



# Diagnosing ozone-NO<sub>x</sub>-VOC sensitivity and revealing causes of ozone increases in China based on 2013-2021 satellite retrievals

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**Abstract.** Particulate matter (PM<sub>2.5</sub>) concentrations in China have decreased significantly in recent years, but surface ozone (O<sub>3</sub>) concentrations showed upward trends at more than 71% of air quality monitoring stations from 2015 to 2021. To reveal causes of O<sub>3</sub> increases, O<sub>3</sub> production sensitivity is accurately diagnosed by deriving regional threshold values of satellite tropospheric formaldehyde-to-NO<sub>2</sub> ratio (HCHO/NO<sub>2</sub>), and O<sub>3</sub> responses to precursors changes are evaluated by tracking volatile organic compounds (VOCs) and NO<sub>x</sub> with satellite HCHO and NO<sub>2</sub>. Results showed that the HCHO/NO<sub>2</sub> ranges of transition from VOC-limited to NO<sub>x</sub>-limited regimes vary apparently among Chinese regions. VOC-limited regimes are widespread found over megacity clusters (North China Plain, Yangtze River Delta, and Pearl River Delta) and concentrated in developed cities (such as Chengdu, Chongqing, Xi'an, and Wuhan). NO<sub>x</sub>-limited regimes dominate most of the remaining areas. From 2013 to 2021, satellite NO<sub>2</sub> and HCHO columns showed an annual decrease of 3.7% and an increase of 0.1%, respectively, indicating an effective reduction in NO<sub>x</sub> emissions but a failure reduction of VOC emissions. This finding further shows that O<sub>3</sub> increases in major cities occur because the Clean Air Action Plan only reduces NO<sub>x</sub> emissions without effective VOC control. Two cases in Beijing and Chengdu also verified that NO<sub>x</sub> reduction alone or VOC increase leads to O<sub>3</sub> increases. Based on the O<sub>3</sub>-NO<sub>x</sub>-VOC relationship by satellite NO<sub>2</sub> and HCHO in Beijing, Chengdu, and Guangzhou, the ozone concentration can be substantially reduced if the reduction ratio of VOCs/NO<sub>x</sub> is between 2:1 and 4:1.



## 1 Introduction

China has been dedicating to fighting against air pollution in the past years. Since the Chinese government implemented the Air Pollution Prevention and Control Action Plan in 2013, the ambient concentration of particulate matter with aerodynamic diameter of  $<2.5 \mu\text{m}$  ( $\text{PM}_{2.5}$ ) has decreased significantly (Jiang et al., 2020; Xiao et al., 2021); however, ozone ( $\text{O}_3$ ) pollution remains severe or even continues to worsen at least until 2019 (Lu et al., 2020; Zhao et al., 2020). Ozone pollution has restricted the continuous improvement of China's air quality. Thus, it has attracted widespread attention from the government, scientists, and the public.

Tropospheric ozone is produced by photochemical oxidation of volatile organic compounds (VOCs) in the presence of nitrogen oxides ( $\text{NO}_x$ :  $\text{NO} + \text{NO}_2$ ) (Atkinson, 2000). However, the  $\text{O}_3$  responses to  $\text{NO}_x$  and VOC reduction are not linear. The  $\text{O}_3$  formation throughout much of the troposphere is largely controlled by the availability of  $\text{NO}_x$  ( $\text{NO}_x$ -limited), but in regions with high  $\text{NO}_x$  emissions, such as metropolitan areas,  $\text{O}_3$  formation can be VOC-limited or transform between regimes (Sillman and He, 2002; KLEINMAN, 1994). A VOC-limited regime means that reducing VOC emissions can result in low  $\text{O}_3$  production; in the presence of high  $\text{NO}_x$ , reduction of  $\text{NO}_x$  emissions alleviates ozone titration and even leads to ozone increases (Sillman, 1999). Local  $\text{O}_3$  formation chemistry determines the effect of changes in VOC and  $\text{NO}_x$  emissions on ozone concentrations.

Various ground-based observation (Nelson et al., 2021; Tan et al., 2018) and model-based methods (Shen et al., 2021; Wang et al., 2019; Wang et al., 2021) have been applied to study  $\text{O}_3$ - $\text{NO}_x$ -VOC sensitivity. The field observation methods can provide accurate in-situ diagnoses of  $\text{O}_3$  sensitivity but are limited in temporal and spatial extent (Wang et al., 2017). Air quality model-based methods provide descriptions across time and space. However, uncertainties mainly from emission inventories, as well as meteorological factors and photochemical reactions reduce the accuracy of simulation results (Liu and Shi, 2021). Based on the continuous global observations of formaldehyde (HCHO) and nitrogen dioxide ( $\text{NO}_2$ ) by satellite spectrometers, the space-based HCHO-to- $\text{NO}_2$  ratio can be used as an indicator of  $\text{O}_3$  sensitivity because HCHO/ $\text{NO}_2$  theoretically reflects the relative availability of  $\text{NO}_x$  and total organic reactivity to hydroxyl radicals (SILLMAN, 1995). This satellite-based method can provide global-scale photochemical information with good time continuity and little human disturbance, which governments and policymakers are keen to know.

In China, there have been many studies exploring  $\text{O}_3$ - $\text{NO}_x$ -VOCs sensitivity based on satellite-retrieved HCHO/ $\text{NO}_2$  (Jin and Holloway, 2015; Li et al., 2021). They are based on thresholds derived from earlier work that used air quality models to link HCHO/ $\text{NO}_2$  with surface  $\text{O}_3$  sensitivity over the United States (Martin et al., 2004; Duncan et al., 2010; Choi et al., 2012). However, the model approach can be biased because modelled and observed HCHO columns,  $\text{NO}_2$  columns, and surface  $\text{O}_3$  often disagree. Jin et al. (2020) derived the threshold values from observations and found the transition in  $\text{O}_3$  formation regimes occurs at higher HCHO/ $\text{NO}_2$  value than previously determined from models. In addition, the range of HCHO/ $\text{NO}_2$  marking transitional regimes varies regionally because of the differences in meteorological conditions, ozone levels, and precursor composition (Schroeder et al., 2017). The threshold extracted in the United States may not be suitable



55 for China and a uniform value may not be applicable to all Chinese cities. Consequently, the transitional regime range of HCHO/NO<sub>2</sub> across China requires further in-depth analysis to diagnose ozone–precursor sensitivity.

O<sub>3</sub>–NO<sub>x</sub>–VOC sensitivity and changes in VOC and NO<sub>x</sub> emissions directly affect ozone concentrations. Nationwide annual estimates of anthropogenic VOC and NO<sub>x</sub> emissions in China show different trends from 2013 to 2019, with successive large decreases in NO<sub>x</sub> but only slight changes in VOC (Zheng et al., 2018a; Simayi et al., 2022). Previous  
60 studies showed that the rapid reduction of NO<sub>x</sub> emission increases the surface ozone levels in urban regions (Ren et al., 2021; Yang et al., 2019). In addition, some model simulations suggested that the notable drop of PM<sub>2.5</sub> is the most crucial factor leading to the O<sub>3</sub> increment in China because of the release of HO<sub>2</sub> from its uptake on PM<sub>2.5</sub> (Li et al., 2019). However, this idea is highly controversial (Tan et al., 2020). In order to reveal the relationship between ozone increases and changes in its precursors' emissions, satellite-based NO<sub>2</sub> and HCHO can be used as visual, timely, and high-resolution trackers of NO<sub>x</sub> and  
65 VOCs emissions, respectively (Duncan et al., 2010).

In this study, we first take advantage of the Chinese extensive air quality monitoring network to assess the latest trends in ozone concentrations comprehensively. The threshold values that mark the O<sub>3</sub> formation transition are derived and used to identify the O<sub>3</sub>–NO<sub>x</sub>–VOC sensitivity by matching satellite-based HCHO/NO<sub>2</sub> with ground-based O<sub>3</sub> measurements across China and in different regions. The effects of precursors on ozone and the causes of ozone increase are explored by  
70 combining ozone production regimes with interannual variations in NO<sub>x</sub> and VOC emissions inferred from tropospheric NO<sub>2</sub> and HCHO vertical columns. Special measures for plague prevention and work resumption during the COVID-19 pandemic also provide an opportunity to assess O<sub>3</sub> response to changes in VOC and NO<sub>x</sub> emissions. Furthermore, the optimal VOCs/NO<sub>x</sub> reduction ratio is probed in three typical cities, Beijing, Chengdu, and Guangzhou, based on the relationships between O<sub>3</sub> and HCHO/NO<sub>2</sub>, to provide scientific support for future O<sub>3</sub> pollution control.

## 75 **2 Data and Methodology**

### **2.1 Ground-Based Observation of O<sub>3</sub> and NO<sub>2</sub>**

The Chinese nationwide air quality monitoring network provides surface O<sub>3</sub> and NO<sub>2</sub> data. Since 2015, more than 1400 sites have covered more than 330 cities across the country. The nationwide hourly O<sub>3</sub> and NO<sub>2</sub> concentration data in Chinese cities in 2014–2021 were obtained from the National Urban Air Quality Real-Time Publishing Platform  
80 (<http://106.37.208.233:20035/>).

O<sub>3</sub> and NO<sub>2</sub> mass concentrations were reported in µg m<sup>-3</sup> and unified to the reference state (298.15 K, 1013.25 hPa). Extensive data quality controls were applied to eliminate unreliable observed outliers following the method of previous studies (Lu et al., 2018). The average concentration of all national-controlled sites in a city was regarded as the city's O<sub>3</sub> and NO<sub>2</sub> level.



## 85 2.2 Satellite Observations of O<sub>3</sub> Precursors

Given the short lifetime of NO<sub>x</sub>, the high NO<sub>2</sub>/NO<sub>x</sub> ratio in the boundary layer, and the fact that HCHO is an intermediate in the oxidation reactions of various VOCs and is approximately proportional to the total rate of VOC reactions with OH radicals (Duncan et al., 2010), current satellite-based spectrometers have provided continuous global observations for two species indicative of O<sub>3</sub> precursors, namely, NO<sub>2</sub> for NO<sub>x</sub> (Lamsal et al., 2014; Martin, 2003) and HCHO for VOCs  
90 (Shen et al., 2019; Zhu et al., 2014).

Satellite products of tropospheric NO<sub>2</sub> and HCHO vertical columns are retrieved from two satellite instruments: Ozone Monitoring Instrument (OMI) and Tropospheric Monitoring Instrument (TROPOMI). The high spatial resolution (24 × 13 km<sup>2</sup> for OMI and 5 × 3.5 km<sup>2</sup> for TROPOMI) allows for the observation of fine details of atmospheric parameters. The overpass time (13:40–13:50 and 13:30 local time) is well suited to detect the O<sub>3</sub> formation sensitivity when  
95 O<sub>3</sub> photochemical production peaks, the boundary layer is high, and the solar zenith angle is small, thereby maximizing instrument sensitivity to HCHO and NO<sub>2</sub> in the lower troposphere (Jin et al., 2017).

The OMI data are developed under the Quality Assurance for Essential Climate Variables (QA4ECV) project. The vertical profiles used for QA4ECV products are obtained from the TM5-MP chemical transmission mode (Williams et al., 2017). The spatial resolutions of OMI NO<sub>2</sub> and OMI HCHO are 0.125° and 0.05°, respectively. The TROPOMI data from  
100 the Earth Engine Data Catalog are based on the algorithm developments for the QA4ECV reprocessed dataset for OMI, and have been further optimized. The TROPOMI data are processed with a spatial resolution of 0.01°. The same chemistry transport model for HCHO and NO<sub>2</sub> is better suited for analysing their ratio than products developed with different prior profiles.

To study the interannual variations in HCHO, NO<sub>2</sub>, and HCHO/NO<sub>2</sub>, the satellite records are based on TROPOMI  
105 observations for the years after 2019 and harmonized OMI observations for 2013–2018. Satellite retrievals must be harmonized to account for differences in any instrumental offset. OMI HCHO and NO<sub>2</sub> data are adjusted with reference to TROPOMI because the latter has a finer spatial resolution and attains a smaller deviation than the former. The instrumental difference between OMI and TROPOMI is estimated as the difference between the two at OMI coarse resolution for the overlapping months. The difference is considered independent of the instrumental resolution. TROPOMI data consistent  
110 with the coarse resolution of OMI data are obtained. The difference between them at month  $m$  and grid cell  $x$  is  $\Delta D_{-}(x,m)$ . The adjusted OMI data at year  $yr$  month  $m$  and grid cell  $x$  ( $D_{OMIadj}(x,yr,m)$ ) are estimated as the sum of the original OMI data ( $D_{OMI}(x,yr,m)$ ) and  $\Delta D_{-}(x,m)$ .

## 2.3 Connecting Satellite HCHO/NO<sub>2</sub> with Ground-Based O<sub>3</sub> Observations

TROPOMI data are aggregated by sampling gridded NO<sub>2</sub> and HCHO columns consistent with the ground-based  
115 observations of O<sub>3</sub>. O<sub>3</sub> concentrations are averaged at all available sites every half month for the warm season (April to September) from 2019 to 2021. O<sub>3</sub> measurements at 13:00 to 14:00 local time are selected to match the TROPOMI overpass



time. TROPOMI-retrieved  $\text{NO}_2$  and  $\text{HCHO}$  columns are sampled every half month over  $\text{O}_3$  sites for the same period, yielding nearly 100 000 paired observations. In addition, China is divided into nine regions to evaluate the satellite-based  $\text{HCHO}/\text{NO}_2$  and study the  $\text{O}_3$  production regimes from 2013 to 2021. Based on satellite and surface observations, the response of  $\text{O}_3$  concentrations and changes in  $\text{O}_3$  precursors are compared in two typical cities, Beijing and Chengdu, during the COVID-19 pandemic in spring 2020 to assess the effectiveness of the  $\text{O}_3$  production regimes for satellite  $\text{HCHO}/\text{NO}_2$  capture.

### 3 Results and Discussion

#### 3.1 Surface Ozone Trends

The ozone concentrations averaged from 367 cities with monitoring sites in China from 2015 to 2021 are shown in Fig. 1a. The three metrics include the maximum 6-month MDA8 ozone running average (MMA6-MDA8) and the 90th and 99th percentiles of the annual distribution of MDA8- $\text{O}_3$  (MDA8-90th, MDA8-99th), following the definition in World Health Organization global air quality guidelines (World Health Organization, 2021) and Chinese ambient air quality standards (GB 3095-2012). The three metrics increased at 2.3 (2%), 2.5 (2%), and 2.3 (1%)  $\mu\text{g m}^{-3} \text{ year}^{-1}$  in 2015-2021. Moreover, they significantly increased at 4.6 (5%), 5.6 (4%), and 5.4 (3%)  $\mu\text{g m}^{-3} \text{ year}^{-1}$  (all with  $p < 0.05$ ) in 2015-2019, based on the linear trend estimate.

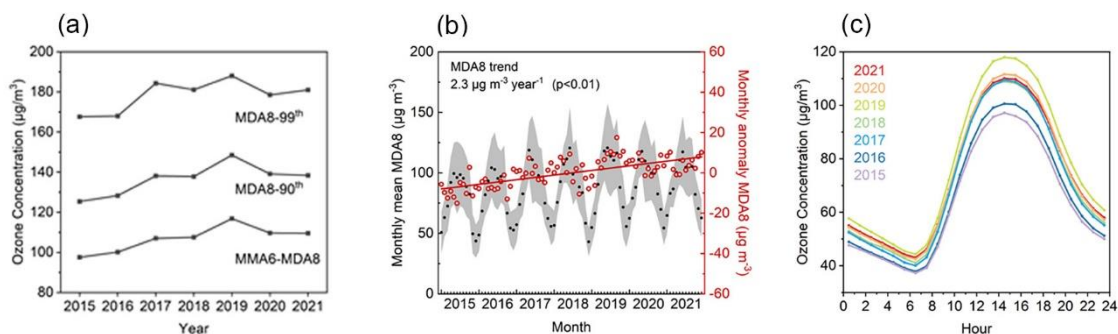
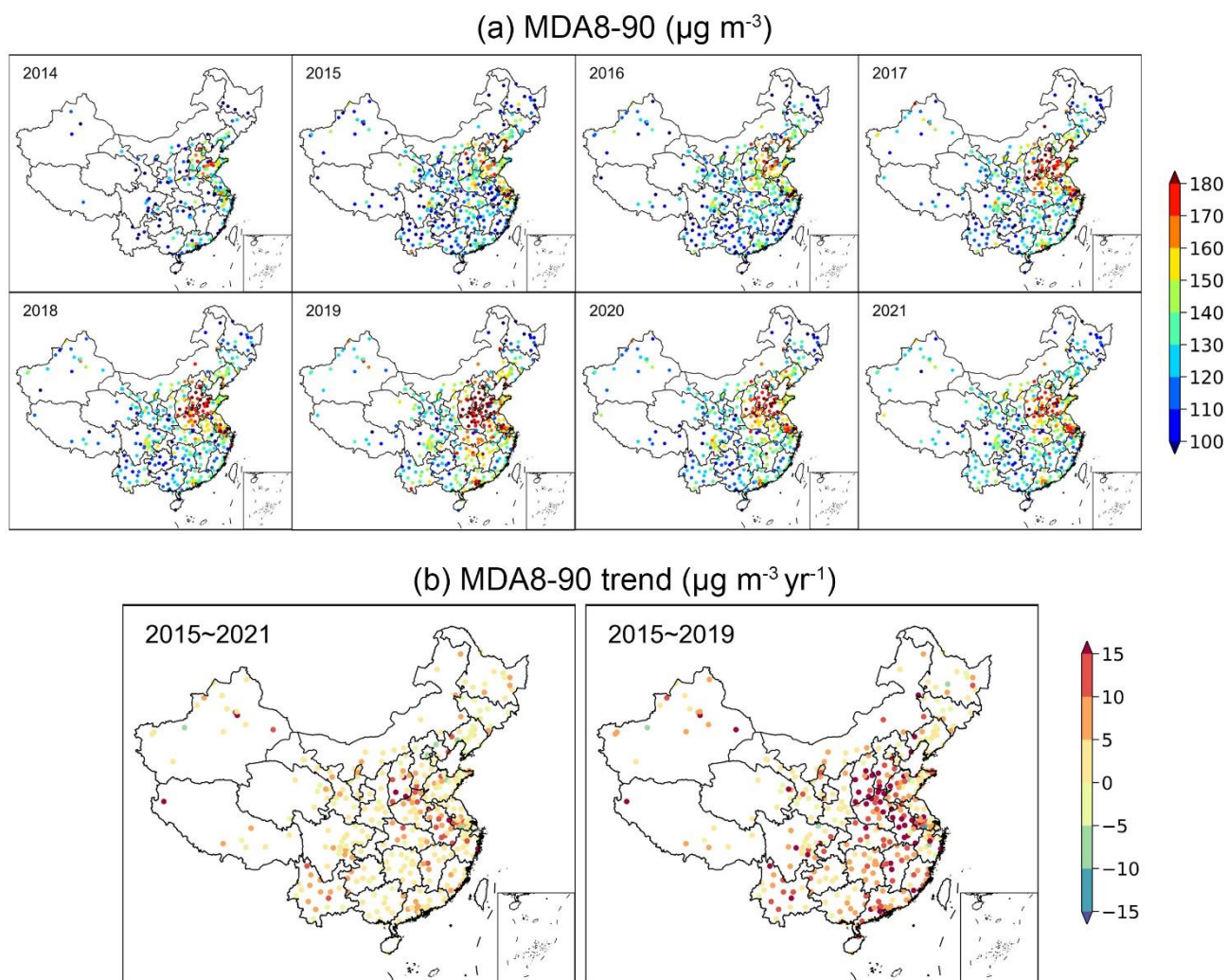


Figure 1: Surface ozone concentrations in China. (a) MDA8-99th, MDA8-90th, MMA6-MDA8, and (b) monthly average (black dots, left axis) and anomaly (circle, right axis) of MDA8 ozone concentrations averaged from all 367 cities with monitoring sites in 2015–2021. Gray shading: mean value  $\pm$  standard deviation across all cities for each month. Solid line: linear fitted curve. (c) Ozone diurnal cycles from April to September.

The time series of the monthly mean MDA8 ozone in 2015–2021 is shown in Fig. 1b. Based on the monthly anomalies (the difference between the observed monthly mean and the 7-year monthly mean for the same month), MDA8 ozone levels increased by 2.3  $\mu\text{g m}^{-3} \text{ year}^{-1}$  (3.0%  $\text{year}^{-1}$ ,  $p < 0.01$ ) averaged from all cities. The increases are also exhibited rapidly before 2019, with 3.5  $\mu\text{g m}^{-3} \text{ year}^{-1}$  (4.5%  $\text{year}^{-1}$ ,  $p < 0.01$ ). The daytime and nighttime mean ozone levels show similar trends. In 2015–2019, the maximum and minimum hourly average concentration increased from 97.1 to 117.9  $\mu\text{g m}^{-3}$  and



from 37.3 to 44.3  $\mu\text{g m}^{-3}$ , respectively, based on the mean April to September ozone diurnal variation, as shown in Fig. 1c. Overall, the average ozone concentration shows an increasing trend from 2015 to 2021, although it has decreased in the last two years compared to the peak in 2019.



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**Figure 2: Spatiotemporal distributions of MDA8-90th ozone in China from 2014 to 2021, and trends for 2015–2019 and 2015–2021.**

The spatial patterns of MDA8-90th and their trends for approximately 367 cities in 2014–2021 are shown in Fig. 2. The cities with high ozone levels are widely distributed in eastern and central China, where intensive anthropogenic emissions are located. Distinct exacerbation of ozone pollution can be observed from 2014 to 2019. The locations and definitions of the key regions are shown in Fig. S1. In 2014–2015, sites with MDA8-90th greater than 160  $\mu\text{g m}^{-3}$  were concentrated near the Beijing-Tianjin-Hebei and the Yangtze River Delta (YRD) megacity clusters. By 2019, ozone hot spots extended westward

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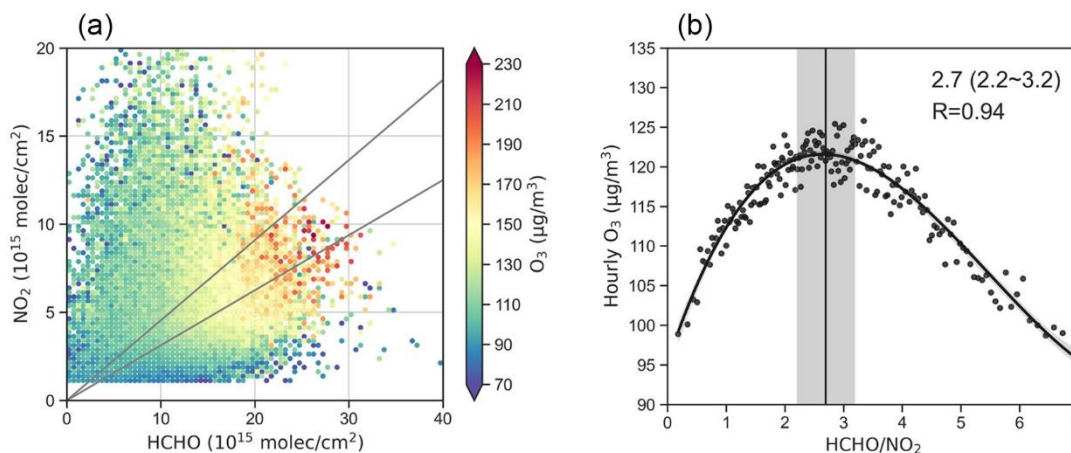
to the Fenwei Plain and southward to the central Yangtze River Plain. During the 6 years, the ozone concentration has increased almost everywhere in China, particularly in the North China Plain (NCP) and the central Yangtze River Plain. In 2020 and 2021, ozone pollution was alleviated; the level of which is equivalent to the level of ozone pollution in 2017–2018. O<sub>3</sub> concentration decreases in major key regions, including the North China Plain, Pearl River Delta (PRD), and Sichuan Basin (SCB).

The percentage of sites with MDA8-90th ozone higher than 160  $\mu\text{g m}^{-3}$ , the Chinese grade II national air quality standard, increased from 15.0% in 2015 to 39.3% in 2019 and then decreased to 23.0% in 2021. The percentage of sites with increasing ozone trends was 83.1% in 2015–2019 and 71.8% in 2015–2021. From a national perspective, widespread surface ozone increases occurred in Chinese cities during 2015–2019. Moreover, decreases have been observed in the last 2 years.

### 3.2. Ozone–NO<sub>x</sub>–VOC sensitivity over China

#### 3.2.1 Ozone–NO<sub>x</sub>–VOC Chemistry Captured by Satellite-Based HCHO/NO<sub>2</sub>

Ozone formation can be limited by NO<sub>x</sub>, VOCs, or both. Satellite-based HCHO and NO<sub>2</sub> columns are evaluated whether they can capture the nonlinearities in O<sub>3</sub>–VOCs–NO<sub>x</sub> chemistry. Figure 3a, similar to classic ozone isopleths typically generated with models (Sillman et al., 1990; Pusede et al., 2015), shows the in situ O<sub>3</sub> concentration as a function of TROPOMI NO<sub>2</sub> and HCHO derived solely from observations.



**Figure 3:** (a) O<sub>3</sub> concentration as a function of TROPOMI HCHO and NO<sub>2</sub>. All surface hourly O<sub>3</sub> observations (13:00 to 14:00 local time) averaged over each half month from April to September 2019–2021 are aggregated based on the corresponding TROPOMI HCHO and NO<sub>2</sub> (interval: 0.5 unit  $\times$  0.25 unit). The black lines delineate the TROPOMI HCHO/NO<sub>2</sub> values of 2.2 and 3.2. (b) O<sub>3</sub> concentration as a function of TROPOMI HCHO/NO<sub>2</sub>. O<sub>3</sub> average concentration is calculated by first matching hourly O<sub>3</sub> observations with TROPOMI HCHO/NO<sub>2</sub> for each half of the month, dividing these paired observations into 200 bins based on HCHO/NO<sub>2</sub>, and then calculating the O<sub>3</sub> average concentration (y axis) for each TROPOMI HCHO/NO<sub>2</sub> bin (x axis). The solid line is fitted with third-order polynomial curves, and the shading indicates 95% confidence intervals. The vertical lines indicate the maximum of the fitted curve, and the vertical shading represents the range with the curve slope from -3 to +3 (regime transition).

Consistent with O<sub>3</sub> isopleths, O<sub>3</sub> concentration is a non-linear process in relation to NO<sub>2</sub> and HCHO, as shown in Fig. 3a. Three regimes can be roughly identified. When HCHO is low and NO<sub>2</sub> is relatively high, the O<sub>3</sub> concentration is high at



180 lower  $\text{NO}_2$  or higher HCHO, indicating VOC-limited (or  $\text{NO}_x$ -saturated) chemistry. When  $\text{NO}_2$  is low and HCHO is relatively high, the  $\text{O}_3$  concentration increases with increasing  $\text{NO}_2$ , indicating  $\text{NO}_x$ -limited chemistry. When both  $\text{NO}_2$  and HCHO are high,  $\text{O}_3$  concentration peaks and increases with both increasing  $\text{NO}_2$  and HCHO. However, the division between the three regimes is uncertain and ambiguous, which may be influenced by other factors such as different meteorology, noisy satellite retrievals, the spatial mismatch between gridded satellite observations and point measurements on the ground, and lack of statistical power to calculate average concentrations in some intervals due to small sample sizes. Despite these uncertainties, Figure 3a qualitatively illustrates the nonlinear relationship between  $\text{O}_3$  and satellite  $\text{NO}_2$  and HCHO, similar to the overall  $\text{O}_3$ - $\text{NO}_x$ -VOC chemistry.

190 After the qualitative approach is established, the HCHO/ $\text{NO}_2$  thresholds that mark the  $\text{O}_3$  transitional regime are then derived by calculating the average ozone concentration for a given TROPOMI HCHO/ $\text{NO}_2$  and examining their statistical relationships in China and the different regions within it. Empirical relationships are investigated by applying second-order and third-order polynomial models (Jin et al., 2020) to the observations over all cities in China. The third-order polynomial model is used to derive the maximum mean  $\text{O}_3$  concentration (the peak of the curve in Fig. 3b) because it fits the data with the high correlation coefficient better than the second-order model does. Assuming that the peak of the curve (with a slope of 0) marks the transition from VOC-limited to  $\text{NO}_x$ -limited regimes (Pusede and Cohen, 2012), the transitional regime (mixed sensitive regime) is defined as the range with a slope between  $-3$  and  $+3$ .

200 The aggregation of the overall available observations used in Fig. 3a shows that the  $\text{O}_3$  concentration peaks at HCHO/ $\text{NO}_2$  are equal to 2.7, with the transitional regime between 2.2 and 3.2. A separate evaluation for nine regions also reveals the strong nonlinear relationships between the  $\text{O}_3$  concentration and TROPOMI HCHO/ $\text{NO}_2$ , despite differences in the overall  $\text{O}_3$  concentrations. The Pearson correlation coefficient between the fitted third-order polynomial curve and the data is generally more than 0.73, except for Inner Mongolia (0.59). The HCHO/ $\text{NO}_2$  marking the regime transition varies among these regions (Table 1 and Fig. S2), with the highest in Shanxi-Shaanxi-Henan [3.7 (3.2–1.3)] and the lowest in Heilongjiang-Jilin-Liaoning [2.0 (1.2–3.2)]. Different cities respond differently to changes in  $\text{NO}_x$  and VOC emissions. This varied response is also reflected in different thresholds for other photochemical indicators (Liu and Shi, 2021; Wang et al., 2017) or patterns of  $\text{O}_3$  isopleths (Shen et al., 2021). This difference among regions may reflect environmental conditions (Liu and Shi, 2021), such as radiation intensity and surface temperature.





**Table 1. HCHO/NO<sub>2</sub> threshold values between O<sub>3</sub> production regimes in nine Chinese regions**

Region	Correlation coefficient <sup>a</sup>	HCHO/NO <sub>2</sub> <sup>b</sup>	Transitional regime
Beijing-Tianjin-Hebei-Shandong	0.93	3.4	3.0–3.8
Shanxi-Shaanxi-Henan	0.93	3.7	3.2–4.3
Shanghai- Jiangsu-Zhejiang-Anhui	0.85	2.7	2.2–3.3
Jiangxi-Hubei-Hunan-Fujian	0.76	3.2	2.2–4.7
Guangdong-Hong Kong-Macao- Guangxi-Hainan	0.82	3.2	2.7–3.8
Sichuan-Chongqing- Guizhou-Yunnan	0.73	3.2	2.5–4.3
Gansu-Ningxia-Qinghai-Tibet-Xinjiang	0.74	3.0	2.2–4.5
Inner Mongolia	0.59	2.5	1.9–3.4
Heilongjiang-Jilin-Liaoning	0.82	2.0	1.2–3.2

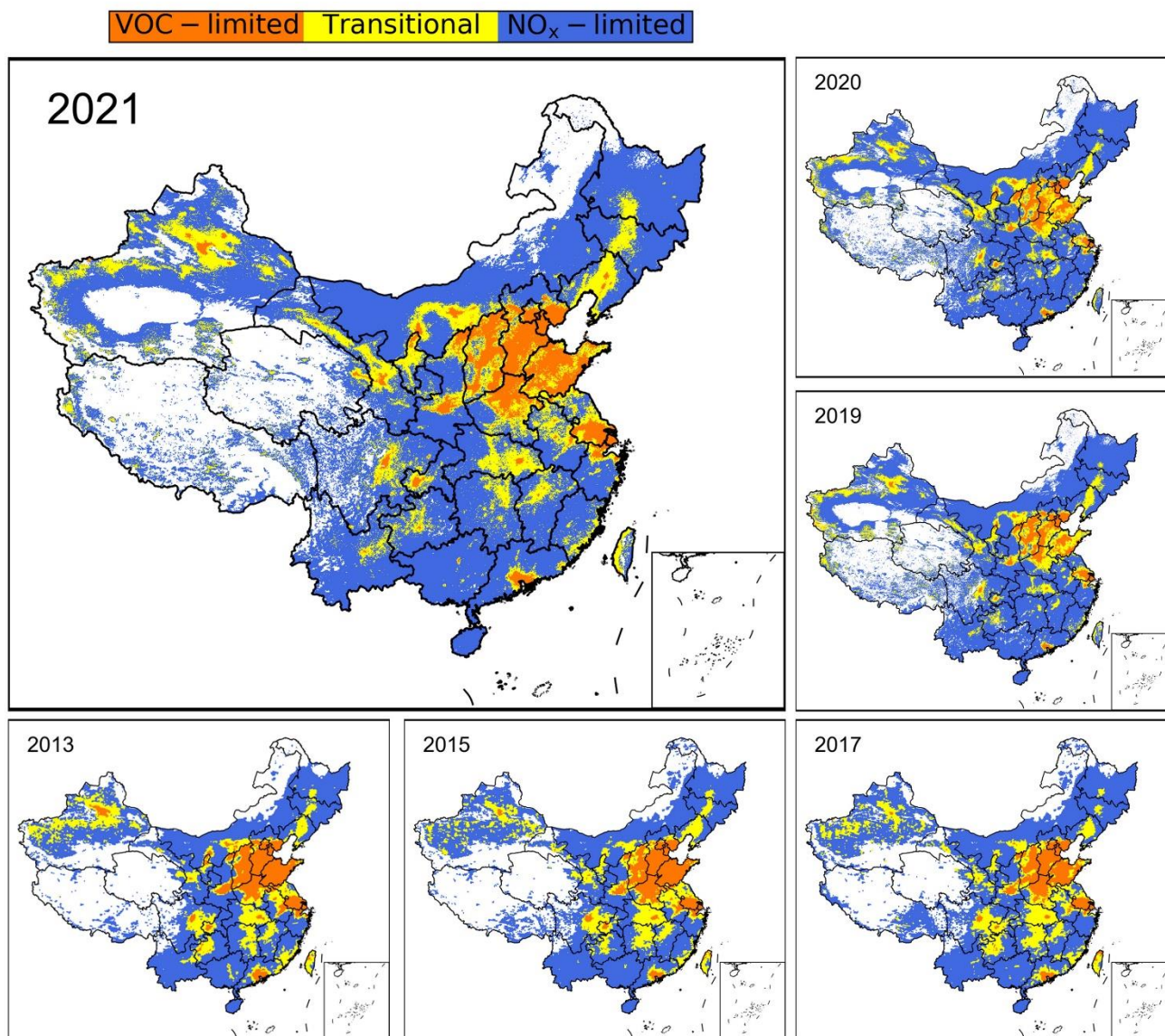
205 <sup>a</sup> The Pearson correlation coefficient between the fitted third-order polynomial curve and the data.

<sup>b</sup> HCHO/NO<sub>2</sub> value at the maximum of the fitted curve (peak O<sub>3</sub> concentration).

210 The HCHO/NO<sub>2</sub> thresholds in the present study are higher than the previously reported model-based values (Jin et al., 2017; Martin et al., 2004; Duncan et al., 2010). Thus, this observation-based method indicates that O<sub>3</sub> production tends to be VOC limited at the same HCHO/NO<sub>2</sub>. This discrepancy stems from the different approaches linking HCHO/NO<sub>2</sub> to O<sub>3</sub> production regimes. Previous modelling studies derived thresholds by simulating the response of surface O<sub>3</sub> to the overall reductions in NO<sub>x</sub> or VOC emissions. Moreover, these thresholds were derived from the study area in the United States, which best represents regional rather than local O<sub>3</sub>-NO<sub>x</sub>-VOC sensitivities (Martin et al., 2004; Jin et al., 2017). Thresholds derived with in situ observations in China take full account of the local O<sub>3</sub> chemistry.

### 3.2.2 Spatial Distribution of O<sub>3</sub> Production Regimes

215 The derived HCHO/NO<sub>2</sub> thresholds were used to identify the O<sub>3</sub> production regimes over China from April to September 2013–2021. Based on the same HCHO/NO<sub>2</sub> threshold across China (2.2–3.2, Fig. S3) and different thresholds for different regions (Fig. 4 and S4), two methods yield similar spatial distributions of O<sub>3</sub> sensitivity. However, the regional approach suggests that O<sub>3</sub> production tends to be VOC limited because the HCHO/NO<sub>2</sub> thresholds derived in many key regions individually are higher than the national overall threshold.



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**Figure 4: Ozone sensitivity classification over China from April to September 2013, 2015, 2017 and 2019–2021 using different HCHO/NO<sub>2</sub> thresholds in different regions. Only polluted regions are displayed (defined as average TROPOMI NO<sub>2</sub> columns higher than  $1.0 \times 10^{15}$  molecules/cm<sup>2</sup>).**

225 As shown in Fig. 4, the NO<sub>x</sub>-limited regime dominates in most regions from April to September. VOC-limited chemistry exists in urban areas of almost every province, with transitional regimes occurring around the VOC-limited regimes in wide urban and suburban areas. Widespread VOC-limited and transitional regimes are observed over major megacity clusters. In the North China Plain, the VOC-limited regimes are distributed in Beijing and most regions in the provinces of Hebei, Shanxi, Henan, and Shandong. Transitional regimes control almost all the remaining regions, except for



individual cities in northern Hebei and southwestern Henan. The percentages of VOC sensitive regime and the transitional  
230 regime are 59.2% and 26.7% in 2021 (Table S1). In the Yangtze River Delta, the VOC-limited regimes are found in some  
developed urban cities including Shanghai, some cities in southern Jiangsu Province (such as Suzhou, Wuxi, and most of  
Nanjing and Nantong) and Zhejiang Province (Jiaxing, urban of Hangzhou and Ningbo). VOC-limited and transitional or  
mixed regimes occupy 23.5% and 31.4% of the total grid cells (Table S1). In the Pearl River Delta and surrounding areas  
(Guangdong Province), VOC-limited regimes (8.0%) and transitional regimes (11.0%) control Shenzhen, Dongguan, Foshan,  
235 Zhongshan, Zhuhai, most of Guangzhou, and some other urban areas, whereas NO<sub>x</sub>-sensitive regimes dominate most of the  
remaining cities. In addition, extensive VOC-limited and transitional regimes occur in developed cities of Sichuan Basin  
(urban centres of Chongqing and Chengdu), Shaanxi Province (Xi'an), Hubei Province (Wuhan), and other regions.  
Compared with previous studies (Jin and Holloway, 2015; Wang et al., 2019), the results of this study are slightly different.  
The areas dominated by VOC-limited and transitional regimes in China are expanded, especially in NCP; while in the  
240 southern region (e.g., Guangdong Province), VOC-sensitive regimes are only concentrated in major cities.

Air quality monitoring sites are generally located in built-up areas of cities, representing the environment in which  
people live. The ozone sensitivity regime of all monitoring sites' locations based on HCHO/NO<sub>2</sub> and the O<sub>3</sub> MDA8-90th in  
2021 are shown in Fig. S5. VOC-limited and transitional regimes dominate O<sub>3</sub> formation at 86.2% of the sites, with VOC-  
limited chemistry accounting for 52.5%.

245 The comparison of O<sub>3</sub> sensitivities from 2013 to 2021 (Fig. 4 and S4) shows a slight change in the trends of individual  
regions from VOC-limited regimes to transitional regimes or from transitional regimes to NO<sub>x</sub>-limited regimes as a result of  
NO<sub>x</sub> reduction. However, there has been no remarkable change in China as a whole. The changes in VOC and NO<sub>x</sub>  
emissions in recent years have not led to the transition in the spatial distribution of the O<sub>3</sub> production regime defined by our  
HCHO/NO<sub>2</sub> thresholds.

### 250 3.3 Effects of Interannual Variations in Ozone Precursors

Based on the non-linear relationship of O<sub>3</sub>-NO<sub>x</sub>-VOC, the changes in ozone precursors is the direct factor affecting  
ozone level. Ground-based measurements of NO<sub>2</sub> and satellite-based NO<sub>2</sub> columns are used to indicate the changes in NO<sub>x</sub>  
emissions. As shown in Fig. 5a and S6, NO<sub>2</sub> is concentrated over urban areas and industrial cities, particularly in megacity  
clusters, such as the NCP, YRD, and PRD, and large cities, such as Wuhan (in Hubei) and Xi'an (in Shaanxi). Satellite  
255 observations show large NO<sub>2</sub> decreases from 2013. This finding is consistent with previous studies (Wang et al., 2019; Lin et  
al., 2019). Moreover, the decrease is more than 2.8% per year in half of the grids. Figure 5b shows that the average annual  
reduction in satellite NO<sub>2</sub> in eastern China is 3.7% ( $0.18 \times 10^{15}$  molecules cm<sup>-2</sup>,  $p < 0.01$ ). A reverse increase has occurred in  
the last 2 years, mainly in winter. Figure S7 shows similar trends in surface NO<sub>2</sub> concentrations and satellite-based NO<sub>2</sub>  
columns averaged in April–September from 2015 to 2021. More than 75% of the cities show negative trends in surface NO<sub>2</sub>  
260 levels (and 22% with  $p < 0.05$ ), and nearly 73% of the grids show decreases in satellite NO<sub>2</sub> columns. Strong and consistent

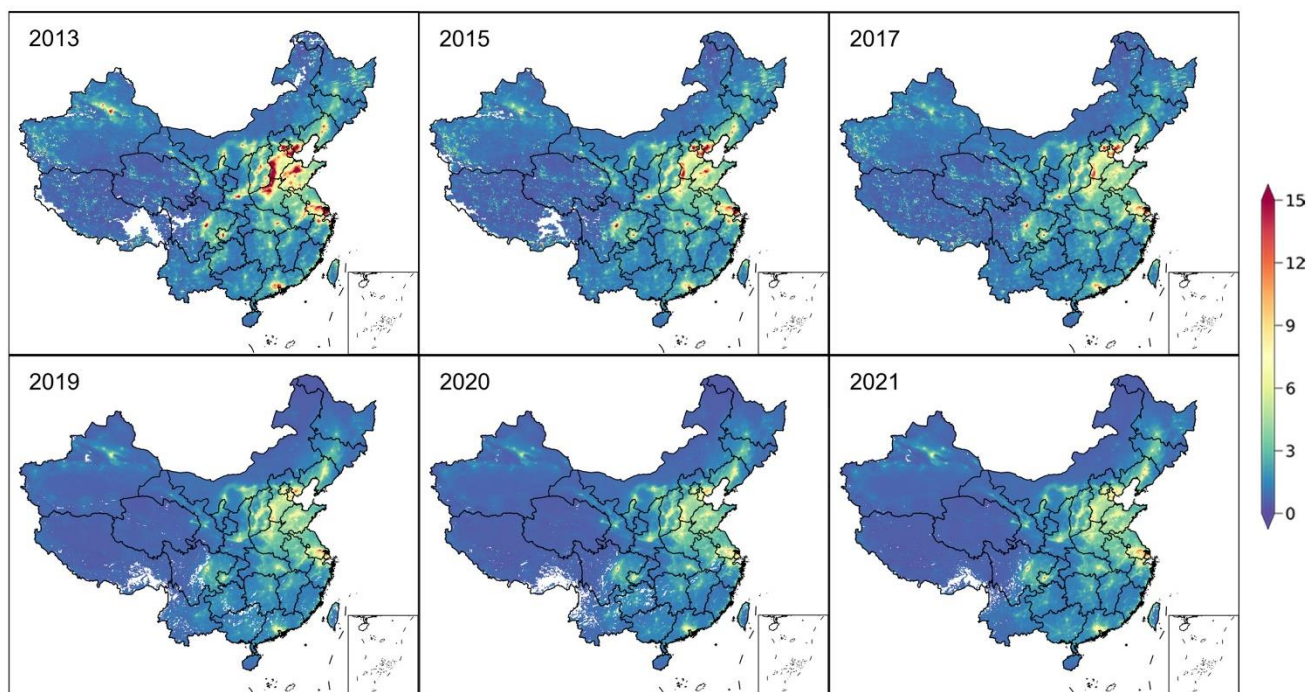


decreases in high-value areas, particularly the NCP, as well as YRD, PRD, and SCB, have been observed in the last 9 years. The mean  $\text{NO}_2$  in NCP has decreased by  $0.59 \times 10^{15}$  molecules  $\text{cm}^{-2} \text{year}^{-1}$  (5.0%,  $p < 0.01$ ) from 2013 to 2021.

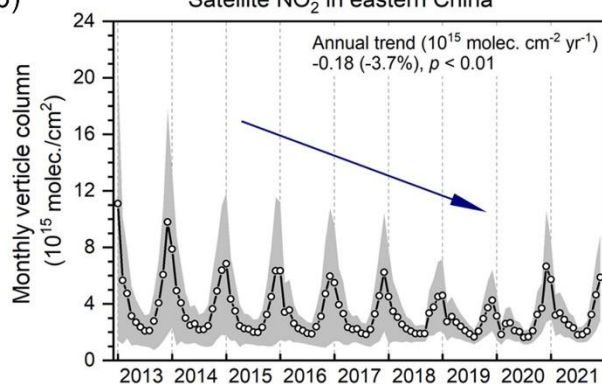
The variations in anthropogenic VOCs primarily drive the temporal patterns of satellite HCHO columns over China (Shen et al., 2019). Figures 6a and S6 compare the HCHO columns from April to September 2013–2021. As expected, a clear gap exists between the HCHO in southeast and northwest China. The mean HCHO is high over megacity clusters in the southeastern regions, such as the Northern China Plain, Sichuan Basin, Yangtze River Delta, Pearl River Delta, and the Central Yangtze River Plain. More than 45% of the grids show positive trends in satellite HCHO columns in 2013–2021. HCHO columns increase by 0.01%  $\text{year}^{-1}$ , averaged from all grids in 2013–2021 in eastern China. This finding is consistent with the increases in anthropogenic VOC emissions (Zheng et al., 2018b; Zhang et al., 2019). In 2020–2021, satellite-based HCHO decrease in most of eastern China compared to 2019. The changes in HCHO are driven by several factors (Zhu et al., 2017):  $\text{NO}_x$  reductions can lower the HCHO yield from isoprene oxidation (Souri et al., 2020; Wolfe et al., 2016), and in addition, HCHO columns may show interannual variability driven by interannual variability of meteorology, particularly temperature (Duncan et al., 2009; Abbot et al., 2003). Nevertheless, HCHO has not declined as dramatically as  $\text{NO}_2$ , particularly until 2019. In the NCP, where VOC-limited chemistry most widely exists, the gap between HCHO and  $\text{NO}_2$  changes is even larger.



(a) Satellite NO<sub>2</sub> (molec/cm<sup>2</sup>)



(b) Satellite NO<sub>2</sub> in eastern China



Satellite NO<sub>2</sub> in NCP

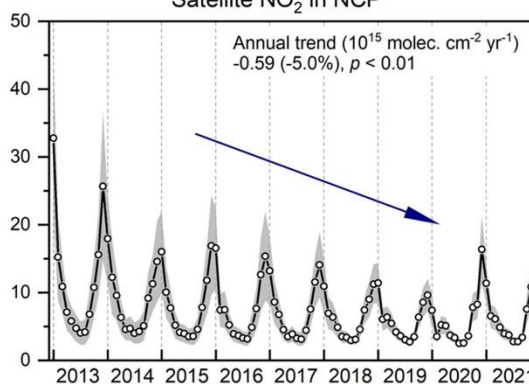
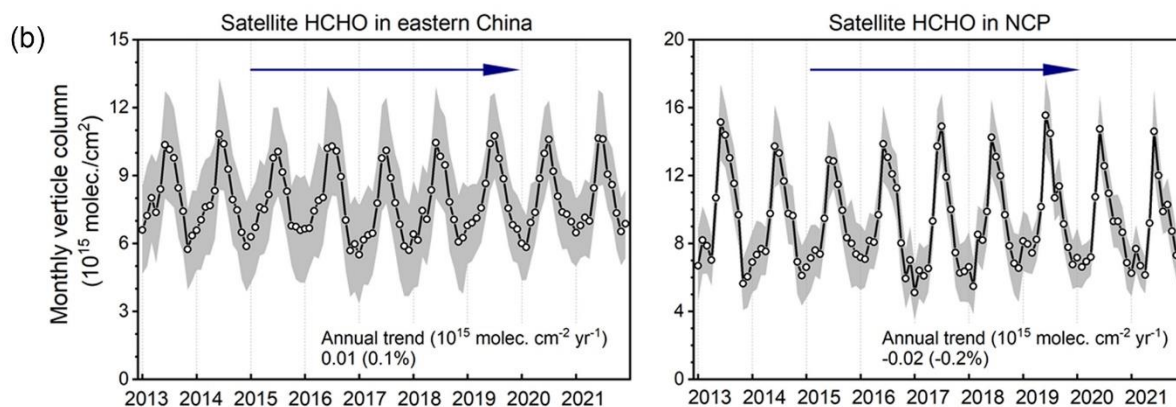
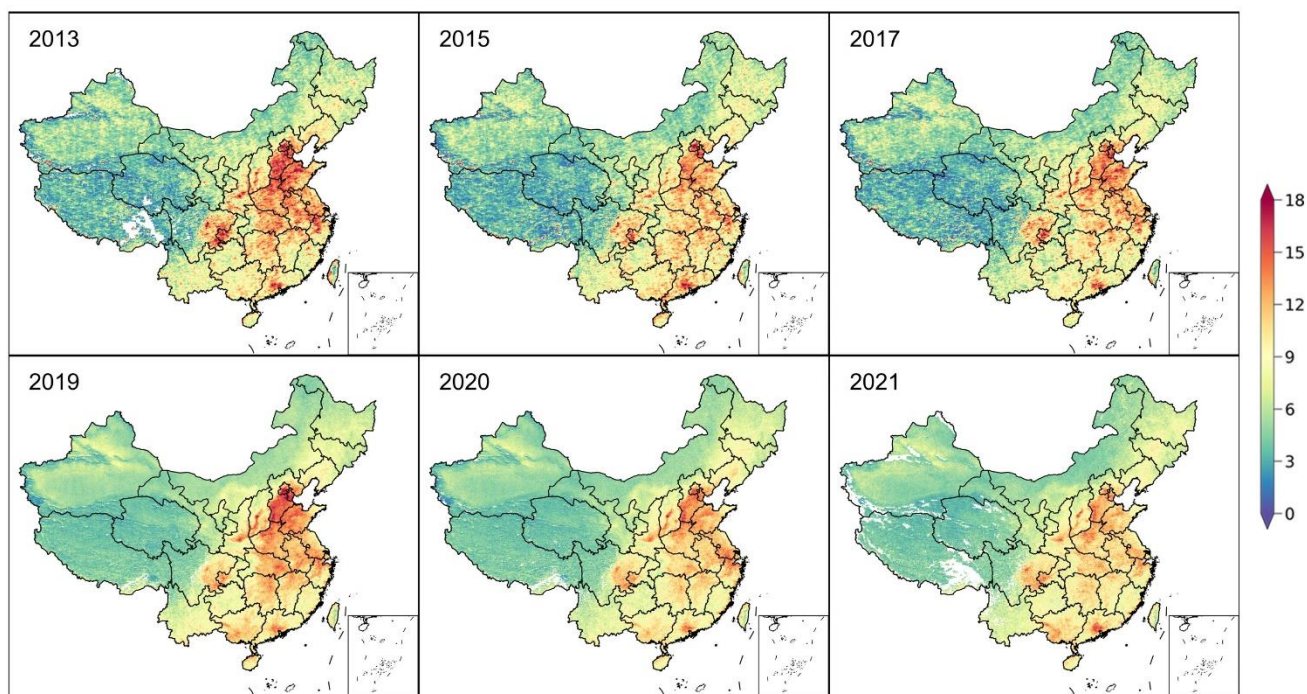


Figure 5: (a) Maps of average satellite-based NO<sub>2</sub> columns over China from April to September, and (b) monthly mean NO<sub>2</sub> columns averaged over eastern China and North China Plain. Gray shading: mean value  $\pm$  50% standard deviation across all grids for each month. Solid line: the linear fitted curve. Inset: absolute annual linear trend and percentage of annual trend (% per year, the linear trend divided by the 2013 mean values).

280



(a) Satellite HCHO ( $\text{molec}/\text{cm}^2$ )



**Figure 6:** Same as Figure 5 but for satellite-based HCHO columns.

The changes in VOC and NO<sub>x</sub> emissions presumably have the same disparity as the changes in satellite HCHO and NO<sub>2</sub>. The anthropogenic NO<sub>x</sub> emission has been decreased considerably since 2013. However, VOC emissions have not  
285 been effectively reduced or even slightly increased. The significant NO<sub>x</sub> reduction alone without effective VOC control has not worked or has even aggravated O<sub>3</sub> pollution in recent years because of the VOC-limited (or NO<sub>x</sub>-saturated) O<sub>3</sub> production regimes in major city clusters.

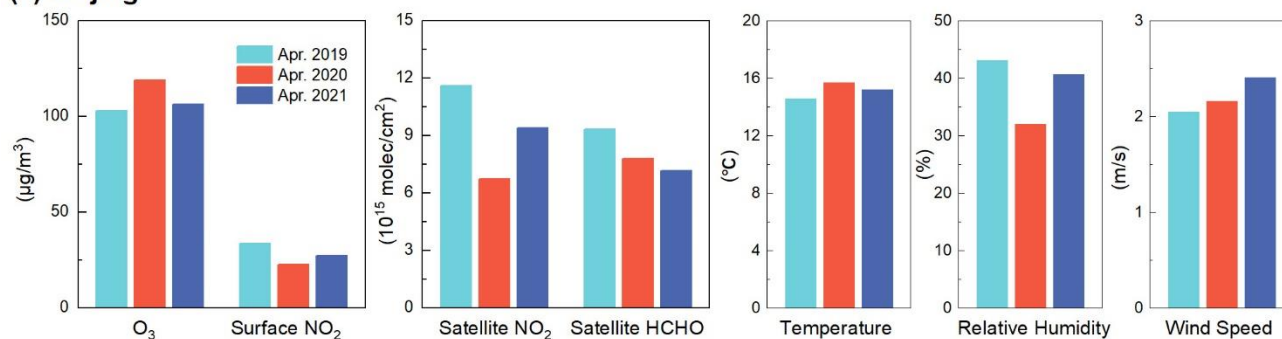


### 3.4 Cases of O<sub>3</sub> responses to the changes in its precursors

The outbreak of the COVID-19 pandemic produced previously unseen societal impacts in China. Compared to normal years, the measures during the plague prevention and the work resumption resulted in changes in VOC and NO<sub>x</sub> emissions in 2020 (Le et al., 2020; Pei et al., 2022). The changes, which are not uniform or synchronized across the country, serve as a natural experiment to evaluate surface O<sub>3</sub> responses to a marked emission variation.

In Beijing, the capital of China, the average O<sub>3</sub> MDA8 concentration reached 118.9 μg m<sup>-3</sup> in April 2020, which is 15.5% and 11.9% higher than that in April 2019 and 2021 (Fig. 7a). The satellite or ground-based observations of NO<sub>2</sub> and HCHO show variations in NO<sub>x</sub> and VOCs. NO<sub>2</sub> concentrations were the lowest in April 2020 compared with the monthly means in April 2019 and 2021, showing reductions of 33.2%–42.1% and 17.8%–28.5%. This scenario is associated with a massive reduction in human activity (Le et al., 2020). Unlike the change in NO<sub>2</sub>, HCHO columns in April 2020 are only 16.5% lower than those in 2019 and even 8.7% higher than those in 2021. In the NO<sub>x</sub>-saturated (VOC-limited) regime, VOC emission reductions are generally effective in reducing O<sub>3</sub> concentrations. However, the former is primarily offset by the reduction in NO<sub>x</sub> emissions resulting in a low titration of O<sub>3</sub> by NO<sub>x</sub>, which directly increases O<sub>3</sub> combined with the relatively high temperature and low humidity.

#### (a) Beijing



#### (b) Chengdu

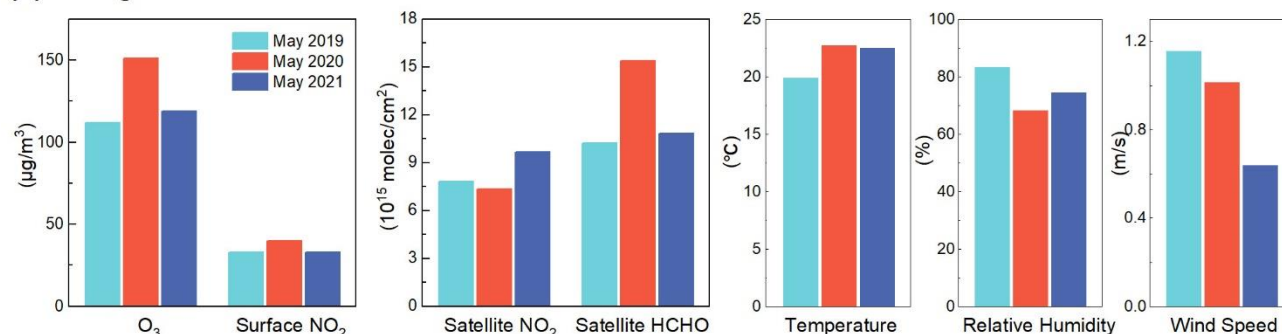


Figure 7: Ground-based observation of O<sub>3</sub> and NO<sub>2</sub>, satellite-based NO<sub>2</sub> and HCHO, and meteorological conditions, including temperature, relative humidity and windspeed in (a) Beijing and (b) Chengdu, Sichuan. The figure compares monthly averages for Beijing in April and for Chengdu in May 2019–2021.



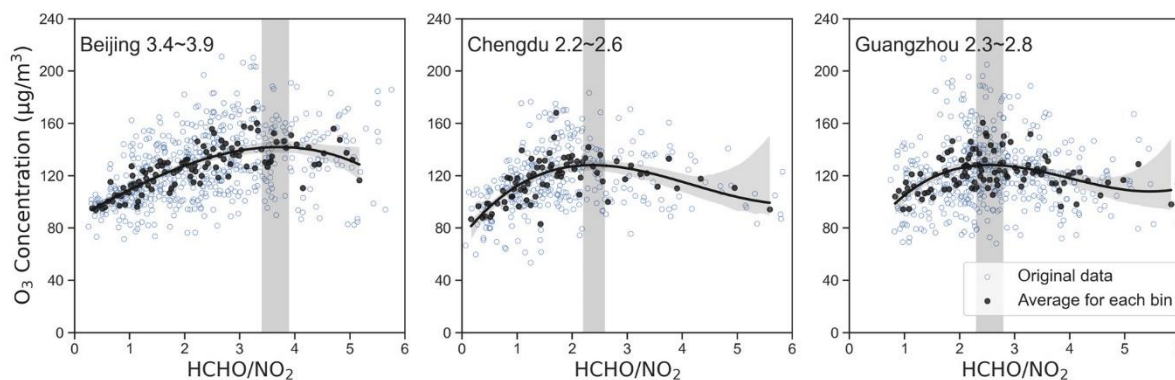
Serious ozone pollution occurred in Chengdu, the capital of Sichuan Province, in May 2020, with the maximum hourly ozone concentration reaching  $258.8 \mu\text{g m}^{-3}$ . The monthly average MDA8 is 34.8% and 26.9% higher than that in May 2019 and 2021, respectively. Compared with the monthly means in May 2019 and 2021, the monthly means in May 2020 demonstrate the almost constant  $\text{NO}_2$  (−6.1% to 21.2% and −24.3% to 21.2%) and the considerable increase in HCHO (50.7% and 42.2%), as shown in Fig. 7b. As expected, the increase in VOC emissions is a major contributor to the growth of  $\text{O}_3$  because of the VOC-limited conditions in Chengdu. This scenario may be related to the vigorous development of stall businesses in Chengdu at that time to help work resumption. These two cases in Beijing and Chengdu verify the negative effect of  $\text{NO}_x$  reduction alone or VOC increase on  $\text{O}_3$  pollution in urban cities.

#### 4 Implication

Identifying the causes of ozone increases since 2013 is crucial for effectively controlling the ozone pollution in China. The Chinese government has been controlling mainly particulate matter,  $\text{SO}_2$ , and  $\text{NO}_x$  since 1998 (Zhang et al., 2016). The Air Pollution Prevention and Action Plan, implemented in 2013, aims to reduce the annual average  $\text{PM}_{2.5}$  concentration by 10% in 2017 compared with 2012 (Chinese State Council, 2013). In 2018, the Chinese government promulgated the Three-Year Action Plan for Winning the Battle of the Blue Sky, which still regards  $\text{PM}_{2.5}$  control as the primary goal and targets  $\text{SO}_2$  and  $\text{NO}_x$  emission reductions (Chinese State Council, 2018). These nationwide emission control measures have decreased  $\text{PM}_{2.5}$  concentrations rapidly (Xiao et al., 2021) and reduced anthropogenic  $\text{NO}_x$  emissions. However, the decline in VOC emissions is not yet evident. VOC-limited chemistry exists in most city clusters in China, particularly in built-up areas of cities where air quality monitoring sites are located. Our study highlights that the root cause of ozone increase in major regions is the significant reduction of  $\text{NO}_x$  alone without effective control of VOC and not the concurrent decreases in the  $\text{PM}_{2.5}$  level as suggested in previous studies (Li et al., 2019).

Moreover, the ozone values are high in VOC-limited areas, indicating the necessity of controlling VOC in China. The synergistic control of  $\text{NO}_x$  and VOC, with VOC control as the focus, can help reduce ozone pollution in major cities. The reduction ratio of VOC/ $\text{NO}_x$  can be indicated by the slope of the ridge line of the classic ozone isopleths (Ou et al., 2016; Wang et al., 2019). Based on the method in Fig. 3,  $\text{O}_3$  concentrations and the satellite HCHO and  $\text{NO}_2$  relationships similar to the  $\text{O}_3$  isopleths are obtained. The HCHO/ $\text{NO}_2$  value at the peak of the fitted curve is the ratio of HCHO to  $\text{NO}_2$  reduction for the fastest decrease in  $\text{O}_3$  concentration. Three typical developed cities, namely, Beijing in the NCP, Guangzhou in the PRD, and Chengdu in the SCB, are selected to study the reduction pathways, as shown in Fig. 8. The optimal decrease ratio of HCHO to  $\text{NO}_2$  is between 2:1 and 4:1, which is 3.4–3.9 for Beijing, 2.2–2.6 for Chengdu, and 2.3–2.8 for Guangzhou. The results obtained by this method roughly reflect the optimal abatement pathways for the two precursors by using the satellite HCHO and  $\text{NO}_2$  to represent VOC and  $\text{NO}_x$ . The short-term future  $\text{O}_3$  control becomes much more promising in terms of enhanced VOC control in urban cities dominated by VOC-limited regimes.





**Figure 8:** O<sub>3</sub> concentration as a function of HCHO/NO<sub>2</sub> for all sites in Beijing, Chengdu, and Guangzhou. Black dots and lines are the same as those in Figure 3b but divided into 100 bins, and blue circles are original concentrations.

#### 340 Data availability

The data used in this study can be accessed by contacting the corresponding author, Shaodong Xie (sdxie@pku.edu.cn).

#### Author contribution

SX and JR initiated the research project and commented on the paper. JR performed the data analyses and wrote the paper.

#### 345 Competing interests

The authors declare that they have no conflict of interest.

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