

The authors prepared a new version of the manuscript including corrections and clarifications on a number of issues, as suggested.

1. Despite their efforts my main concern regarding the robustness and clarity of HPE identification remains. The criteria and methodology for HPE identification are described and presented in a somewhat messy and patchy way in the manuscript. Some information is included in the main text. Another short paragraph is included in Supplement, but without much information. It was difficult to reach and combine all this information. The thresholds for O3 are not included, although O3 has been included in the criteria for HPEs. The annual threshold value of 20 $\mu\text{g}/\text{m}^3$ is used for PM10, although the authors assume daily values (50th percentiles) for at least 3 consecutive days and the daily threshold of WHO is 50 $\mu\text{g}/\text{m}^3$. I suggest the authors to gather and include all information and criteria for HPE identification in a section and describe them in a precise way giving also quantitative information when needed. For instance

An HPE was identified when the following criteria were simultaneously fulfilled:

i. Daily Tmax at HK observatory was above 50th percentile of Tmax distribution from June-October over the study period 2009-2011 for at least 3 consecutive days. (which is this value? And comment that it is at the same time above the health risk values found by Chen et al, or Wang et al

ii. 50th of daily PM10 concentration was above (provide threshold) for 3 consecutive days at 50% of the 11 air quality stations at Hong Kong (?)

iii. 50th of daily O3 was above (xxxx...provide a threshold) for 3 consecutive days at 50% of the 11 air quality stations at Hong Kong (?)

Response: Thank you for your suggestions, they are highly appreciated. Section 3 of the supplementary material have been removed and merged with the section 2.2 in the manuscript, and it has been rewritten to reflect your suggestions.

“The concept of hot polluted episodes that refer to an episode with coincident high temperature and air pollution level have been investigated (Chan et al., 2012; Katsouyanni et al., 1993; Ordóñez et al., 2010; Yim, 2020), however, most of the studies have been focused on their compounding impact on health (Chan et al., 2012) or the impact of the excess temperature on air pollution levels (Ordóñez et al.,

2010). Only few studies (Fan et al., 2011; Yim, 2020) have considered the mechanisms responsible for
30 their co-occurrence. While Yim (2020) focused on high temperature and PM_{2.5} pollution in Hong
Kong, this study focused on high temperature and high PM₁₀ and O₃ in the PRD region. Similar to,
Yim (2020), study identified a HPE based on daily maximum temperature, and daily mean of PM₁₀ and
O₃. PM₁₀ was used in this study because of the lack of PM_{2.5} data in the study period which was June
to October in 2009–2011. The study period was selected because these months represent a period in a
35 year with the highest daily maximum temperature, which when combined with days with poor air
quality, forms an HPE.

The HPE identification took into account the methods for the traditional heatwave definition
(occurrence for an extended period and threshold), and health impact study requiring the use of a critical
value (Chan et al., 2012; Wang et al., 2019b). Thresholds for temperature, PM₁₀ and O₃ were set as the
40 mean of 50th percentiles of the variables of all stations, i.e. 31.3 °C, 31 µg/m³ and 24 µg/m³,
respectively. The thresholds represented the middle value of their distributions without the interference
of outliers in the distribution. Hence, a HPE was identified if the following conditions are fulfilled
simultaneously:

The daily maximum temperature of Hong Kong Observatory (HKO) station (22°18'0''N, 114°10'2''E)
45 exceeds the temperature threshold for 3 consecutive days, and

Daily means of PM₁₀ and O₃ exceed their thresholds for 3 consecutive days.

Daily maximum air temperature data was obtained from the HKO station was used for the HPE
identification with three reasons. First, the temperature difference among urban stations was marginal
such that one urban station should be fine to represent the overall temperature of urban areas in Hong
50 Kong. Second, the HKO station is in the downtown of Hong Kong and thus serves as a representative
urban station in Hong Kong. Third, the critical temperature was chosen for the HPE identification
because epidemiological studies have reported the risk of health impact above a critical temperature
(28.4 °C) which is lower than our temperature criteria, meaning that the health impact during our
identified HPEs should be expected to be more adverse. While population is concentrated in urban
55 areas, using the HKO station was considered as adequate in this study.

The daily mean data for O₃ and PM₁₀ used for HPE identification were obtained from 14 air quality stations within Hong Kong. These were operated by the Hong Kong Environmental Protection Department during the study period. Hong Kong air quality stations were used as proxies to identify HPEs in the PRD region because there was insufficient data for the stations in the region during the study period. The PRD regional air quality monitoring network's annual and quarterly report between 2013–2018 showed that air quality in Hong Kong was always better than or similar to the other stations in the region (Anon, 2019)”

2. If the criteria for air pollution are not strict please comment on this and provide an explanation for this decision. Also, a short period was selected for this study (2009-2011) due to lack of available data for a longer period and more recent period. But even in this short period, several assumptions were made due to lack of data in some stations. The limitations of the study should be discussed.

Response: Thank you for your suggestion. A section for the limitations of the study has been added as per your suggestion. A long term study period is beyond the scope of this study because this study was meant to explore and understand the mechanisms responsible for different categories of HPEs, and other studies that are focused on understanding mechanisms and characteristics of HPEs suggest that 3 years is sufficient.

Limitations of the Study: This study was limited by access to more recent air quality emission data; hence the study was conducted for the 2009 - 2011 period. The use of data from only Hong Kong area as a proxy for the region was because of the lack of air quality data from the rest of the study area. Also, as mentioned in section 2.2, PM₁₀ was used in this study because of the inadequacy of PM_{2.5} data in the study period.

Additional comments

3. Although in their response to my question, the authors clarify that relative humidity and wind speed are used only for model simulations and not for HPE identification, in section 2.2 in

Supplement entitled ‘Observational Data for HPE Identification’ wind speed and relative humidity are also included.

85 Response: Thank you for your comment, the section has been rewritten as follows:

“Daily maximum air temperature data was obtained from the HKO station was used for the HPE identification with three reasons. First, the temperature difference among urban stations was marginal such that one urban station should be fine to represent the overall temperature of urban areas in Hong Kong. Second, the HKO station is in the downtown of Hong Kong and thus serves as a representative urban station in Hong Kong. Third, the critical temperature was chosen for the HPE identification because epidemiological studies have reported the risk of health impact above a critical temperature (28.4 °C) which is lower than our temperature criteria, meaning that the health impact during our identified HPEs should be expected to be more adverse. While population is concentrated in urban areas, using the HKO station was considered as adequate in this study.

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95 The daily mean data for O3 and PM10 used for HPE identification were obtained from 14 air quality stations within Hong Kong. These were operated by the Hong Kong Environmental Protection Department during the study period. Hong Kong air quality stations were used as proxies to identify HPEs in the PRD region because there was insufficient data for the stations in the region during the study period. The PRD regional air quality monitoring network's annual and quarterly report between
100 2013–2018 showed that air quality in Hong Kong was always better than or similar to the other stations in the region (Anon, 2019).”

4. In their answer of comment No 20, the authors insist that the model results of RH are lower than the observations and thus Mean Bias is negative. But Table S2a shows the opposite. If indeed model value is lower than the observed value, then Table S2a must be corrected.

105 Response: Thank you for your observation, the correction has been made to Table S2a.

5. Line 247: ...’ because they exhibit the characteristics of an air parcel over time’.. I do not understand, this is really strange. Please explain or provide a complete sentence that makes sense regarding the suitability of potential temperature as indicator in this case.

Response: Thank you for pointing this out, to clarify, the sentence was rewritten as follows:

110 “This was achieved by scrutinizing the daily mid-day height-time series of potential temperatures, which have been found to be a suitable variable for diagnosing differences in boundary layer characteristics because it provides insight into its vertical and thermal structures (Miralles et al., 2014; Ramamurthy et al., 2017).”

Characteristics of surface energy balance and atmospheric circulation during hot-and-polluted episodes and their synergistic relationships with urban heat islands over the Pearl River Delta region

Ifeanyichukwu C. Nduka¹, Chi-Yung Tam², Jianping Guo³, Steve Hung Lam Yim^{1,4,*}

¹Department of Geography and Resource Management, The Chinese University of Hong Kong, Sha Tin, N.T., Hong Kong, China

²Earth System Science Programme, The Chinese University of Hong Kong, Sha Tin, N.T., Hong Kong, China

³State Key Laboratory of Severe Weather, Chinese Academy of Meteorological Sciences, Beijing 100081, China

⁴Stanley Ho Big Data Decision Analytics Research Centre, The Chinese University of Hong Kong, Sha Tin, N.T., Hong Kong, China

Corresponding author: Steve H.L. Yim (yimsteve@gmail.com)

Abstract. This study analyzed the nature, mechanisms and drivers for Hot-and-Polluted episodes (HPEs) in the Pearl River Delta, China. Numerical model simulations were conducted for summer and autumn of 2009–2011. A total of eight HPEs were identified, mainly happening in August and September. K-means clustering was applied to group the HPEs into three clusters based on their characteristics and mechanism. We found three HPEs were driven by weak subsidence and convection induced by approaching tropical cyclones (TC-HPE), two HPEs were controlled by calm conditions (ST-HPE) with low wind speed at the lower atmosphere, whereas the remaining three HPEs were driven by the combination of both aforementioned systems (HY-HPE). Positive synergistic effect between HPE and UHI (~1.1°C increase) was observed in TC-HPE and ST-HPE; whereas no discernible synergistic effect was found in HY-HPE. Total aerosol radiative forcing (TARF) caused a reduction in temperature (0.5–1.0°C) in TC-HPE and ST-HPE, but an increase (0.5°C) in HY-HPE.

1 Introduction

Air pollution and heat waves were identified as major atmospheric environmental disasters (Khafaie et al., 2016; Xia et al., 2018). Air pollution can vary at spatial scales ranging from local to global (Shi et al., 2020; Wang, et al., 2019; Wang, et al., 2019; Yang et al., 2019; Yim et al., 2009; Yim et al., 2014; Yim et al., 2010, 2015). Studies have reported the significant effects of air pollution on human health (Chen et al., 2017; Gu et al., 2018; Liu et al., 2017), ecosystems and biodiversity (Lovett et al., 2009; Nowak et al., 2015; Yim et al., 2019b), and weather and climate (Guo et al., 2016, 2018; Z. Liu et al., 2018; Z. Liu et al., 2019, 2020).

Heat waves are generally defined as extended periods of elevated temperatures across the globe varying in frequency, intensity, and duration. Previous studies have revealed the significant impacts of heat waves on human health and mortality

(Matusick et al., 2018), and natural systems (Unal et al., 2013). More seriously, heat wave events are likely to occur more frequently in future years as a consequence of climate change (Murari & Ghosh, 2019; Silva et al., 2016; Wang et al., 2018). Despite their large spatial heterogeneity, air pollution and heat waves have been shown to share several common underlying meteorological drivers (Founda & Santamouris, 2017; Papanastasiou et al., 2014; Zhang et al., 2017). Although great advances have been made in either air pollution or heat waves, few studies have comprehensively investigated both hot-and-polluted episodes (HPEs) in which extreme temperature and air pollution occurred simultaneously, causing an even more serious impact on human health due to their synergic effect (Pinheiro et al., 2014; Qian et al., 2010; Scortichini et al., 2018). Before this effect can be comprehensively assessed, fully understanding the driving mechanisms underlying the formation and remediation of HPEs is imperative.

The processes responsible for HPE formation and intensity vary case by case (Fan et al., 2011; Katsouyanni et al., 1993; Ordóñez et al., 2010; Yim, 2020). For instance, Yim, (2020) analyzed the atmospheric condition in 3D during these events, and found that HPEs were mostly associated with a reduction in both vertical and horizontal wind velocities. By contrast, (Fan et al., 2011) illustrated that approaching tropical cyclones, which may cause subsidence, weak vertical diffusion, and poor horizontal transport, were the mechanism responsible for the HPEs. To obtain a complete picture of all possible mechanisms of HPEs, a multi-episodic study is therefore warranted.

The surface energy balance, which modified and demarcated turbulent energy fluxes, were well illustrated to influence heat waves (Founda and Santamouris, 2017; Li et al., 2015; Li and Bou-Zeid, 2013; Miralles et al., 2014). For instance, Miralles et al. (2014) found that soil desiccation led to the modification of turbulent heat fluxes through the changes of latent and sensible heat fluxes. Li and Bou-Zeid (2013) and Li et al. (2015) demonstrated the effect of built-up and vegetated surfaces on the demarcation and modification of turbulent energy. However, the interaction between surface characteristics and atmospheric conditions during HPEs, which may exhibit synergies, has yet to be completely understood. The role of surface characteristics in HPE formation and development merits further investigation.

Studies are limited in China and more far in-between in the PRD region. Previous HPE related studies in China has been focused mostly on summertime O₃ mechanisms and characteristics (Gong and Liao, 2019; Lam et al., 2005; Li et al., 2018b; Shu et al., 2020), while others focused on atmospheric drivers for, and interactions between air pollution and mortality. However, other studies analyzed the atmospheric boundary layer characteristics over PRD using measurements and numerical models to identify boundary layer conditions that could result in HPE (S. Fan et al., 2008; S. Fan et al., 2011; Yim, 2020). Thus far, there has been limited research on HPE mechanisms in China, particularly in the Pearl River Delta (PRD) region, which has been rapidly and substantially urbanized in recent years (Li et al., 2016). The urbanization has a significant impact on the regional climate and air quality through modification of the ecosystem, land surface, atmospheric, and energy processes (Mirzaei and Haghighat, 2010; Wang et al., 2019, 2020; Xie et al., 2016; Yim et al., 2019^{ce}; Yu et al., 2014). Mirzaei and Haghighat (2010) identified the ways urbanization modified the surface cover, climate, and energy processes, including the conversion of more surfaces into urban impervious surfaces; alteration of the local winds; humidity, temperature, and precipitation patterns; and changes in demarcation in turbulent energy fluxes within the surface and

boundary layer. Furthermore, PRD is susceptible to events associated with the monsoon and tropical cyclone activities that may cause HPEs (Fan et al., 2011; Li et al., 2018), making the PRD region an ideal location for assessing HPEs.

185 This study identified all the HPEs occurring during 2009–2011, and analyzed their associated thermodynamic and circulation characteristics. Representative episodes were examined for a possible synergistic relationship between the urban/vegetated land covers and the HPE within the PRD region (see SI section 1 and Figure S2 for details in land cover characteristics, and delineation of urban and vegetated surfaces). This is expected to contribute to advancing knowledge regarding the factors responsible for the evolution and sustenance of HPEs as well as the relationship between HPEs and surface characteristics.

190 2 Materials and Methods

2.1 Observations

This study used meteorological and air quality measurements for model validation and HPE identification. Hourly air temperature at 2 m above ground (T_2) for the study was obtained from Hong Kong Observatory (HKO). Hourly mean concentration of coarse particulate matter (PM_{10}) and ozone (O_3) concentrations was obtained from Environmental Protection Department (EPD - <https://cd.epic.epd.gov.hk/EPICDI/air/station/?lang=en>). The hourly data were used for model validation, whereas daily maximum and mean values were calculated based on the hourly data for HPE identification.

2.2 HPE Selection

200 The concept of hot polluted episodes that refer to an episode with coincident high temperature and air pollution level have been investigated (Chan et al., 2012; Katsouyanni et al., 1993; Ordóñez et al., 2010; Yim, 2020), however, most of the studies have been focused on their compounding impact on health (Chan et al., 2012) or the impact of the excess temperature on air pollution levels (Ordóñez et al., 2010). Only few studies (Fan et al., 2011; Yim, 2020) have considered the mechanisms responsible for their co-occurrence. While (Yim, 2020) focused on high temperature and $PM_{2.5}$ pollution in Hong Kong, this study focused on high temperature and high PM_{10} and O_3 in the PRD region. Similar to, Yim (2020), study identified a HPE based on daily maximum temperature, and daily mean of PM_{10} and O_3 . PM_{10} was used in this study because of the lack of $PM_{2.5}$ data in the study period which was June to October in 2009–2011. The study period was selected because these months represent a period in a year with the highest daily maximum temperature, which when combined with days with poor air quality, forms an HPE. More information on the data are discussed in section 2.2 in the supplementary information.

210 The HPE identification process took into account used is a combination of the methods for the traditional heatwave definition (occurrence for an extended period and threshold), and a health impact study requiring the use of a critical value (Chan et al., 2012; Wang et al., 2019b). Thresholds 50th percentiles were selected for temperature, PM_{10} and O_3 as were set as the mean of 50th percentiles of the variables of all stations, the threshold, i.e. 31.3 °C, 31 $\mu\text{g}/\text{m}^3$ and 24 $\mu\text{g}/\text{m}^3$, respectively, because the thresholds represented the middle value of their distribution, without the interference of large outliers in the

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distribution that could be a problem if the mean value was to be used. This ensured that a true statistical midpoint in the distribution of the variables was used as the threshold for the identification of the HPEs. Hence, a HPE was identified if the following conditions are fulfilled simultaneously:

1. The daily maximum temperature of Hong Kong Observatory (HKO) station (22°18'0"N, 114°10'2"E) exceeds the temperature threshold for 3 consecutive days, and
2. Daily means of PM₁₀ and O₃ exceed their thresholds for 3 consecutive days.

Hence, a HPE was identified when the following criteria were simultaneously met:
Daily maximum air temperature data was obtained from the HKO station was used for the HPE identification with three reasons. First, the temperature difference among urban stations was marginal such that one urban station should be fine to represent the overall temperature of urban areas in Hong Kong. Second, the HKO station is in the downtown of Hong Kong and thus serves as a representative urban station in Hong Kong. Third, the critical temperature was chosen for the HPE identification because epidemiological studies have reported the risk of health impact above a critical temperature (28.4 °C) which is lower than our temperature criteria, meaning that the health impact during our identified HPEs should be expected to be more adverse. While population is concentrated in urban areas, using the HKO station was considered as adequate in this study.

The daily mean data for O₃ and PM₁₀ used for HPE identification were obtained from 14 air quality stations within Hong Kong. These were operated by the Hong Kong Environmental Protection Department during the study period. Hong Kong air quality stations were used as proxies to identify HPEs in the PRD region because there was insufficient data for the stations in the region during the study period. The PRD regional air quality monitoring network's annual and quarterly report between 2013–2018 showed that air quality in Hong Kong was always better than or similar to the other stations in the region (Anon, 2019) (Chan et al., 2012; Wang et al., 2019b) 50th percentile for each station for more than 50% of the stations mean exceeds the annual mean threshold (20 µg/m³) (WHO | Air quality guidelines – global update 2005–2020), and was accepted because our identification criteria is based on longer term periods 50th percentile for each station for more than 50% of the stations

The mean O₃ threshold (24.5 µg/m³) could not be compared with the WHO guidelines because only 8 hr mean was listed, more so, WHO argues that it has become increasingly impossible to suggest that no concentration has no health impact, hence we consider the threshold sufficient for the study.

WHO | Air quality guidelines – global update 2005–2020

All identified HPEs corresponded to a significant regional climatic event that past studies (Freychet et al., 2017; Hou et al., 2019; Yim et al., 2019a) have suggested could lead to either an increase in temperature, a deterioration in air quality or both. It is noted that the thresholds derived here and those derived in Yim (2020) were different.

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The concept of hot polluted episodes that refer to an episode with coincident high temperature and air pollution level have been investigated (Chan et al., 2012; Katsouyanni et al., 1993; Ordóñez et al., 2010; Yim, 2020), however, most of the studies have been focused on their compounding impact on health (Chan et al., 2012) or the impact of the excess temperature on air pollution levels (Ordóñez et al., 2010). Only few studies (Fan et al., 2011; Yim, 2020) have considered the mechanisms responsible for their co-occurrence. While (Yim, 2020) focused on high temperature and PM_{2.5} pollution in Hong Kong, this study focused on high temperature and high PM₁₀ and O₃ in the PRD region. Similar to Yim (2020), this study identified a HPE based on daily maximum temperature, and daily mean of PM₁₀ and O₃. PM₁₀ was used in this study because of the lack of PM_{2.5} data in the study period which was June to October in 2009–2011. The time period was selected because these months represent a period in a year with the highest daily maximum temperature, which when combined with days with poor air quality, forms a HPE. More so, Chan et al., (2012) and Wang et al., (2019b) identified 28.2 °C and 29.77 °C as critical temperature for Hong Kong above which the risk of heat related illnesses increases. T₂₅, O₃ and PM₁₀ thresholds were first defined as their 50th percentiles at each station in the study period. The maximum temperature data at Hong Kong Observatory (<https://www.hko.gov.hk/en/cis/stn.htm>)—HKO weather station (latitude: 22°18'07"; longitude: 114°10'27") was used for the HPE identification with three reasons. First, the temperature difference among urban stations was marginal. Second, the HKO station is located in the downtown of Hong Kong and thus serves as a representative urban station in Hong Kong. Third, the critical temperature was chosen for the HPE identification because medical studies have reported the risk of health impact above the critical temperature. While population is concentrated in urban areas, using the HKO station was considered as adequate in this study. A total of 14 air quality stations for the PM₁₀ and O₃ were used for the HPE identification. The justifications for the threshold is presented in section 3 of SI. A HPE was identified when, daily maximum temperature on each day exceeded its threshold for at least three consecutive days, and daily mean O₃ and PM₁₀ levels on the same days exceeded their threshold values at more than 50% of all air quality stations. All identified HPEs corresponded to a significant regional climatic event that past studies (Freychet et al., 2017; Hou et al., 2019; Yim et al., 2019a) have suggested could lead to either an increase in temperature, a deterioration in air quality or both. It is noted that the thresholds derived here and those derived in Yim (2020) were different. It is because this model study was designed to combine the methods for the traditional heatwave definition (occurrence for an extended period) and health impact study requiring the use of a critical value.

2.3 Model Description and Setup

This study employed Weather Research and Forecasting (Skamarock and Klemp, 2008) with Chemistry (WRF-Chem) version 3.7.1 (Grell et al., 2005), which is a nonhydrostatic, mesoscale numerical model coupling both meteorology and chemistry. This model downscaled the meteorology and air quality in three domains at a downscaling ratio of 3 (Figure S1a in the SI): domain 1 (D1; 27 km) covering the whole of China, domain 2 (D2; 9 km) covering southern China, and domain 3 (D3; 3 km) covering the PRD region. The detailed model configuration is provided in Section 1 in SI. The initial condition data used was provided by NCEP Final Analysis (https://rda.ucar.edu/datasets/ds083.2/#metadata/detailed.html?_do=y) with

280 a $1^\circ \times 1^\circ$ resolution, while the boundary condition was updated every 6 hours from FNL data. The emissions data for Hong Kong were provided by the Hong Kong Environmental Protection Department (HKEPD), whereas the emissions within PRD except HK were provided by Zheng et al (2009). The emissions outside the PRD region were based on the INTEX-B 2006 regional emission inventory (Zhang et al., 2009). Biogenic emissions were based on Guenther et al (2006), whereas shipping emissions were based on Streets et al (2003).

285 We performed a series of WRF-Chem simulations for each HPE. The performance of the model was evaluated against observations, which was detailed in Section 2.2 of SI. For each HPE, two sets of WRF-Chem simulations were conducted with a 2-day spin-up period. Two additional days were included before and after the HPEs in each simulation run. This setting was used to identify and calculate variations in the variables before, during, and after HPEs. The first set of simulations turned on the aerosol–radiation feedback option (CTRL) while the second turned off the option (NOFB). The difference between the two sets of simulations was attributable to the effect of aerosols on radiation fluxes during an HPE. 290 The model results for all the CTRL episodic simulations ~~were separated~~ were separated into groups using K-means clustering, and a representative of each group was characterized based on the mechanisms responsible for its formation. The mechanisms of, thermodynamic and circulation patterns of HPEs, and synergistic relationship between HPEs and UHI effect were then discussed in detail.

295 2.4 HPE Clustering

Based on our identification method, eight HPEs were identified (Table 1). To enhance our understanding of atmospheric conditions in each HPE, cluster analysis were performed of meteorological variables (Stefanon et al., 2012; Tan et al., 2019) such as T_2 , Sea Level Pressure (SLP), specific humidity at 2 m, wind components (u, v) at 10 m, incoming solar radiation at the surface, and geopotential height (GPH) at 500 hPa, which could group these variables from different times into clusters 300 having the same meteorological conditions. A modified K-means clustering algorithm (Hartigan and Wong, 1979) function on NCAR command language (NCL) with its center set at random and iterations set at 1,000,000 was applied for all the aforementioned meteorological variables.

3 Results and Discussion

3.1 HPE Identification and Classification

305 **Table 1.** HPEs for the study period. Eight HPEs were identified and classified into three HPE groups: Stagnant (ST); Tropical cyclone (TC), and Hybrid (HY).

HPE	Year	Start		End		No. of days	Group
		Month	Day	Month	Day		
1	2009	8	1	8	3	3	TC

2		8	30	9	10	12	ST
3		9	19	9	21	3	HY
4		9	23	9	26	4	HY
5	2010	8	4	8	7	4	ST
6		8	29	9	1	4	TC
7	2011	8	26	8	30	5	TC
8		9	7	9	10	4	HY

Due to the different durations of HPEs, mean diurnal variations of the variables for the study domain during the three periods (before, during, and after) from the model results were analyzed. The dissimilarity was optimized at three clusters showing the number of groups that the HPEs could be grouped into. The results of the cluster analysis indicate that the HPEs were classified based on their formation and characteristics into: Tropical Cyclone (TC-HPE); Stagnant (ST-HPE); and Hybrid (HY-HPE), and they are discussed below. The weather conditions of the TC-HPE were characterized by lower SLP and GPH but higher T_2 and specific humidity. The TC-HPE typically occurred when a tropical cyclone was approaching the PRD region. A representative episode (TC-HPE_{rep}) occurring from the August 29 to September 1, 2010, was selected to further explain the weather conditions along with weather charts provided by the Hong Kong Observatory (HKO; see Figure S4 in SI). In this episode, the tropical storm LIONROCK passed through the PRD region. Its passage caused stagnation and expansion of the high-pressure system in the lower atmosphere over the north of the region. This led to an increase in T_2 over the region. Mid-day T_2 in Hong Kong rose from 32 °C on August 29 to 34 °C on August 31, which broadly corroborated our previous studies (Yim et al., 2019b) that tropical cyclones within 1,100 km of the region can cause HPEs.

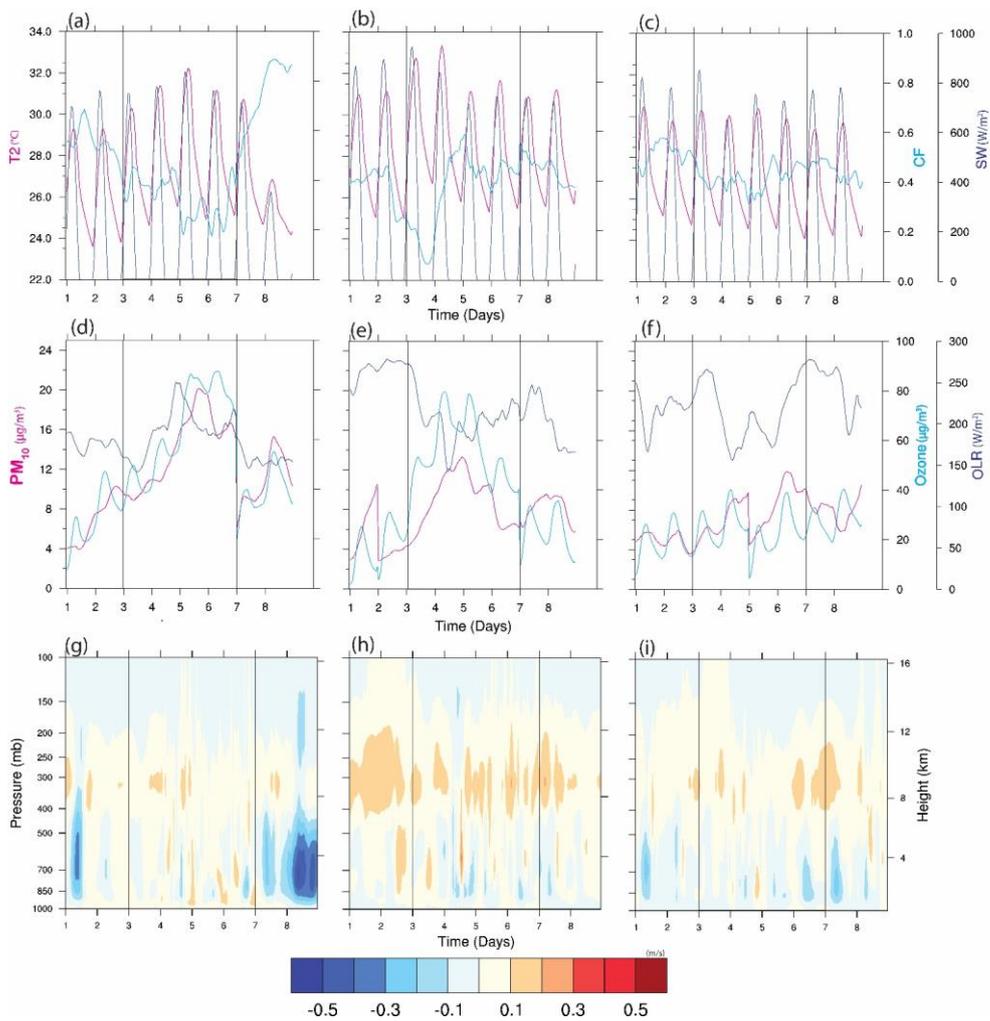
The second group, ST-HPE, was found to be characterized by higher temperature and lower specific humidity in the PRD region, as demonstrated by the representative HPE (ST-HPE_{rep}) occurring from August 4 to 7, 2010 (see Figure S5 in SI). This group represents a slow-moving weather system formed by a low-pressure system covering most of China and the Philippine Sea. This is in contrast to previous studies that have reported a strong association between high-pressure systems and air stagnation. However, when Freychet et al. (2017) assessed the dynamical processes for heatwave formation over Eastern China, they found that a low-pressure system along with northerly flow within the region often led to heat convergence and an extreme high temperature episode. The ST-HPE_{rep} was observed to have a region-wide slow-moving weather condition characterized by a wide low-pressure system that covered most of East Asia for a few days.

The third group, HY-HPE, has a unique profile that was defined by Karremann et al. (2016). This group consisted of more than one dominant synoptic condition during an episode. A representative HY-HPE (HY-HPE_{rep}) occurring from September 7 to 10, 2011, was compared with corresponding HKO charts (see Figure S6 in SI). The result confirmed the co-occurrence of more than one large scale weather system during the HPE. The result of their characterization demonstrated that different

pressure centers, synoptic conditions, or their combination can be juxtaposed during a weather event and that their gradient will determine the weather condition of a region.

335 **3.2 HPE Characterization**

This section mainly analyzes the formation mechanism for each HPE group. Due to the similarities of the members in each group, we discuss the air quality, energy, and circulation characteristics of one representative HPE from each group.



340 Figure 1. The model (CTRL) domain averaged results for air temperature at 2m (T_2 ; magenta), cloud fraction (CF; cyan), and incoming shortwave radiation (blue) at ground level for (a) TC-HPE, (b) ST-HPE, and (c) HY-HPE; PM_{10} (magenta), O_3 (cyan), outgoing longwave radiation (OLR) at the top of the atmosphere (blue) for (d) TC-HPE_{rep}, (e) ST-HPE_{rep}, and (f) HY-HPE_{rep}; Time series of vertical velocity (color shading) for (g) TC-HPE_{rep}, (h) ST-HPE_{rep}, and (i) HY-HPE_{rep}. Positive

vertical velocity means downward motion, whereas negative vertical velocity means upward motion. Black boxes represent the period of HPEs. Days 1 and 2 were before the HPEs; days 3–6 were during the HPEs; and days 7 and 8 were after the HPEs.

3.2.1 TC-HPE

Figure 1a depicts the time series for domain averaged hourly T_2 during the TC-HPE representative HPE. During the TC-HPE_{rep}, T_2 increased on day 3 [onset (~30.2 °C)], reached a peak (~32.7 °C) on day 5, and decreased on day 7 (~30.8 °C).

Figure 1g shows the height-time cross-section of vertical velocity. Positive vertical velocity means downward motion, whereas negative vertical velocity means upward motion. In the lower atmosphere, the positive and even relatively small negative vertical velocity values during the TC-HPE_{rep} indicate a weak subsidence of air masses resulting from an approaching tropical cyclone (Luo et al., 2018; Yim et al., 2019a). As shown in Figure 1a, the cloud fraction was maintained at approximately 0.40 at the onset of the TC-HPE_{rep} and reduced to 0.20 at 08:00 on day 5. The reduction in cloud fraction was due to weak convection. These clear sky conditions caused a significant increase in incoming shortwave radiation, leading to a remarkable increase in T_2 due to greater direct exposure to solar radiation at the surface. Figure 1d shows that the outgoing longwave radiation (OLR) also increased up to 250 W/m² at 08:00 on day 5. The situation changed by the end of day 6 due to the increased upward motion, as indicated by the large negative vertical velocity shown in Figure 1g. A greater number of convective activities led to an increase in cloud fraction (up to 0.30) and thus a reduction in SW radiation. Consequently, T_2 decreased, signaling the end of the HPE.

During TC-HPE_{rep}, the weak vertical motions led to an accumulation of PM₁₀, as shown in Figure 1d. The PM₁₀ concentration rose from approximately 10 µg/m³ on day 3 to >24 µg/m³ on day 5. This change can be attributed to the northerly wind during the episode, as shown in Figure S7a in SI. Enhanced northerly wind has been found to significantly enhance transboundary air pollution in the region (Hou et al., 2019; Luo et al., 2018; Tong et al., 2018b; Yim et al., 2019a).

During the TC-HPE_{rep}, O₃ accumulation also occurred. The increase in insolation due to lower cloud fraction and accumulation of pollutants, some of which are precursors of O₃ formation, led to the increase in mid-day O₃ concentration from approximately 60 µg/m³ on day 3 to approximately 90 µg/m³ on day 6. The result also demonstrated that the diurnal variation in O₃ concentration was maintained but the mean concentration increased significantly as the TC-HPE_{rep} got hotter and more polluted before falling at the end of the episode.

3.2.2 ST-HPE

Figure 1b depicts the evolution of the ST-HPE_{rep}. T_2 increased on day 3 [onset (~32.7 °C)], reached a peak (~33.3 °C) on day 4 and then decreased until the end of day 6 (~32.1 °C). The ST-HPE_{rep} was distinguished by a 5 m/s wind speed at the lower atmosphere from day 1 to 4, as shown in Figure S7b in SI. The wind speed reduced to approximately 2 m/s on day 3, which led to an intense accumulation of heat and a 1.7 °C increase in T_2 . The subsequent increase in wind speed after day 4 (>5 m/s) coincided with the decrease in T_2 until the end of day 6, which marked the end of this episode. Vertical movement

during this event, as shown in Figure 1h, ranged from -0.1 to 0.2 m/s. The strong subsidence observed on days 2 and 3 in the mid/lower atmosphere contributed to the stable atmosphere because the cloud fraction (shown in Figure 1b) was lower (~ 0.20 on day 2, whereas ≤ 0.1 on day 3). On day 4, the convective motions (-0.1 m/s) contributed to a steady increase in cloud fraction to 0.5. Consequently, the increase in cloud cover cut off insolation (down to approximately 850 W/m² on day 4 and approximately 680 W/m² on day 5, as shown in Figure 1b). However, the cloud could retain most of the heat on day 4 as the OLR displayed in Figure 1e decreased from 210 W/m² on day 3 to 165 W/m² on day 4, while the T_2 increased by 0.6 °C. T_2 reduced thereafter by 2.3 °C due to the amount of persistent high cloud, which blocked incoming shortwave radiation and cut off the source of heat. This episode persisted until the end of the ST-HPE_{rep} (day 6).

The calm wind condition also contributed to the deterioration in air quality, as shown in Figure 1e. The increase in the concentration of PM₁₀ to 20 µg/m³ from days 4 to 6 was accentuated by the change in wind direction to north/northeast, as shown in Figure S7e in SI. This result was consistent with a number of findings (Hou et al., 2019; Luo et al., 2018b; Tong et al., 2018b, 2018a; Yim et al., 2019b) showing that a northerly wind is usually associated with air pollution in the region as a result of transboundary air pollution. The increase in O₃ concentration displayed in Figure 1e is attributable to the increase in precursors and the amount of incoming shortwave radiation available. The diurnal variation in the time series of O₃ is also indicative of this cumulative trend.

3.2.3 HY-HPE

Compared with the other two groups, HY-HPE did not show an obvious increase in daily T_2 during the episode. As shown in Figure 1c, the HY-HPE_{rep} (days 3–6) had a mean daily maximum T_2 of approximately 30.0 °C with a variation of only ± 0.3 °C. The HY-HPE_{rep} showed a relatively large change in horizontal wind speed at the lower troposphere (Figure S7c in SI) from <5 m/s on days 1 to 3 to a higher wind speed (≥ 8 m/s) from days 4 to 8. Similar to the other two groups, Figure 1i shows a weak subsidence in this episode due to weak vertical velocity (from -0.2 m/s to 0.2 m/s), which was accompanied by weak downward motion (except on day 5). The increased horizontal wind speed from day 4 contributed to the temperature regime of the HY-HPE_{rep} by offsetting the heat buildup due to the weak vertical motion. This led to marginal variations in the diurnal temperature between pre-, mid-, and post-HPE days.

The changes in air quality during this episode were influenced primarily by the horizontal wind direction and speed. This is exemplified by the effect of the prevailing wind speed and direction on the relatively lower concentration of PM₁₀ (about 15 µg/m³ at its peak; see Figure S7i&f in SI). The prevailing easterly wind suggests a marginal effect of transboundary air pollution in HY-HPE; the increase in air pollutant level was thus due to local emissions. The subsequent increase in wind speed resulted in a dispersion and reduction in the PM₁₀ concentration. However, as the wind direction switched to the north (day 6), PM₁₀ concentration began to rise due to increases in transboundary air pollution. Changes in O₃ concentration followed the same pattern due to the availability of precursors and the influence of wind speed and direction. Consequently, HY-HPE was unable to accumulate heat, PM₁₀, and O₃ concentration despite the weak convection.

3.3 Synergistic Relationship

We examined the synergistic relationship between UHIs and HPEs during these episodes. This was achieved by scrutinizing the daily mid-day height-time series of potential temperatures, which have been found to be a suitable variable for diagnosing differences in boundary layer characteristics because it provides insight into its vertical and thermal structures~~This was achieved by scrutinizing the daily mid-day height time series of potential temperatures, which have been found to be a suitable indicator for heatwave accumulation and structure because they exhibit the characteristics of an air parcel over time~~ (Miralles et al., 2014; Ramamurthy et al., 2017). The effects of land cover on the evolution and sustenance of the HPE were analyzed by examining UHI intensities during the HPEs. The UHI intensities were quantified as the difference between the average urban and rural grids (as shown in Figure S2). The rural grids are the average of all the vegetated land use land cover categorizations shown in Figure S2. Quantification of potential temperature, sensible and latent heat fluxes were also carried out using the same method. The effect of the air quality on the HPEs was also examined, largely through analyzing the effect of total aerosol radiative forcing (TARF).

3.3.1 TC-HPE

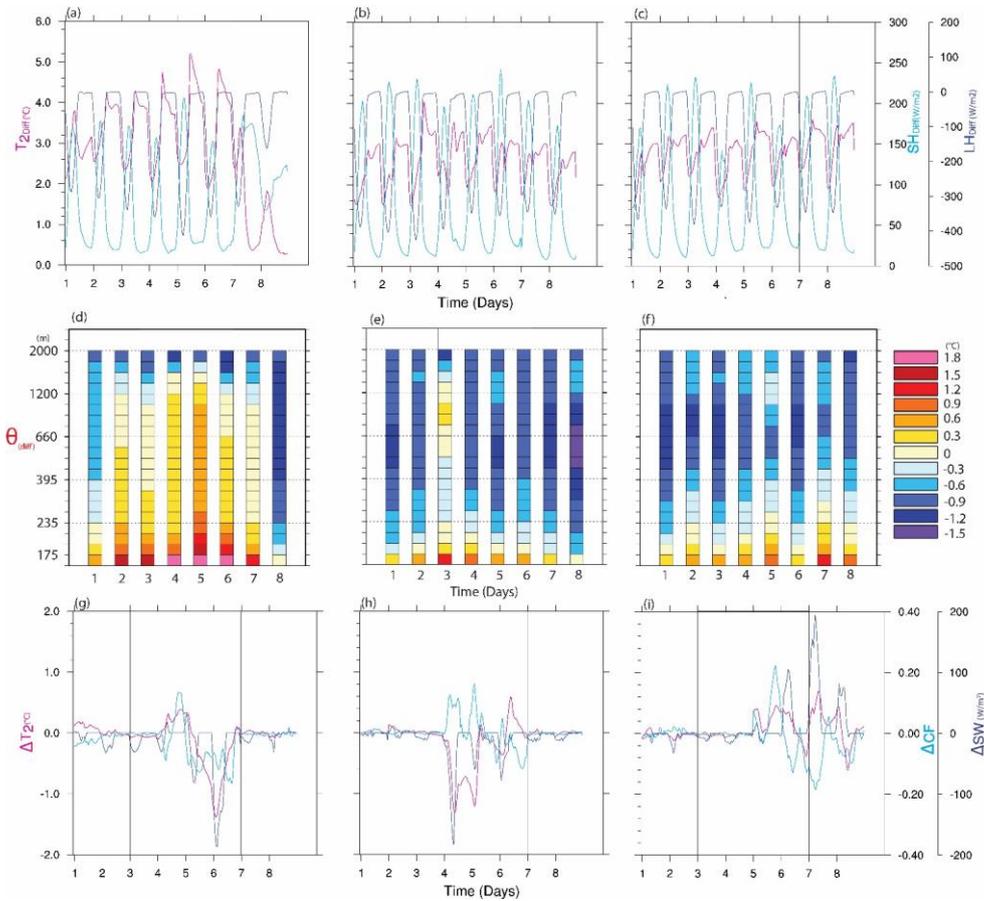


Figure 2. The model (CTRL) domain averaged results showing (a-c) Difference of T_2 ($T_{2(diff)}$), sensible heat SH (SH_{diff}), and latent heat LH (LH_{diff}) between urban and vegetated grids for TC-HPE_{rep}, ST-HPE_{rep}, and HY-HPE_{rep}; (d-f) Vertical profile of potential temperature difference θ (θ_{diff}) for TC-HPE_{rep}, ST-HPE_{rep}, and HY-HPE_{rep} at mid-day for the PRD region; (g-i) the changes of T_2 (ΔT_2), CF (ΔCF), and incoming shortwave radiation SW (ΔSW) at the surface induced by total aerosol radiative forcing for TC-HPE_{rep}, ST-HPE_{rep}, and HY-HPE_{rep}.

425

Figure 2a shows the T_2 difference between urban and vegetated areas during TC-HPE_{rep}. The results indicate a remarkable
430 4.2 °C to 5.5 °C difference in T_2 between the two types of land cover due to the UHI effect during the HPE, while the pre-
and post- HPE UHI effect had a lower range of 2.2 °C to 4.2 °C indicating the contribution of the HPE to the UHI effect .
Figure 2d depicts the difference between the potential temperature over urban and vegetated land covers in the PRD region
at mid-day. The temporal distribution in potential temperature shows an increasing trend in the lower atmosphere (≥ 1.8 °C
435 from days 4 to 6) and upward expansion in height for warm air beyond 1.2 km (0.3 °C on day 5). Persistent daily heating
from incoming solar radiation provided energy that precipitated a rise in temperature, thereby entrapping and accumulating
heat during the TC-HPE_{rep}. For the TC -HPE_{rep}, the T_2 difference ranged from 0.5 °C to >1.5 °C, showing that TC-HPE
provided extra heat to the surface which enabled the urban areas to warm up to a greater extent than normal. This result
indicates that the UHI effect was enhanced during the TC-HPE.

The effect of surface moisture availability, surface energy retention, and transfer for both urban and vegetated surfaces was
440 investigated by analyzing latent and sensible heat fluxes (Figure 2a). The largest absolute latent heat difference between the
two types of land cover was between 350 and 400 W/m². This illustrates the impact of the limited vegetation in the city. This
is buttressed by the 130–200 W/m² difference, respectively in the amount of sensible heat for both types of land cover.
Although both the latent and sensible heat fluxes shared similar incoming shortwave radiation, the continued increase in the
temperature can be attributed to the continued desiccation of the urban areas, leading to faster buildup of heat and increase in
445 temperature, even as the cloud cover continued to decrease until day 6, marking the end of the episode.

TARF caused an initial increase in T_2 but then a significant reduction in T_2 (>1.0 °C) on day 6 when the PM₁₀ increased to a
peak. Figure 1d and Figure 2g show that when PM₁₀ was increased but below 10 µg/m³, the TARF caused a reduction in
cloud fraction and thus an increase in T_2 . The reduction in cloud fraction due to TARF may be due to the aerosol-cloud
interaction in which aerosols served as cloud condensation nuclei and thus more cloud droplets were formed with a smaller
450 radius, and the cloud fraction hence decreased (Liu et al., 2020). Nevertheless, when the PM₁₀ level exceeded 10 µg/m³, the
aerosol-radiation interaction (aerosol scattering and absorption) may become dominant, causing a reduction in amount of
solar radiation reaching to the ground level due to the blockage effect of aerosols and thus temperature reduced.

3.3.2 ST-HPE

Figure 2b shows the difference in T_2 between the two land covers in the ST-HPE_{rep}. The T_2 in urban areas was higher by a
455 range of approximately 3.0 °C–4.1 °C during the ST-HPE_{rep}. There was also approximately 0.2 °C to 1.0 °C difference in T_2
between the ST-HPE_{rep} period and its pre/post periods. Figure 2e shows that heat accumulated at the onset of ST-HPE_{rep}
began to decay during the episode. The heat accumulation led to a maximum difference of about 1.5 °C on day 3, which was
the first day of the ST-HPE_{rep} and the day with the highest incoming solar radiation and lowest cloud cover. This contrasts
with the pre/post periods which had a minimal difference in their cloud fraction during the episode, hence highlighting the
460 importance of incoming solar radiation to the HPE. The sensible and latent heat fluxes shown Figure 2b indicate that the heat
buildup for this episode started before the onset of this HPE, as the continuously increased (decreased) for sensible (latent)

heat. However, the changes in the cloud fraction from day 4 and 5, led to the retention of the accumulated heat, and subsequent attenuation of temperature, sensible and latent heat differences. The potential temperature difference also shows a positive synergy during the ST-HPE_{rep} by maintaining a positive difference throughout the episode, even though it progressively weakened over time. These results indicate that the UHI effect was accentuated during the ST-HPE_{rep}, leading to a larger temperature difference between urban and vegetated surfaces.

The results of the effect of TARF on T_2 , SW_{in} , and CF for ST-HPE indicate that TARF caused marginal changes during the pre- and post-ST-HPE periods (Figure 2h). Like the TC-HPE_{rep}, the TARF effect led to a reduction in approximately 1.5°C when the PM_{10} reached a peak on days 4 and 5. The cloud fraction (Figure 1b) also increased significantly during this period, thus contributing to the decrease in T_2 . As explained in the TC-HPE_{rep}, the reduction in T_2 could be mainly due to effect of aerosol–radiation interaction. The TARF effect on T_2 by day 6 led to a 0.5 °C increase: this was due to the slight increase of PM_{10} concentration (the total level was lower than 8 $\mu\text{g}/\text{m}^3$) on that day that reduced the cloud fraction.

3.3.3 HY-HPE

HP-HPE_{rep} did not show any significant difference in UHI intensity between the pre-, mid-, and post-HPE periods. Figure 2c shows a similar magnitude (3.0–3.5 °C) during, pre- and post-HPE periods. The daily variation did not display any obvious signs of heat retention in the atmosphere, indicating that there was no heat accumulation during this episode. The potential temperature shown in Figure 1c indicates that heat generated from heating the surface by the incoming solar radiation could not be entrained due to its increased wind speed and weak vertical motions, thereby making it difficult to accumulate heat; an observed pre-requisite for HPE and UHI synergistic effect. There was therefore no synergistic relationship between UHI and HPE during the HY-HPE.

The effect of TARF on T_2 and OLR in the HY-HPE_{rep}, as displayed in Figure 2i shows a variation of –0.5 °C to 0.5 °C in temperature across the pre-, mid-, and post-HPE periods. The pre-HPE period shows marginal changes for CF, SW_{in} , and T_2 ; however, variations began to be apparent from day 5. For instance, on the afternoon of day 5, the PM_{10} started to increase and reached a peak early on day 6. The cloud fraction increased in response to the increase in PM_{10} , as did SW_{in} and then T_2 . These changes became marginal late on day 6. Nevertheless, PM_{10} still maintained a relatively high level and the cloud fraction reduced once more, allowing more solar radiation to reach the ground causing an increase in T_2 .

4 Conclusions

In this study, eight HPEs during 2009–2011 were identified. We found that TC-HPE was influenced by incoming solar radiation and subsidence, ST-HPE influenced by low wind speed and reduction in cloud cover; while HY-HPE was influenced by weak vertical transport, and increased wind speed. Consequently, TC-HPE and ST-HPE had a positive synergetic relationship (~1.1 °C) between UHI and HPE because their characteristic meteorological conditions (weak subsidence, low wind speeds and reduced cloud cover) accentuated insolation, heat storage and heat entrainment, while HY-

HPE had no discernable relationship. TARP was found to contribute significantly to the temperature variations during the HPEs, leading to significant cooling effects on the HPEs (0.5–1 °C), except when upward vertical transport prevailed, particularly during the daytime.

This study provided further insight into the nature of HPEs at both regional and local level by analyzing their modes of formation and thermodynamic characteristics, and by investigating the contributions of land use/land cover (LULC) changes to the nature of HPEs. These findings can aid policymakers in redesigning and renewing our urban environments to alleviate the UHI effect, global warming, and air pollution. Especially the impact of aerosol radiative forcing during the HPEs will improve our understanding of the mechanisms responsible for the co-occurrence of unusually high temperature and poor air quality in the PRD region, showing enormous implications for regional climate and health. The next phase of our study will focus on the regional scale implications of the effect of HPEs on human health, the relative contribution of aerosol–radiation and aerosol–cloud interactions, and the combined effect of LULC and aerosols on our climate.

Data availability: The in-situ meteorology data was provided by Hong Kong Observatory at http://www.hko.gov.hk/cis/climat_e.htm (last access: 14 September 2019); while the in-situ air quality data was provided by Hong Kong Environmental Protection Department at <https://cd.epic.epd.gov.hk/EPICDI/air/station/?lang=en> (last access: 14 September 2019).

Limitations of the Study: This study was limited by access to more recent air quality emission data; hence the study was conducted for the 2009 - 2011 period. The use of data from only Hong Kong area as a proxy for the region was because of the lack of air quality data from the rest of the study area. Also, as mentioned in section 2.2, PM₁₀ was used in this study because of the inadequacy of PM_{2.5} data in the study period.

Supplement: The supplement related to this article is attached.

Author contributions: Steve Yim and Ifeanyichukwu C. Nduka designed the study. Ifeanyichukwu C. Nduka did all calculations with support from Steve Yim, Chin-Yung Tam. Ifeanyichukwu C. Nduka wrote the paper with support and editing from Steve Yim, Jianping Guo and Chi-Yung Tam.

Competing interests: The authors declare that they have no conflict of interest.

Disclaimer: The views expressed in this paper are those of the authors and do not necessarily reflect the views or policies of the Hong Kong government or any of its agencies or parastatal.

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(http://www.hko.gov.hk/cis/climat_e.htm) and Hong Kong Environmental Protection Department (<https://cd.epic.epd.gov.hk/EPICDI/air/station/?lang=en>)

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