Carbon Sinks and Variations of *p*CO₂ in the Southern Ocean From 1998 to 2018 Based on a Deep Learning Approach

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Abstract—The Southern Ocean comprises 25% of the global ocean surface area, accounts for nearly half of the total carbon sink of the global oceans, and is a place that significantly reduces the impacts of anthropogenic CO₂ emissions. Due to the sparsity of observational data, the changes in Southern Ocean carbon sinks over time remain uncertain. In this study, we integrated correlation analysis and a feedforward neural network to improve the accuracy of carbon flux estimations in the Southern Ocean. Based on observation data from 1998-2018, we reconstructed the Southern Ocean's pCO₂ grid data during this period. The root-mean-square error obtained by fitting the observation data was 8.86 μ atm, indicating that the results were better than those of the two primary statistically based models in the Surface Ocean pCO₂ mapping intercomparison. The results also showed that the Southern Ocean's capacity to act as a carbon sink has gradually increased since 2000; it reduced during 2010-2013 but increased significantly after that. The Southern Ocean's seasonality is characterized by minimum carbon uptake in winter due to increased upwelling; this is followed by a rapid increase toward maximum uptake in summer, which is mainly biologically driven. There is an apparent double-ring structure in the Southern Ocean, as noted in other studies. This study confirms that the inner ring (50–70°S) is a carbon source area gradually transforming into a carbon sink, while the outer ring (35-50°S) continues to serve as a carbon sink.

Index Terms—Carbon sink, feedforward neural network (FFNN), machine learning, *p*CO₂, Southern Ocean.

I. INTRODUCTION

 \mathbf{I} N THIS study, the Southern Ocean is defined as the area south of 35°S, and is the only ocean that is not divided by continents [1]. Since the Industrial Revolution, the global ocean

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has absorbed $\sim 30\%$ of anthropogenic carbon dioxide emissions [2]. The ocean plays a crucial role in absorbing atmospheric CO₂; without this absorption, earth's surface temperature would be much higher [3], [4]. Past observational data and model estimates have indicated that the Southern Ocean is responsible for absorbing up to half of all anthropogenic CO₂ emissions [2], [5]. Therefore, the Southern Ocean is inextricably linked to the global carbon cycle and climate change [6], [7]. Although the Southern Ocean is essential, due to a lack of observational data, past studies in this area have not provided accurate calculations of the trends in CO₂ changes, let alone an understanding of the driving factors of such changes [8].

Traditional estimates, such as atmospheric inversions approaches, were limited by the sparse atmospheric CO_2 measurements [9], [10]. Some spatial and temporal interpolation based on empirical relationships between CO_2 and proxy variables [11], [12] were largely focused on the relatively observation-rich regions [13]. The emergence of biogeochemical models temporarily provided more credible solutions for predicting CO_2 fluxes in this region [14], but this model simulation relied on the correctness of the process simulation structure [15].

In recent years, neural network algorithms have been widely employed to reconstruct surface pCO_2 data. Compared with statistical interpolations, neural network approaches are not limited by sparse observations and can adequately represent the interannual variability [15]. Gregor et al. [16] used a support vector machine (SVM) and random forest (RF) to reconstruct the pCO_2 data of the Southern Ocean. The resultant root-meansquare errors (RMSEs) were 16.45 and 24.04 μ atm. Meanwhile, Landschützer et al. [17] merged a self-organizing map (SOM) and feedforward neural network (FFNN) to construct the SOM-FFNN method to reconstruct the pCO_2 data of the Southern Ocean. The inputs include sea surface temperature (SST), sea surface salinity (SSS), the depth of the mixed layer (MLD), chlorophyll concentration (CHL), and other parameters. Their results indicated that the Southern Ocean carbon sink stagnated or even decreased between 1980 and 2000, but then gradually recovered its original strength in ~ 2002 . Both data products showed good interannual and seasonal cyclical changes, but the SOM-FFNN algorithm offers better performance than the machine learning algorithm (SVM and RF). Denvil-Sommer et al. [18] employed the Laboratory of Climate and Environmental Sciences (LSCE)-FFNN method to reconstruct global

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 pCO_2 data, which maintained consistency with observational results. However, compared with the observed data, the Southern Ocean's reconstructed data have a larger error than other regions with more *in situ* observations.

In this study, using the Surface Ocean CO₂ ATLAS (SOCAT V.6) data of the Southern Ocean from 1998 to 2018, we applied the correlation analysis (CA)-FFNN method to reconstruct the monthly and $1^{\circ} \times 1^{\circ} pCO_2$ data of the Southern Ocean. FFNN have advantages over other algorithms because it produces data more stable in sparse regions [15] and interpolates the sparse pCO_2 data with small bias [19]. This method is primarily divided into two steps. First, the correlation index of each parameter is calculated and sorted. Second, using the parameters with relatively high correlation coefficients as the input variables of the FFNN, the correlation matrix between pCO_2 data and other observed variables is constructed, and correlation parameters are used to reconstruct the pCO_2 data in the blank area of the Southern Ocean. This method facilitates data analysis and reconstruction for specific regions and improves the current situation wherein sites with limited observation data have higher RMSE values. Therefore, this approach may be generalizable for reconstructing regional data. Finally, we analyzed the seasonal, interannual, and interdecadal variations of pCO2 in the Southern Ocean.

II. DATA AND METHODS

A. Data

The parameters used in the CA of the pCO_2 data included SST, SST anomaly (SSTA), SSS, and SSS anomaly (SSSA); these parameter data were all from the gridded dataset of Global Ocean Heat Content Change [20], while anomaly data were obtained by subtracting the average data values from the climatic state data of each month. Chlorophyll concentrations (Chl-a) were based on satellite remote sensing data from the European Space Agency's Glob Colour Project, and MLD data were from the French Research Institute for Exploitation of the Sea. The *u*and *v*- components of the wind field at 10 m above sea level (a.s.l.) were taken from the European Centre for Medium-Range Weather Forecasts. All these data except MLD are monthly averages over a $1^{\circ} \times 1^{\circ}$ lat/lon box. MLD data are monthly averages over $0.5^{\circ} \times 0.5^{\circ}$.

In this study, the measured pCO_2 data used for FFNN training and validation were converted from the SOCAT grid fCO_2 dataset. The conversion relationship between fCO_2 and pCO_2 is as follows [21]:

$$f \text{CO}_2 = p \text{CO}_2 \cdot \exp\left(p \cdot \frac{B + 2\delta}{R \times \text{T}_{\text{subskin}}}\right)$$
 (1)

where *p* is the atmospheric pressure (Pa), *R* is the gas constant (8.314 JK⁻¹ mol⁻¹), SST is the sea surface temperature (K), T_{subskin} is the subskin temperature, and *B* and δ are the correction coefficients, which are calculated as

$$T_{\text{subskin}} = \text{SST} + 0.17$$
(2)
$$B \left(\frac{\text{m}^3}{\text{mol}}\right) = (-1636.75 + 12.0408\text{SST} - 3.27957)$$

$$\times 10^{-2} \text{SS}T^2 + 3.16528 \times 10^{-5} \text{SS}T^3) \times 10^{-6}$$
(3)

$$\delta \left(\frac{\mathrm{m}^3}{\mathrm{mol}}\right) = (57.7 - 0.118T_{\mathrm{subskin}}) \times 10^{-6} .$$
 (4)

The partial pressure of atmospheric CO_2 at each grid point was calculated by the following formula [7]:

$$pCO_{2a} = xCO_2 \left[P_{eq} - VP \left(H_2 O \right) \right]$$
(5)

where xCO_2 is the dry air mixing ratio of atmospheric CO₂. The relevant data were collected from the United States National Oceanic and Atmospheric Administration (NOAA) Earth System Research Laboratories marine boundary layer reference. Additionally, P_{eq} is the pressure at equilibrium, and VP(H₂O) is the steam of seawater at a given temperature [22]

$$VP = 0.61121 \times e^{\left(18.678 - \frac{T_{\text{subskin}}}{234.5}\right) \times \frac{T_{\text{subskin}}}{257.14 + T_{\text{subskin}}}}$$
(6)

where is the T_{subskin} is subskin temperature.

To reduce the computational difficulty and influence of excessively large datasets on neural network learning, we normalized all data by

$$x' = \frac{x - \min\left(x\right)}{\max\left(x\right) - \min\left(x\right)} \tag{7}$$

where *x* is actual value, min(x) is the minimum value of *x*, max(x) is the maximum value of *x*.

Since the Chl-a data in this study did not include relevant records before the SeaWiFS launch in 1997, our study period is between 1998 and 2018. The spatial resolution of all parameter data was $1^{\circ} \times 1^{\circ}$. Longitude (Lon) and latitude (Lat) are in 360° and 180° coordinate systems, and trigonometric conversion functions were used to ensure continuity and normalization.

B. FFNN Construction

The data collected and the corresponding pCO_2 observation data were used as the inputs for CA, and a covariance matrix was constructed using (8) and (9) as follows, to calculate the correlation coefficient, as shown in Fig. 1:

$$\operatorname{Cov} X, Y = E\left[\left(X - u_x\right)\left(Y - u_y\right)\right] \tag{8}$$

$$\rho = \frac{\operatorname{Cov}\left(X,Y\right)}{\beta_x \beta_y}.$$
(9)

Here, *u* is the mean of the value, β is standard deviation of the value, Cov(*X*,*Y*) is the calculated covariance matrix, and ρ is the correlation coefficient. Through CA, the parameters with correlation coefficients >0.1 were used as the input parameters, considering the relevance of chemical effects between SST and *p*CO₂, the SST should be used as input parameter [23]. After correlation analysis, the selected parameters were the SST, SSSA, MLD,CHL, the *u*-component (*U*) of the sea level wind field, and the partial pressure of atmospheric CO₂ (*p*CO_{2a}). The established correlation equations between *p*CO₂ and other parameters are summarized in

$$pCO_2 = f\left(\frac{SST, SSSA, CHL, MLD,}{U, aCO_2, Lon, Lat}\right).$$
(10)



Fig. 1. Correlation coefficient matrix. Each colored box is the correlation coefficient value of the *x*-axis parameter and the *y*-axis parameter. Inside the blue box is pCO_2 correlation coefficient value with another parameter.



Fig. 2. Structure of the FFNN. Abbreviation: DR: Dropout rate.



Fig. 3. *k*-fold cross validation, in this study divided into fourfold, in each fold, 25% data for test and others for training to build the optimal neural network. The yellow shape is test data and blue shape is train data.

The FFNN was used to construct a nonlinear regression model. Although the output data of an FFNN improve and become more accurate as the number of layers and neurons in the FFNN increases, the model's size also depends on the amount of data used for model training. Since the amount of observational data available for the Southern Ocean is significantly less than that for other regions, we constructed a relatively simple FFNN, the neutral network structure of which is shown in Fig. 2, the final model at Step 2 has eight layers (six hidden layers), and the number of each layer's input tensor is marked on the figure. The grey square is the dropout layer, and the dropout rate is 0.5.

The *k*-fold cross validation is used to determine the hyperparameters of the neural network (see Fig. 3). The Southern Ocean data were divided into 25%/75% portions used for testing/training sets. The trained neural network contained eight layers, and the middle layer had three fully connected hidden layers. Simultaneously, to prevent the FFNN from overfitting, we added three dropout layers and gave each layer's dropout ratio 0.5. Through many tests and detailed analyses, the hyperbolic tangent (Tanh) was selected as the activation function of the neuron, and the mean-squared error (MSE) as the loss function

MSE =
$$\frac{1}{N} \sum_{i=1}^{N} (\text{observed}_i - \text{predicted}_i)^2$$
 (11)

where observed_i is the observation data, and predicted_i is the data predicted by the FFNN model using RMSProp as the optimization function [24].

By adjusting the adaptive learning rate ρ , the amount of information obtained was controlled. The CA–FFNN was then formed by combining a factor analysis of the main influencing factors and the FFNN.

C. Computation of Sea–Air CO₂ Fluxes

The formula for calculating the CO_2 flux at the air–sea interface is [25]

$$F = K \cdot \Delta f CO_2 = K \cdot (a_{\text{subskin}} f CO_{2w} - a_{\text{skin}} f CO_{2a})$$
(12)

where *a* is the solubility of CO_2 in seawater (molkg⁻¹ atm⁻¹), calculated by Weiss [21]

$$\ln a = -60.2409 + 93.4517 \left(\frac{100}{T_{\rm subskin}}\right) + 23.3585$$
$$\times \ln \left(\frac{T_{\rm subskin}}{100}\right) + S \times \left[0.023517 - 0.023656 \times \left(\frac{T_{\rm subskin}}{100}\right) + 0.0047036 \times \left(T_{\rm subskin}/100\right)^2\right].$$
(13)

In (12), a_{subskin} is calculated by the subskin temperature, a_{skin} is calculated by the skin temperature. $f \text{CO}_{2w}$ is the fugacity of subskin seawater CO_2 , $f \text{CO}_{2w}$ is the fugacity of subskin seawater CO_2 , $f \text{CO}_{2a}$ is the fugacity of atmospheric CO_2 , and K is the exchange rate, which is usually considered as a function of wind speed [26]

$$K = \Gamma (660/Sc)^{0.5} U^2 \tag{14}$$

Here, Sc is the Schmidt number of CO₂ in seawater at a given T_{subskin} temperature, such that

$$Sc = 2073.1 - 125.62 \times T_{\text{subskin}} + 3.6276 \times T_{\text{subskin}}^2 - 0.043219 \times T_{\text{subskin}}^3$$
(15)

where U is the monthly mean wind speed (m/s) at 10 m height from the cross-calibrated multiplatform ocean surface wind vector analysis product and Γ is the scale factor which was evaluated based on different wind speed products (e.g., 0.39, 0.251, 0.31, etc.) and have been used in other studies [7], [27], [28]. Based on an average wind speed of 6.38 ms⁻¹ in the ECMWF product the scale factor of 0.31 was used to reach a global mean transfer velocity of 16 cm h⁻¹, consistent with the new radiocarbon-based constraints.

D. Evaluation

As limited observational data exist for the Southern Ocean, and the dataset used for validation will be very small, the division of this dataset will result in substantial variance in the RMSE and mean-absolute error (MAE). To ensure reliable



Fig. 4. Fitting of prediction and observation data.

 TABLE I

 COMPARISON OF THE ERRORS OF DIFFERENT ALGORITHMS

RMSE	MAE
8.86	5.01
17.40	11.92
12.24	7.36
	RMSE 8.86 17.40 12.24

model validation, we used 100% of the data for model training, testing, and validation, and to continuously optimize both the neural network model and the internal weight. The final neural network was used to predict the area of the existing observations. The calculated RMSE is 8.86, while MAE is 5.01.

Fig. 4 shows that the predicted values are very close to the observed values and R2 = 0.93. In Table I, SOM-FFNN merged a SOM and FFNN, and the RMSE is 12.24. LSCE-FFNN employed the Laboratory of Climate and Environmental Sciences, and the RMSE is 17.40. We conclude that the CA-FFNN-based models outperform both the SOM–FFNN and LSCE–FFNN.

III. RESULTS AND DISCUSSION

A. Seasonal Variation in Southern Ocean Sea Surface pCO_2

Based on our new data, we find a clear pCO_2 seasonal variation in the Southern Ocean. This observation is highly consistent with the seasonal changes observed in the reconstructed data products of other studies [29]–[31]. The seasonal mean amplitude of surface pCO_2 was 13.02 μ atm; our products have a similar seasonal trend compared with a station-observed actual data in the Southern Ocean [32], the pCO_2 reaching its maximum in winter, and becoming smaller in summer (see Fig. 5), and the seasonal changes of pCO_2 in the Southern Ocean resulted from the combined effects of biological and physical factors [33]. In winter, due to the strengthening of the Southern Ocean wind field, as shown in Fig. 6, the Ekman transport caused by the



Fig. 5. Product data and actual value in SOFS.



Fig. 6. Normalized mean monthly U-component of wind and pCO_2 from 1998–2018.



Fig. 7. Normalized mean monthly CHL and *p*CO₂ from 1998–2018.

wind field also intensifies [34], [35], strengthening upwelling and improving the efficiency of the biological pump.

The transfer of dissolved inorganic carbon from the bottom layer to the surface causes the pCO_2 of the surface layer to increase during this period, with upwelling playing a leading role. As sea ice melts in summer, primary productivity is enhanced, the Chl-a concentration increases, as shown in Fig. 7, and the ability of organisms to consume CO_2 is gradually restored [36], resulting in a decrease in surface CO_2 concentrations. Biological factors dominate this period.

B. Annual Variation in Southern Ocean Sea Surface pCO_2

From the calculated results of the model, the mean pCO_2 of the surface waters of the Southern Ocean increased from 351.88 μ atm in 1998 to 372.65 μ atm in 2018—a total increase of 20.77 μ atm in 21 years and an annual mean increase of 0.99 μ atm(yr)⁻¹. This high growth rate has been maintained, as shown in Fig. 8.



Fig. 8. (a) Monthly and (b) annual variations (μ atm) in the pCO₂ of the Southern Ocean from 1998 to 2018.



Fig. 9. Rate of change in the pCO_2 in $\mu atm(yr)^{-1}$ of the surface Southern Ocean.



Fig. 10. Rate of change in the $\Delta f CO_2$ of the Southern Ocean, carbon sink when $\Delta f CO_2 < 0$, and carbon source when $\Delta f CO_2 > 0$.



Fig. 11. Seasonal and annual variation in the $\Delta f CO_2$ of the Southern Ocean (μ atm). The grey lines are the variations in other years and the colored lines represent the variation for each studied year (1998–2018).

By calculating the rate of change of every grid point in the Southern Ocean, the overall pCO_2 was found to be gradually increasing, as shown in Fig. 9. In terms of its regional distribution, a relatively high growth rate has been maintained from $35-55^{\circ}S$.



Fig. 12. Trends in CO_2 flux of the Southern Ocean from 1998–2018.



Fig. 13. Mean sea surface CO₂ fluxes (PgC) in 1998, 2003, 2006, 2010, 2014, and 2018 in the Southern Ocean.

The overall rate is relatively uniform. Previous studies have also shown that the pCO_2 of the Southern Ocean has maintained a strong growth momentum since 2002 [37], and our model captures this phenomenon well.

C. Variability in Sea-Air CO₂ Flux

Regarding the rate of change of $\Delta f CO_2$ over space, the Southern Ocean is developing into a carbon sink. The red/black dots in Fig. 10 represent $\Delta f CO_2$ regions toward positive/negative trends with high change rate. Based on the pCO_2 distribution of the Southern Ocean since 1998, the inner ring region $(50-70^{\circ}S)$ gradually changed from a carbon source to a carbon sink, while the outer ring $(35-50^{\circ}S)$ has been a carbon sink, and the sinking has become more strengthened. By reconstructing the Southern Ocean, the CA–FFNN-based model was able to fully reproduce the temporal and spatial variations in the CO₂ flux and maintain consistency with other models concerning the evolution of intensity [38]. Using (12) to calculate the CO₂ flux, the Southern Ocean's carbon sink was found to have changed substantially over the past two decades. The absorption of surface CO₂ in the Southern Ocean also displayed prominent



Fig. 14. Mean CO_2 flux of each month in 35–50°S (PgC). The blue columns indicate that the Southern Ocean was a carbon sink.



Fig. 15. Mean CO_2 flux of each month in 50–70°S (PgC). The red columns indicate that the Southern Ocean was a carbon source, and the black columns indicate that it was a carbon sink.

seasonal characteristics, with the weakest absorption at the end of winter and the strongest in early summer (see Fig. 11). In this region, carbon sinks were saturated in the 1990s and restored to their original strengths in the early 21st century [39]. The data products could reconstruct this recovery in intensity and capture seasonal and regional changes in flux.

In terms of interannual changes, the carbon sink of the Southern Ocean increased from $-0.21 \text{ PgC}(\text{yr})^{-1}$ in 1998 to $-1.67 \text{ PgC}(\text{yr})^{-1}$ in 2018.

One standard deviation was used as an indicator of error

$$\sigma_n = \sqrt{\frac{\sum_{i=1}^n (x_i - \bar{x})^2}{n^2}}$$
(16)

where x_i is the actual value, x_i is the mean value of x, n is number of data, and the error range was within $\pm 0.0.087 \text{ PgC}(\text{yr})^{-1}$.

We found that the carbon sinks in this region have strengthened since 2000, except for when their development gradually slowed from 2010 to 2013; since then, they have recovered to their previous strengths. As shown in Fig. 12, this phenomenon was observed across different models [40].

The last period of stagnation occurred in the 1990s and there is much evidence to suggest that the stagnation during this period was closely related to the changes in the southern annular mode (SAM) [41]. However, the modeled stagnation was not strongly correlated with the SAM. Stability during this period was mainly due to the weakening of the carbon sink intensity from 35–50°S.Changes in this region have also been attributed to the barometric asymmetry of the zontal waves 3 (ZW3) model [42]. Due to the lack of observational data, it is difficult for traditional models that rely on observations to capture such large interannual changes.

From the analysis of changes in the regional CO_2 flux, an obvious double-ring structure was observed in the fluxes of the Southern Ocean, as shown in Fig. 13, which is not always a carbon sink. The outer ring is the main carbon sink, at 35–50°S, and undertakes most CO_2 absorption. The outer ring is the main carbon sink, at 35.50°S, and undertakes most CO_2 absorption (Fig 14). In April, May, June, July, August, and September, the region serves as a carbon source, emitting CO_2 into the atmosphere. In October, November, December, January, February, and March, it absorbs CO_2 , as shown in Fig. 15. Based on our analysis of the interannual changes, this area is still a carbon sink.

However, this ring structure is gradually disappearing. Fig. 16 shows that, from 1998 to 2018, the carbon source in the inner ring area was disappearing each year, and the carbon sink in the outer ring was strengthening. As shown in Fig. 13, most Southern Ocean regions become carbon sinking regions, because the $\Delta f CO_2$ in the Southern Ocean decreases significantly since 1998.

IV. CONCLUSION

In this study, we propose a deep-learning-based method for reconstructing pCO_2 data in the Southern Ocean that is generalizable for reconstructing regional data. The procedure is carried out in two steps. First, we collected the parameters that may affect changes in pCO_2 from the literature and experimental data and constructed a covariance matrix for all parameters. The correlation coefficients were then calculated, and the parameters with higher correlations and having an effect on the process change of pCO_2 were retained as the input FFNN in the second step after continuous and iterative calculation and optimization, the final model was constructed and used to reconstruct the pCO_2 data of the Southern Ocean with a monthly temporal resolution and a spatial resolution of $1^{\circ} \times 1^{\circ}$. First of all, we screen the parameters that affected pCO₂ changes according to the environmental characteristics of the Southern Ocean. Second, because the neural network has the advantage of interpolation in sparse regions, we build a new model based on the Southern Ocean's environmental data and neural network methods. Finally, in the Southern Ocean, the models have a better fitting than other models; compared with the measured data, the model maintained a favorable RMSE of 8.86 μ atm.

Analyses of the reconstructed results showed that the surface layer pCO_2 in the Southern Ocean changes seasonally and has increased yearly since 1998, such that the carbon sink is also increasing. The regional changes in flux exhibited a double-ring structure from 35–50°S, which is the main carbon sink area; seasonal carbon sources and sinks alternately appeared south of 50°S. Although our results are consistent with previous studies' results, due to the limited number of observational data in the Southern Ocean, the reconstructed surface pCO_2 products still need continuous validation. With the expanding observational granularity of the Southern Ocean, the algorithm will be further improved.

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