Meteorological and Hydrological Regimes Associated with Haze and Non-Haze Events

A major purpose of this study is to identify the meteorological and hydrological conditions favoring the occurrence of severe hazes in the targeted cities. When using a dataset with a large number of samples, this type of analyses could be better accomplished by applying, *e.g.*, cluster analysis (*e.g.*, Steinhaus, 1957), a standard unsupervised ML algorithm that groups data samples into various clusters in such a way that samples in the same cluster are more similar to each other than to those in other clusters. Specifically for this study, the derived clusters would likely represent various regimes in terms of combined meteorological and hydrological conditions for associated events. However, applying cluster analysis directly to a large number of samples, each with a feature volume of ~50000 is an uneasy task. A dimensionality reduction is apparently needed to reduce the feature volume of data.

In practice, a trained CNN is actually an excellent tool for this purpose. It encodes (downscales) the input with large feature volume into data with a much smaller size in the so-called latent space (*i.e.*, the output of the layer before the output layer) while equal predictability for the targeted events. This feature has been used in developing various generative DL algorithms from variational autoencoder or VAE to different generative adversarial networks or GANs (*e.g.*, Forest, 2019). Therefore, the trained HazeNet for Beijing and Shanghai have been used in this study to produce data with reduced size suitable for clustering (Fig. 6; see also Appendix C). The new sample-feature set with a size of 14975×512 produced from this procedure was then used in cluster analysis.

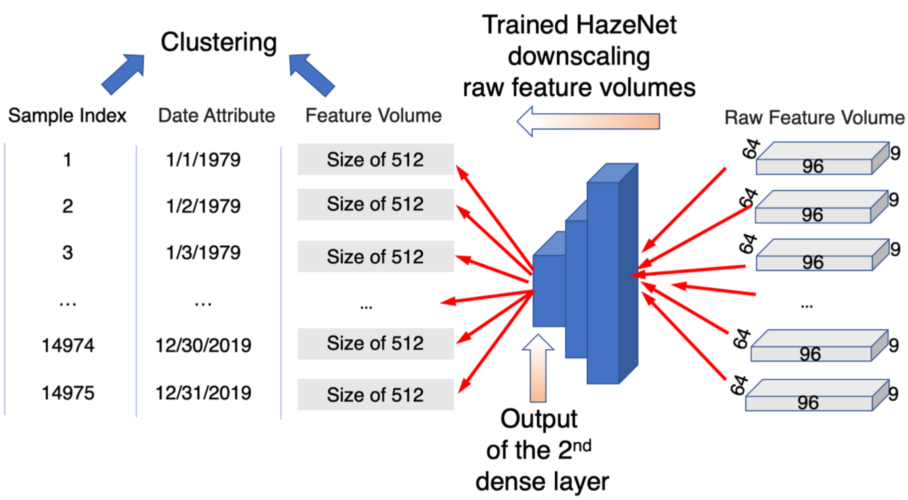

Figure 6. A diagram of the cluster analysis procedure. Here 96, 64, and 9 represent the number of longitudinal, latitudinal grids, and number of features (variables), or the size of the input feature volume of a trained HazeNet for Beijing cases, while 512 is the size of the output from the second dense layer of HazeNet or the new feature volume.

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In order to provide useful information for understanding the performance of the trained networks, the clustering has been performed for each of the prediction outcomes rather than just haze versus non-haze events (Appendix C). In this configuration, haze associated regimes are represented by derived clusters of TP plus FN outcomes, while non-haze regimes by those of TN plus FP. Since the clusters were actually derived using the indices of samples as the record for members, the actual feature maps of the members in any cluster thus can be conveniently retrieved then used to identify the representative regimes in terms of combined 9 meteorological and hydrological features of various prediction outcomes or haze versus non-haze events. Here the clustering results have been analyzed using the feature maps in both normalized (machine native) and unnormalized (original reanalysis data) format. The characteristics of various regimes can be easily identified from the former as they represent anomalies to climatological means. An added benefit is to advance the understanding of the performance of the trained networks. The analysis using the latter maps aims to better appreciate the conventional regional and local meteorological and hydrological patterns associated with various regimes. The feature maps used in both analyses have been averaged across each cluster for clarity.

4.1 Results based on normalized feature maps

As shown in Figure 7, the 4 clusters of true positive or TP in Beijing cases exhibit a clear similarity in general feature patterns among themselves, differing only in rather minor details. The differences between clusters are more evident in the daily change of column water vapor or DTCV and in two soil water contents (SW1 and SW2). On the other hand, FN clusters (also associated with haze events but missed in prediction) also display a clear similarity to the patterns of TP clusters across most features except DTCV, SW1, and SW2.

Generally speaking, the common patterns in normalized feature maps shared by most clusters associated with observed haze events (*i.e.*, TP plus FN outcomes) include an isolated positive relative humidity (REL) center in the southeast region covering Beijing associated with mild temperature variations (DT2M and T2MS) as well as zonal wind (U10) and lower boundary layer height (BLH). Note that the mild daily temperature variation alongside lower BLH indicates that the haze region is not experiencing drastic weather system change such as fronts and likely covered by low cloud, hence the high REL can be easily formed. All these characters reflect a stable regional weather conditions over the southeastern half of the domain where targeted hazes occurred. They are also in a sharp contrast to the conditions in the northwestern half of the domain as well as the conditions associated with non-haze events represented by TN outcomes (Fig. S4).

Interestingly, the 4 FP (false alarm) clusters actually display a similarity in normalized feature patterns to those of TP as those of FN (Fig. 7). In addition, despite an anticipated diversity in feature patterns across TN clusters (Fig. S4), four of its clusters (i.e., 2, 5, 12, and 13) exhibit a certain level of similarity to those of TP clusters. All these could offer an explanation for the forecast errors made by the machine, *i.e.*, the machine could have simply been confused by such similarities between certain FN and TN members, or between certain TP and FP members. Nevertheless, these could also suggest an alternative reason behind the incorrect forecasts. It is worth indicating again that meteorological or hydrological conditions are not the only factors determining the occurrence of hazes. Other factors such as abnormal energy consumption events or long-range transport of aerosols could all cause haze to occur even under unfavorable weather and hydrological conditions. This could well be the reason for some of the missing forecasts (FN outcomes) when haze occurred under unfavorable conditions, or for false

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alarms (FP outcomes) when low aerosol events occurred even under a weather condition favorable to haze. Future improvement of the skill could benefit from this knowledge.

The results of Shanghai are largely the same as in Beijing case (Fig S5 & S6).

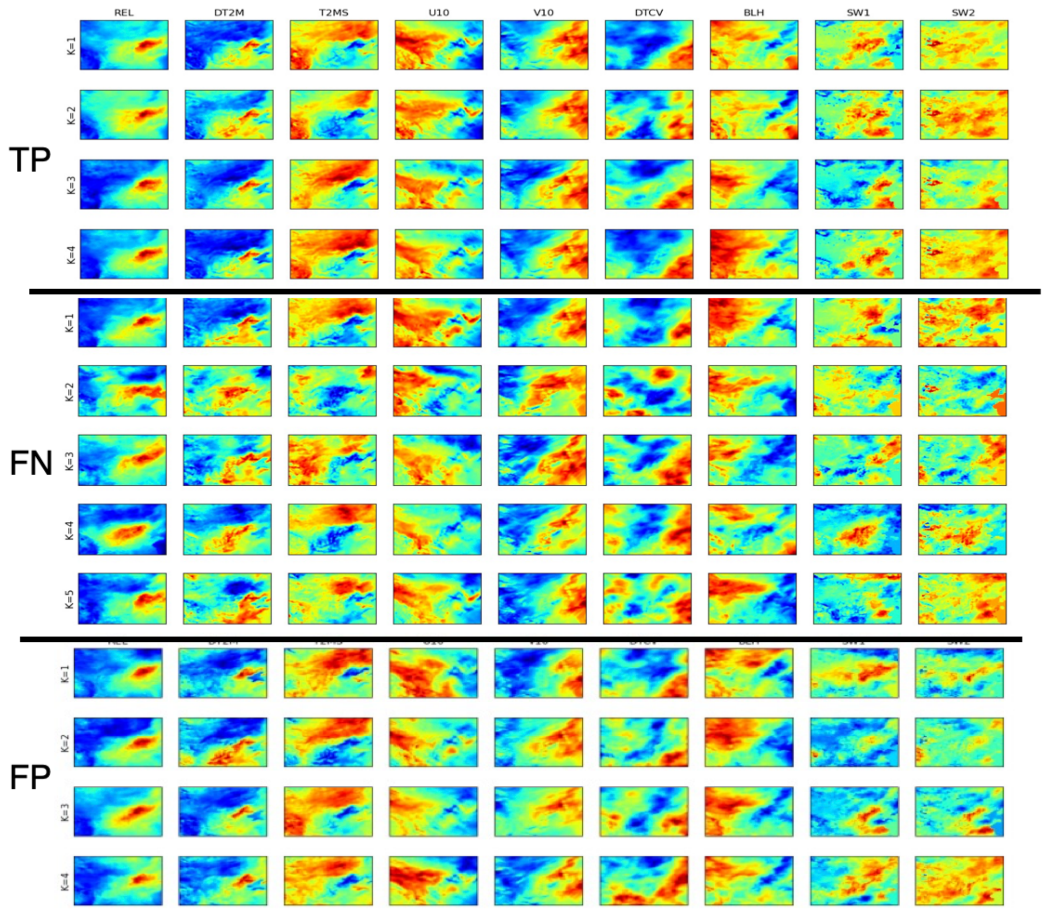

Figure 7. Maps of 9 features in normalized format for 4 clusters of true positive or TP outcome, 5 clusters of false negative or FN outcome, and 4 clusters of false positive or FP outcome. Here TP plus FN = haze events. Results shown are cluster averages for Beijing cases.

4.2 Results based on original unnormalized feature maps

Utilizing feature maps in their original unnormalized format represented by actual physical quantities could provide a convenience to appreciate the conventional regional and local meteorological and hydrological patterns associated with various events. Note that the visual differences between unnormalized feature maps particularly in cluster-mean format might be subtle for bare eyes to recognize.

For haze events in Beijing (*i.e.*, TP and FN outcomes; Fig. 8), the associated cluster-mean regional meteorological and hydrological patterns of most features except DTCV contain two regions with sharply contrasting quantities, roughly separated by a line linking the southwest and northeast corner of the domain, likely due to the nature of weather system besides meridional

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variation of general climate. Beijing (at ~1/3 domain width from the east boundary and nearly the north-south center) locates in the southeastern half of the domain. In comparison, as same as shown in the previous analysis using normalized feature maps, the patterns of FN clusters share many common patterns with those of TP clusters. Their differences are more evident in DTCV, SW1, and SW2. In addition, cluster 5 of FN shows more diverse patterns than the rest. FP clusters also display a similarity to those of TP clusters (Fig. S5), whereas TN clusters show more visible differences particularly in patterns of meridional wind (V10) and daily change of column water vapor or DTCV (Fig. S6).

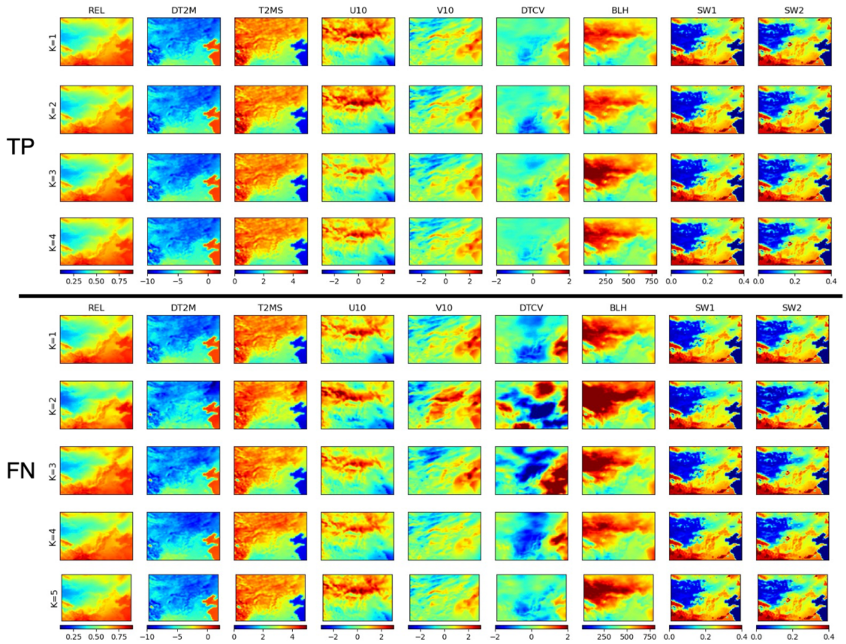

Figure 8. Feature maps associated with severe haze events in Beijing represented by 4 clusters of TP (4 top rows) and 5 clusters of FN (5 lower rows) predicted outcomes. Shown are cluster means of unnormalized data of REL (ratio), DT2M and T2MS in degree, U10 and V10 in m/s, DTCV (kg/m^2), BLH in meter, and SW1 and SW2 in kg/m^2.

The general regional meteorological and hydrological conditions during haze events in the southeastern in comparison to the northwestern portion of the domain include a higher relative humidity, lower variation of surface temperature, largely northward or northwestward wind, lower planetary boundary layer height, and higher soil water content, and quantity wise these are all in a sharp contrast to the situations in the other half of the domain. The visually recognized cross-cluster differences of haze events mainly exist in DTCV patterns, represented by a strong negative center in the middle of the domain with varying extent across different clusters. To a less extent, patterns of surface wind V10 and U10 also offer some different characteristics among various clusters particularly of FN clusters. Consistent to the analysis result using normalized feature maps, all these indicate a stable weather condition over the southeastern half of the domain for haze events in Beijing. It is known that dust can cause low visibility events in Beijing. During dust seasons, the condition of the northwestern half of the domain, represented by a dominant eastward wind and lower soil water content likely favors dust transport from

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desert to Beijing. However, the details would need an in-depth analysis to examine since most clusters having members rather well distributed through different months.

The cluster-means of 9 features for haze events (TP plus FN) versus non-haze (TN plus FP) at the grid point of Beijing are also derived and listed in Table 1 for reference. Specifically, the common local conditions associated with hazes in Beijing in comparison to those with non-haze events include a higher humidity, less drastic variations in surface temperature, a northwestward rather than southeastward wind, a lower planetary boundary layer height, and higher soil water contents. Again, the most recognizable cross-cluster differences appear in DTCV, followed by surface wind. In most of the local features, variabilities of FN clusters tend to be larger than those of TP clusters. One interesting result of the local weather conditions shown in Table 1 is that the cluster means of TN are sharply different than those of TP and FN, while the cluster means of FP and those of TP+FN are likely to be statistically indifferent except for DTCV, providing an evidence to support the assumption that FP outcomes might simply represent the non-haze events caused by reasons other than weather and hydrological conditions.

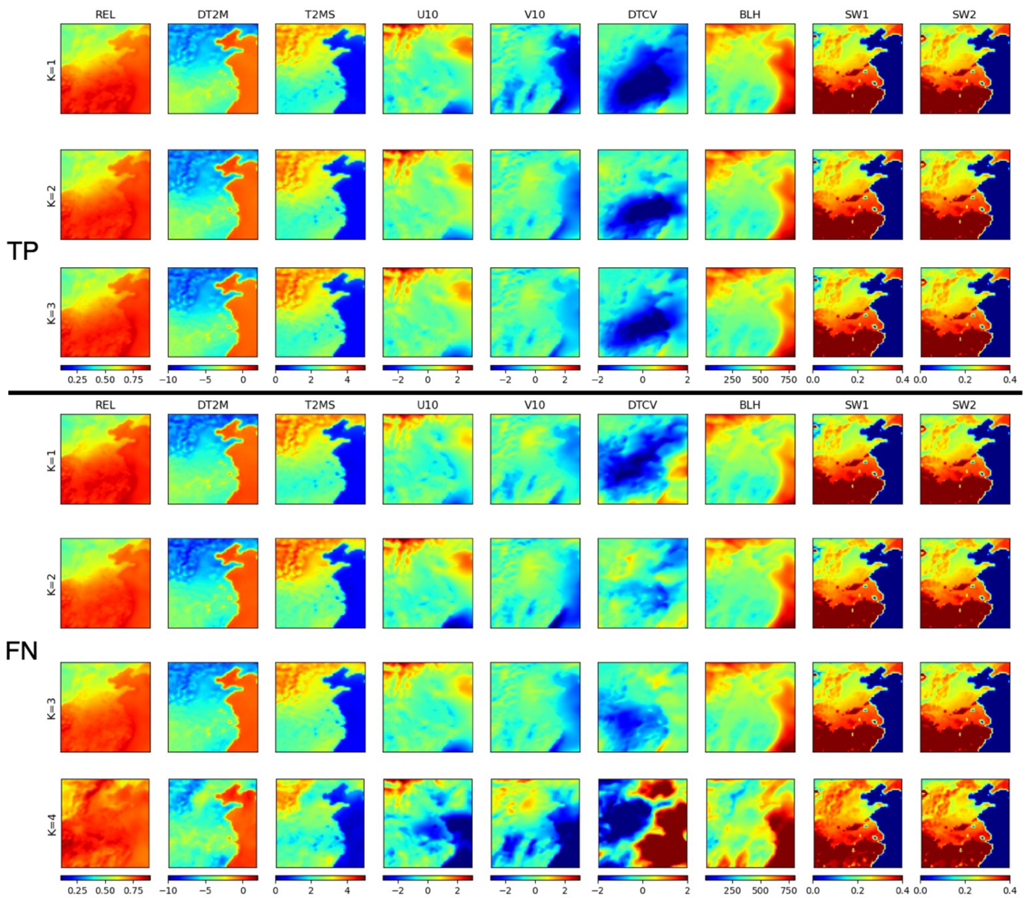

Figure 9. The same as Figure 9 except for Shanghai with 3 clusters for TP and 4 for FN outcomes.

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For the case of Shanghai, the general weather conditions associated haze events are likely stable, with characters similar to the cases of Beijing (Fig. 9). Quantities of most feature patterns display a sharply southeast versus northwest contrast. DTCV maps display a negative center over a large area, its distribution and extent vary significantly among different clusters. The patterns of soil water content in both soil layers exhibit a sharp meridional contrast, much higher in the south part of the domain than in the north part, largely separated by the Yellow River. Local quantities of all the features associated with haze events (TP plus FN) in Shanghai display clear differences with those of non-haze prediction outcomes (TN) (Table 1). Similar to the cases of Beijing, the cluster mean of the FP outcomes is statistically indifferent to those of haze (TP and FN) than predicted non-haze (TN) events. Again, this result implies that even a weather pattern favoring haze appeared and was correctly recognized by HazeNet, due to other factors such as energy consumption variations, haze could still not to occur.

Table 1. Cluster means of features associated with haze events (TP and FN) in Beijing and Shanghai versus means of all clusters of non-haze events of TN and FP, respectively. Number of cluster members of each cluster are listed in bracket.

Cluster	*REL (0-1)*	*DT2 (^oC)*	*T2MS (^oC)*	*U10 (m/s)*	*V10 (m/s)*	*DTCV (kg/m^2)*	*BLH (m)*	*SW1 (kg/m^2)*	*SW2 (kg/m^2)*
Beijing									
TP1 (848)	0.64	-5.99	3.24	-0.29	0.20	0.04	379.71	0.23	0.22
TP2 (181)	0.65	-5.80	3.14	-0.28	0.19	0.57	378.33	0.23	0.23
TP3 (354)	0.65	-5.39	2.98	-0.45	0.29	0.31	400.20	0.23	0.22
TP4 (1208)	0.64	-5.82	3.18	-0.34	0.28	0.27	381.28	0.23	0.22
FN1 (157)	0.66	-5.83	3.16	-0.43	0.34	0.15	379.91	0.23	0.21
FN2 (13)	0.65	-5.05	2.98	-0.52	0.48	-1.88	422.35	0.23	0.22
FN3 (29)	0.69	-5.90	3.05	-0.41	0.36	0.99	393.52	0.24	0.23
FN4 (86)	0.64	-5.64	3.02	-0.19	0.11	0.10	420.49	0.23	0.22
FN5 (223)	0.60	-6.56	3.45	-0.14	0.11	0.01	449.48	0.23	0.22
TN mean	0.51	-7.13	3.65	0.15	-0.15	0.36	552.90	0.22	0.21
FP mean	0.65	-5.84	3.15	-0.35	0.25	-0.26	386.27	0.24	0.23
Shanghai									
TP1 (1228)	0.81	-3.44	1.79	-0.16	-0.55	-2.25	415.59	0.35	0.35
TP2 (135)	0.81	-3.10	1.71	-0.12	-0.66	-2.08	422.04	0.36	0.36
TP3 (689)	0.81	-2.95	1.59	-0.17	-1.28	-2.29	472.74	0.36	0.35
TP4 (355)	0.81	-3.52	1.82	0.03	-0.57	-2.74	411.96	0.35	0.35
FN1 (102)	0.82	-3.33	1.80	-0.67	-0.36	-0.14	409.55	0.35	0.35
FN2 (113)	0.80	-3.64	1.84	-0.34	-0.51	-1.21	423.09	0.35	0.34
FN3 (370)	0.80	-3.47	1.80	-0.41	-0.42	-0.84	421.36	0.35	0.35
FN4 (7)	0.80	-2.82	1.39	-1.19	-2.18	3.63	596.53	0.36	0.36
TN mean	0.77	-3.29	1.57	-2.86	1.40	0.62	739.75	0.31	0.32
FP mean	0.82	-3.26	1.71	-0.48	-0.85	-2.26	438.55	0.35	0.35

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5 Summary and Conclusions

Following an earlier preliminary attempt for hazes in Singapore, a deep convolutional neural network containing more than 20 million parameters, namely HazeNet, has been further developed to test forecasting the occurrence of severe haze events during 1979-2019 in two metropolitans of Asia, Beijing and Shanghai. By training the machine to recognize regional patterns of meteorological and hydrological features associated with haze events, the study would advance our knowledge about this still poorly known environmental extreme. The deep CNN has been trained in a supervised learning procedure using the time sequential maps of up to 16 meteorological and hydrological variables or features as inputs and surface visibility observations as the labels.

Even with a rather limited samples (14,975), the trained machine has displayed a reasonable performance measured by commonly adopted validation metrics. Its performance is clearly better during months with high haze frequency, *i.e.*, all months except dusty April and May in Beijing and from late autumn through entire winter in Shanghai. Relatively larger spatial patterns appear to be more effective than the smaller ones to influence the performance of forecasting. On the other hand, in-depth analysis on performance results has also indicated certain limitations of current approach of solely using meteorological and hydrological data in performing forecast.

The trained machine has also been used to examine the sensitivity of the CNN to various input features and thus to identify then remove features ineffective to the performance of the machine. In addition, in order to further categorize typical regional weather and hydrological patterns associated with severe haze versus non-haze events, an unsupervised cluster analysis has been subsequently conducted, benefited from using features with greatly reduced dimensionality produced by the trained machine.

The cluster analysis has, arguably for the first time, successfully categorized major regional meteorological and hydrological patterns associated with severe haze and non-haze events in Beijing and Shanghai into a limited number of representative groups, with the typical feature patterns of these clustered groups derived. It has found that the typical weather and hydrological regimes of haze events in Beijing and Shanghai are rather stable conditions, represented by increasing relative humidity, low planetary boundary layer, mild daily temperature change that likely associated with low cloud cover over the haze occurring regions, The result has further revealed a rather strong similarity between the meteorological and hydrological patterns associated with haze events and those with either false alarm or missing forecast prediction outcomes, implying that factors other than meteorological and hydrological ones such as energy consumption variations, long range transport of aerosols, or beyond, could cause haze events to occur even under unfavorite weather conditions.

Due to the exploratory nature of this specific effort, several aspects could be further optimized including the rather arbitrary though statistically meaningful labeling. Also, an in-depth analysis on weather regimes exceeds the extent of this paper. Nevertheless, this study has demonstrated the potential of applying deep CNNs with extensive multi-dimensional and time sequential environmental images to advance our understandings about poorly known environmental and weather extremes. The methodology, results alongside experience obtained from this study could benefit future improvement of the skills. Besides, the trained machines can be used in many other types of machine learning and deep learning applications as partially demonstrated here.

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Appendix A. Performance metrics

Several commonly used performance metrics have been used in this study. They are largely derived based on the so-called confusion matrix (e.g., Swets, 1988) as defined in the following Table A.

Table A. Confusion matrix for measuring the prediction outcomes of a given class.

		Observed	
		Positive	***Negative***
Predicted	***Positive***	True Positive or TP	False Positive or FP
	Negative	False Negative or FN	True Negative or TN

Here, *positive* or *negative* is referring to the outcome of a given event or class in the classification, *e.g*., severe haze or non-haze events. Hence, the prediction outcome TP is a correct forecast of a severe haze while TN a correct forecast of a non-haze event, FP represents a false alarm, and FN a missing forecast. The context of outcomes changes when the designated class is switched. The major performance metrics used in this paper include:

$$accuracy = \frac{TP+TN}{N} \quad \text{(A1)}$$

$$precision = \frac{TP}{TP+FP} \quad \text{(A2)}$$

$$recall = \frac{TP}{TP+FN} \quad \text{(A3)}$$

$$F1\ score = 2 \cdot \frac{precision \cdot recall}{precision+recall} \quad \text{(A4)}$$

$$ETS = \frac{TP-Hit_{random}}{TP+FP+FN-Hit_{random}}\ ; \quad \text{(A5a)}$$

$$\text{where:} \quad Hit_{random} = \frac{(TP+FN)\cdot(TP+FP)}{N} \quad \text{(A5b)}$$

$$HSS = \frac{2\cdot(TP\cdot TN-FP\cdot FN)}{(TP+FP)\cdot(FP+TN)+(TP+FN)\cdot(TP+TN)} \quad \text{(A6)}$$

Note that *accuracy* has the same value for all the classes and thus is a good metrics for the overall classification. Values of all the other metrics differ depending on the referred specific class. Here, *F1 score* is the F-score with β = 1 (van Rijsbergen, 1974), *ETS* represents equitable threat score (or Gilbert skill score; Gilbert, 1884; range = [-1/3, 1]), *HSS* represents Heidke skill score (Heidke, 1926; range = [-∞,1]), and *N* is the number of total outcomes.

Appendix B. Examining the network's sensitivity to features using trained machine

A method has been adopted in this study to use a trained machine from basic training to examine the sensitivity of the network to a random perturbation applied to the values of different features. The saved machine contains all the coefficients in different network layers and can be used to predict output from any of these layers using same input features for training or validation. The sensitivity of the network to a given feature is determined by comparing the prediction using input feature maps containing randomly perturbation applied to the map of this feature with the prediction using original input feature maps, and measured by the content loss between these two predictions, with *img1* with *MxN* pixels as the unperturbed and *img2* as perturbed network output:

$$Content\ Loss = \frac{1}{M\times N}\sum_{i,j}^{M,N}(img1_{i,j} - img2_{i,j})^2 \quad \text{(B1)}$$

The perturbation is applied as random patch with addition of -0.2 or 0.2 to 10% of the pixels of the input map of the targeted feature in each sample while maps of all the other features remain unperturbed. To reduce the workload, only validation input set corresponding to the class-1 events (about 1020 samples) are used. Therefore, the sensitivity tested here is actually the sensitivity of the network to a given feature in predicting class-1 events. To preserve the spatial information of the perturbation field, the output of the 9th layer, or the MaxPooling layer following the second convolutional layer (Fig. 1) is used as the prediction. It has a size of (15, 31, 92) for Beijing cases and (15, 15, 92) for Shanghai cases when a kernel size of 20x20 is adopted. A higher content loss represents that the performance of the network is more sensitive to the variations in value of this feature.

Appendix C. Cluster analysis

The cluster analysis of this study was conducted in the following three steps (see also Fig. 6).

(i) Firstly, the trained and saved HazeNet for both Beijing and Shanghai cases with 9 input features have been used to perform prediction using the entire 14975 input samples in original raw data format, *i.e.*, with a feature volume size of 96x64x9 for Beijing and 64x64x9 for Shanghai for each sample. The prediction results were then summarized into various outcomes, *e.g.,* as true positive (TP), true negative (TN), false positive (FP), or false negative (FN) in referring to the haze class. In the meantime, the output of the second dense layer just before the output layer or latent space (see Fig. 1 & Fig. 6) were further used to form the new data of each sample with reduced feature volume of 512. This new dataset with 14075 samples and 512 feature volume were ready for clustering.

(ii) The second step is to actually perform clustering using the new data with reduced size resulted from the previous step. For this purpose, it should be conducted separately for different types of samples or events, *e.g.*, categorizing all the samples for haze into characteristic groups with similarity and same for non-haze events. In order to provide additional information to further the understanding of the network's performance, the clustering was actually conducted for different prediction outcomes, by taking corresponding samples from the new dataset. In this case, TP plus FN would lead to haze events, and TN plus FP to non-haze events. The clustering calculations were done by directly using the k-mean (Steinhaus, 1957) function of scikit-learn library (https://scikit-learn.org/stable/modules/clustering.html#clustering). For Beijing cases, the trained machine with 9 features produced 2591 TP, 11368 TN, 508 FP, and 508 FN outcomes, and 2407 TP, 11484 TN, 492 FP, and 592 FN for Shanghai. The cluster analysis was performed separately for each of these outcomes in an unsupervised learning procedure to let the machine to categorize corresponding samples into groups based on similarities among them. In practice, similarity is judged by the so-called inertia for a cluster with members of x_i and mean of μ:

$$inertia = \sum_i^N (\|x_i - \mu\|)^2 \qquad \text{(C1)}$$

The clustering is to seek a grouping with minimized inertia within each cluster. The overall measure is the summation inertia that decreases almost exponentially with the increase of number of clusters. In practice, the cluster analysis was first tested with various given number of clusters ranging from 1 to 100, to examine the values alongside decay of the inertia. This provided a base to identify the smallest possible number of cluster centers with reasonably low inertia in actual cluster analysis. This has actually been decided by using square root of the inertia weighted by the number of samples to put the varying number of samples across various outcomes in consideration. An optimized number of clusters was chosen with a weighted inertia lower than 1/e of that of the single cluster case. For TN, due to the large sample number, this criterion was set to be half of 1/e. As a result, the optimized numbers of clusters for TP, FN, FP, and TN outcomes are 4, 5, 4, and 15 for Beijing and 4, 4, 3, and 10 for Shanghai, respectively,

(iii) The members of each cluster derived from (ii) were recorded by the actual sample indices with date attribute. Therefore, actual samples of input data grouped into various clusters can be thus conveniently identified with corresponding feature maps retrieved, either in the format of normalized or unnormalized (*i.e.*, in original quantity as in reanalysis dataset), and used for further analyses. In practice, cluster-averaged maps for various features were performed beforehand.

Code and data availability

The Python script for network architecture, training and validation is rather straightforward and simple, basically consisting of directly adopted function calls from Keras interface library (https://github.com/keras-team/keras) with TensorFlow-GPU (https://www.tensorflow.org) as backend, or from scikit learn library (https://scikit-learn.org/). All the data used for analyses are publicly available as indicated in the Acknowledgements.

Competing interests

The author declares that he has no conflict of interest.

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