

1 **‘Warm Cover’- Precursory ‘Strong Signals’ hidden in the Middle**  
2 **Troposphere for Haze Pollution**

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24

25 **Abstract.** Eastern China (EC), located on the downstream region of Tibetan Plateau (TP), is a large area  
26 that has become vulnerable to frequent haze. In addition to air pollutant emissions, meteorological  
27 conditions were a key ‘inducement’ for air pollution episodes. Based on the study of the Great Smog of  
28 London in 1952 and haze pollution in EC over recent decades, it is found that the abnormal ‘warm cover’  
29 (air temperature anomalies) in the middle troposphere, as a precursory ‘strong signal’, could connect to  
30 severe air pollution events. The convection and vertical diffusion in the atmospheric boundary layer (ABL)  
31 were suppressed by a relatively stable structure of ‘warm cover’ in the middle troposphere, leading to the  
32 ABL height decreases, which were favourable for the accumulation of air pollutants in the ambient  
33 atmosphere. The anomalous structure of the troposphere’s “warm cover” not only exist in heavy haze  
34 pollution on the daily scale, but also provide seasonal and interdecadal ‘strong signals’ for frequently  
35 occurring regional haze pollution. It is revealed that a close relationship existed between interannual  
36 variations of the TP’s heat source and the ‘warm cover’ strong-signal in the middle troposphere over EC.  
37 The warming TP could lead to the anomalous ‘warm cover’ in the middle troposphere from the plateau to  
38 the downstream EC region and even the entire East Asian region.

39

## 40 **1 Introduction**

41 In China, mainly over the region east of 100 °E and south of 40 °N (Tie et al., 2009), PM<sub>2.5</sub> (particulate  
42 matter with an aerodynamic diameter equal to or less than 2.5 μm) has become the primary air pollutant in  
43 winter (Wang, et al., 2017). Therefore, in September 2013, the Chinese government launched the China's  
44 first air pollution control action plan-‘The Airborne Pollution Prevention and Control Action Plan  
45 (2013-2017)’ (State Council of the People’s Republic of China, 2013). By 2017, about 64% of China’s  
46 cities are still suffering from air pollution, especially Beijing-Tianjin-Hebei region and surrounding areas  
47 (Wang et al., 2019; Miao et al., 2019). Then, in July 2018, the Chinese government launched the second  
48 three-year action plan for air pollution control, the "blue sky defense plan", which demonstrates China's  
49 firm determination and new measures for air pollution control (State Council of the People’s Republic of  
50 China, 2018). After the implementation of air pollution control action plans, air quality in many regions and  
51 cities in China has been significantly improved.

52 Anthropogenic pollutant emissions and unfavorable meteorological conditions are commonly regarded

53 as two key factors for haze pollution (Ding and Liu, 2014; Yim et al., 2014; Zhang et al., 2015). Air  
54 pollutants mainly come from surface emission sources, and most of air pollutants are injected from the  
55 surface to the atmosphere through the atmospheric boundary layer (ABL) (Quan et al., 2020). The ABL  
56 structures are the key meteorological conditions which influences the formation and maintenance of heavy  
57 air pollution episodes (Wang et al., 2015; Cheng et al., 2016; Wang et al., 2016; Tang et al., 2016; Wang et  
58 al., 2019).

59 Most of the previous studies focused on exploring the impact on the heavy air pollution in Eastern  
60 China (EC) for the meteorological conditions in ABL. However, the thermodynamic and dynamic  
61 structures of free troposphere can affect the meteorological conditions in ABL (Cai et al., 2020). The  
62 convection and diffusion in the ABL are suppressed by a relatively stable structure in the middle  
63 troposphere, leading to the ABL height decreases, which were favourable for the formation and persistence  
64 of heavy air pollution (Quan et al., 2013; Wang et al., 2015; Cai et al., 2020).

65 This study investigated whether the thermodynamic structure of the troposphere and its intensity  
66 changes can be used as a "strong warning signal" for the changes of PM<sub>2.5</sub> concentration in heavy air  
67 pollution, and whether this strong signal exists in the time scales of seasonal, interannual and interdecadal  
68 changes. In order to explore the interaction between the free troposphere and the ABL and the impact on  
69 the heavy air pollution in Eastern China (EC), this study extended the meteorological conditions for heavy  
70 air pollution from the boundary layer to the middle troposphere. We identify a precursory 'strong signals'  
71 hidden in the free troposphere for frequent haze pollution in winter in EC.

72

## 73 **2 Data and methods**

74 The data used in this study included NCEP/NCAR and ERA-Interim reanalysis data of meteorology, as

75 well as data of surface PM<sub>2.5</sub> concentration measurement, air temperature observation and L-band sounding,  
76 as briefly described as follows:

77 The monthly NCEP/NCAR reanalysis data of meteorology with horizontal resolution of 2.5 ° for  
78 1960-2019 were obtained from the U.S. National Center for Environmental Protection (NCEP,  
79 <https://www.esrl.noaa.gov/>).

80 The daily and monthly ERA-Interim reanalysis data of meteorology with horizontal resolution of 0.75 °  
81 were derived from the European Center for Medium-range Weather Forecasts (ECMWF,  
82 <https://www.ecmwf.int/>), including air temperature, geopotential height, humidity, wind field and vertical  
83 velocity, etc.

84 The hourly PM<sub>2.5</sub> concentration data during 2013-2019 were collected from the national air quality  
85 monitoring network operated by the Ministry of Ecology and Environment the People's Republic of China  
86 (<http://www.mee.gov.cn/>). In addition, we categorized air pollution levels with the surface PM<sub>2.5</sub>  
87 concentrations based on the National Ambient Air Quality Standards of China (HJ633-2012) released by  
88 the Ministry of Ecology and Environment in 2012 as shown in Table 1.

89 We also used the monthly air temperature of surface observation data during 1960-2014 from 58  
90 meteorological observation stations in the plateau area with an altitude above 3000 meters, which were  
91 archived from the China Meteorological Information Center (<http://cdc.cma.gov.cn/>).

92 Furthermore, the L-band sounding 'seconds-level' data of the site Beijing from 2010 to 2019 to were  
93 used to calculate the height of ABL (Liu and Liang, 2010). The height of ABL top is characterized by the  
94 L-band sounding observations at 20:00 (local time is used for this paper). The L-band sounding  
95 'seconds-level' data has been undergone the quality control before analysis (Zhu et al., 2018), and  
96 interpolation was implemented in a vertical direction at an interval of 2 hPa. The L-band detection data

97 provided by the Meteorological Observation Network (<http://cdc.cma.gov.cn/>) contains several automatic  
 98 observation meteorological elements with time resolution of 1.2 s and vertical resolution of 8 m. More  
 99 detail information can be found in Li et al. (2009) and Cai et al. (2014).

100 **Table 1. Air pollution degrees categorized with surface PM<sub>2.5</sub> concentrations**

Air pollution degrees	PM <sub>2.5</sub> concentration ranges
‘less-serious’ pollution	$75\mu\text{g}\cdot\text{m}^{-3} < \text{PM}_{2.5} \leq 115\mu\text{g}\cdot\text{m}^{-3}$
‘serious’ pollution	$115\mu\text{g}\cdot\text{m}^{-3} < \text{PM}_{2.5} \leq 150\mu\text{g}\cdot\text{m}^{-3}$
‘more-serious’ pollution	$150\mu\text{g}\cdot\text{m}^{-3} < \text{PM}_{2.5} \leq 250\mu\text{g}\cdot\text{m}^{-3}$
‘most-serious’ pollution	$\text{PM}_{2.5} > 250\mu\text{g}\cdot\text{m}^{-3}$

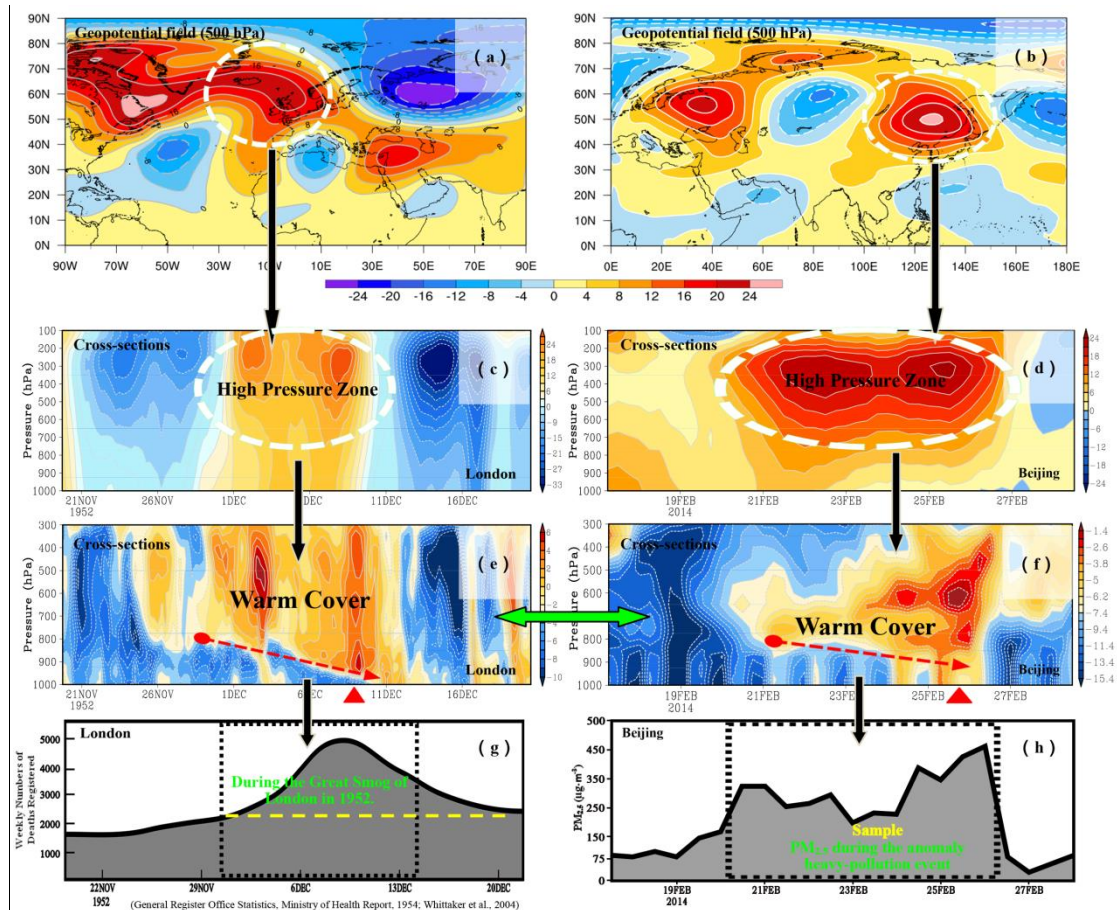
101

### 102 **3 Results**

#### 103 **3.1 A precursory ‘strong signal’ of ‘warm cover’ in the middle troposphere**

104 In February 2014, a rarely persistent air pollution weather process occurred in EC, this process had caused  
 105 severe air pollution in more than 50 cities, with an impact area of 2.07 million square kilometers. In the  
 106 Beijing area during February 20–26, 2014 the regional average PM<sub>2.5</sub> concentration exceed the  
 107 ‘most-serious’ air pollution level, and with a peak value of up to  $456\mu\text{g}\cdot\text{m}^{-3}$ . In addition, the Great Smog of  
 108 London in 1952 was attributed to the long-lasting and heavy haze pollution under the influence of certain  
 109 weather systems (Whittaker et al., 2004). To find the precursory ‘strong signals’ hidden in meteorology for  
 110 heavy air pollution events, we retrieved the three-dimensional atmospheric dynamic and thermal structure  
 111 during December in 1952 as well as February in 2014 by analyzing vertical anomalies of meteorology.  
 112 There were high-pressure systems moved to London as well as Beijing and stagnated over the area at  
 113 500 hPa geopotential height anomalies, as shown in Figs. 1a and 1b. Prior to the heavy-pollution events,  
 114 a high-pressure system over London as well as Beijing gradually strengthened (Figs. 1c and 1d), and the  
 115 middle troposphere was characterized by a ‘warm cover’, i.e. a ‘upper warming and bottom cooling’  
 116 anomalies in vertical structure of air temperature (Figs. 1e and 1f).

117 By comparing Fig. 1a and Fig. 1b, we found that two persistent heavy air pollution events occurred  
118 during the maintenance stage of stable high pressure system. During stagnation of the blocking high  
119 pressure system, the strength of the center of the geopotential height anomalies in the stable maintenance  
120 region of the blocking exhibited a synchronous response to the ‘warm cover’ above areas (Figs. 1c–1f). It  
121 can be seen that the local atmospheric thermal structure is significantly modulated by the persistent  
122 large-scale anomalous circulation. The ‘subsidence (temperature) inversion’ effect of the blocking high  
123 pressure system continuously strengthened the ‘warm cover’ structure in the middle troposphere, which  
124 suppressed the vertical diffusion capacity in the atmosphere (Cai et al., 2020). Moreover, it was obvious  
125 that ‘strong signals’ arising from the thick ‘warm cover’ persisted during the abnormal air-pollution episode  
126 during December 5–9, 1952 in London as well as February 21–26, 2014 in Beijing. It is worth pointing out  
127 that the bottom edge of ‘warm cover’ in the free troposphere declined day-by-day. During the heavy  
128 pollution incident, the ‘warm cover’ dropped to 900 hPa (Figs. 1g and 1h). The above analysis shows that  
129 in the ABL over London during December 5–9, 1952 and Beijing during February 21–26, 2014, the  
130 inversion layer height decreased, which made the ABL structure stable for accumulation of air pollutants.  
131 The deep ‘warm cover’ structures in the middle troposphere acted as a precursory ‘strong signal’ of the  
132 Great Smog of London and Beijing’s heavy air pollution.

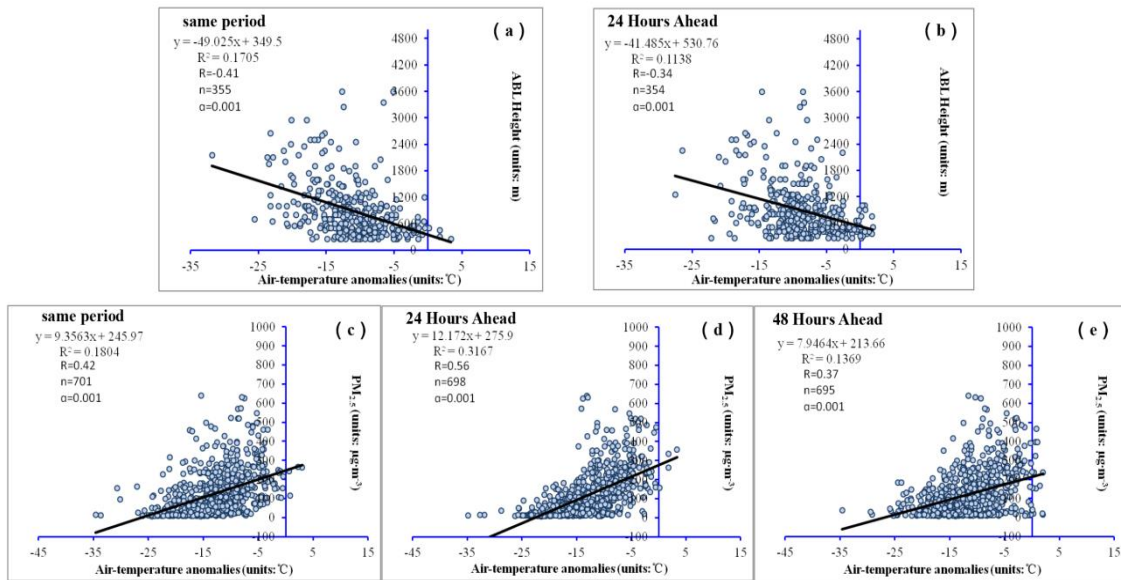


133  
 134 **Figure 1.** Dynamical and thermodynamical structures and air pollution variations: (a) geopotential height anomalies (unit:  
 135 dagpm) at 500 hPa during December 5-9, 1952 for the Great Smog of London, (b) the same as (a) but during February 21-26,  
 136 2014. Time-vertical cross-sections of (c) the geopotential height anomalies (unit: dagpm) in the high pressure area (50-70 °N;  
 137 20 °W -10 °E) during November 20 to December 20, 1952, (d) the same as (c) but in the high pressure area (40-63 °N;  
 138 115-138 °E) during February 17-28, 2014. (e) Time-vertical cross-sections of air temperature anomalies (unit: °C) over  
 139 London (the Red dotted arrow shows the bottom edge of the ‘warm cover’ during the Great Smog in London) during  
 140 November 20 to December 20, 1952, (f) the same as (e) but during the heavy pollution in February 2014 over Beijing. (g)  
 141 Weekly death rate in London prior to, during and after the 1952 pollution episode (General Register Office Statistics,  
 142 Ministry of Health Report, 1954; Whittaker et al., 2004). (h) The variation of surface PM<sub>2.5</sub> concentrations (units: μg·m<sup>-3</sup>)  
 143 during the heavy pollution in February 2014 over Beijing.

144  
 145 **3.2 Effect of ‘Warm Cover’ in the free troposphere on ABL and surface PM<sub>2.5</sub> variations**

146 During five heavy air pollution episodes over Beijing in December 2015 and 2016 the vertical structures of  
 147 air temperature anomalies presented the ‘warm cover’ structure in the free troposphere (see Fig. S1).

148 During winter 2014–2017, Figs. 2a and 2b demonstrated the significant negative correlations passing 0.001  
 149 confidence degree between the height of the ABL and air temperature anomalies over same period and 24  
 150 hours ahead in Beijing, reflecting that the ‘warm cover’ structure hidden in the middle troposphere with  
 151 significant ‘strong-signal’ features is of persistent premonitory significance for the heavy pollution  
 152 episodes. Figs. 2c–2e presented the significant positive correlation passing 0.001 confidence degree  
 153 between  $PM_{2.5}$  concentrations and air temperature anomalies over same period and 24, 48 hours ahead in  
 154 Beijing. Based on the above mentioned results, air temperature anomalies over 24 and 48 hours ahead  
 155 could also be reflected that ‘warm cover’ hidden in the middle troposphere could be regarded as the  
 156 precursory ‘strong-signal’ for air pollution change. Furthermore, such a ‘stable’ structure also restricted  
 157 the transport of moist air from the lower to the middle troposphere for forming secondary aerosols, which  
 158 could dominate  $PM_{2.5}$  concentrations in air pollution over China (Huang et al., 2014; Tan et al., 2015).



159  
 160 **Figure 2.** (a) The correlations between ABL height and air temperature anomalies, at 800 hPa. (b) 24 hours ahead at 650 hPa  
 161 in Beijing during winter 2014–2017. The correlations between  $PM_{2.5}$  concentration and air temperature anomalies, (c) at 850  
 162 hPa; (d) 24 hours ahead, at 800 hPa; (e) 48 hours ahead, at 724 hPa in Beijing during winter 2014–2017.

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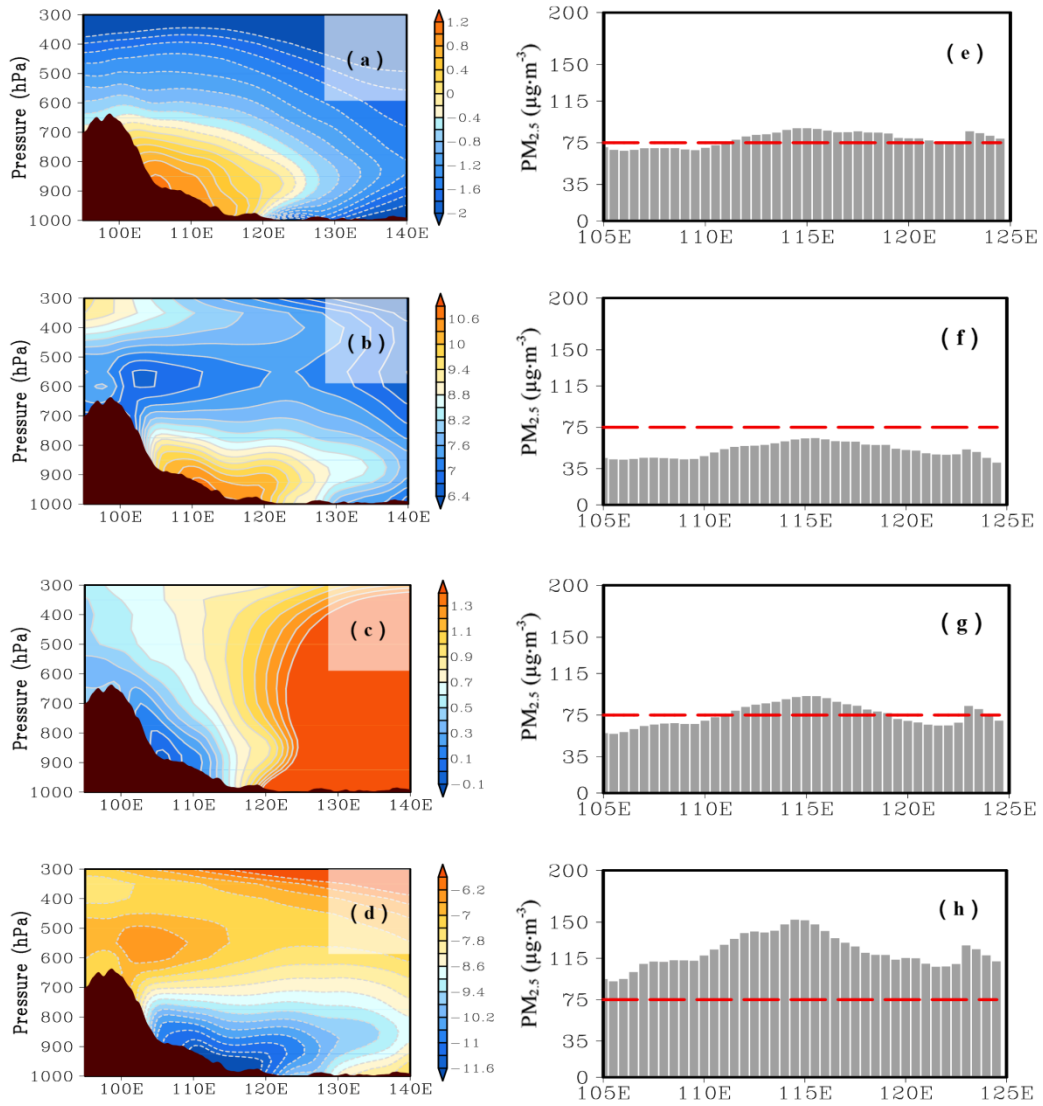
### 164 3.3 Changes of the ‘warm cover’ structure in the middle troposphere

165 The ‘warm cover’ structure of air temperature anomalies in the middle troposphere indicated the  
166 intensification of heavy air pollution. The ‘warm cover’ structure is a precursory ‘strong signal’ for the  
167 frequent occurrence of regional haze events. The air pollution in EC exhibited the significant seasonal  
168 variations. Our study revealed that existed seasonal differences of the thermal structures in the atmosphere  
169 over EC. In spring (Figs. 3a and 3e) and summer (Figs. 3b and 3f), the middle troposphere was  
170 characterized by a ‘upper cooling and bottom warming’ vertical structure for less air pollution. When the  
171 autumn (Figs. 3c and 3g) and winter (Figs. 3d and 3h) arrived, the middle troposphere was characterized by  
172 a ‘upper warming and bottom cooling’ vertical structure, which intensified the air pollution. In autumn,  
173 atmospheric thermal structure over EC was marked with a transition between summer and winter (Fig. 3c).  
174 The atmosphere condition reversed in winter, a large-scale anomalous air temperature pattern of ‘upper  
175 warming and bottom cooling’ in the middle troposphere appeared from the plateau to downstream EC  
176 region and even the entire East Asian region (Fig. 3d). The structure of ‘warm cover’ in winter was much  
177 stronger than that in autumn, and its height of the former was much lower than that of the latter. Therefore,  
178 the intensity of air pollution over EC during winter is significantly higher than other seasons (Fig. 3h).

179 From the perspective of interdecadal variations, our study revealed a close relationship between the  
180 frequent occurrence of haze events in EC and the atmospheric thermal structure in the eastern Tibetan  
181 Plateau (TP). Furthermore, the thermal structures of the troposphere exhibited the distinct interdecadal  
182 variations (Figs. 4a-4c). A cooling structure was identified in the wintertime air temperature anomalies over  
183 the east region of TP during 1961–1980 (Fig. 4a); the upper level of the eastern TP during 1981–2000  
184 showed a ‘upper cooling and bottom warming’ vertical structure (Fig. 4b). The interdecadal changes of  
185 vertical structure reversed during 2001–2018 with a significant ‘warm cover’ (Fig. 4c). The years of 2001–  
186 2018 witnessed the highest frequency of haze days (Fig. 4f), and 1981–2000 saw a middle-level occurrence

187 of haze days (Fig. 4e), while the lowest frequency of haze days occurred during 1961–1980 (Fig. 4d).

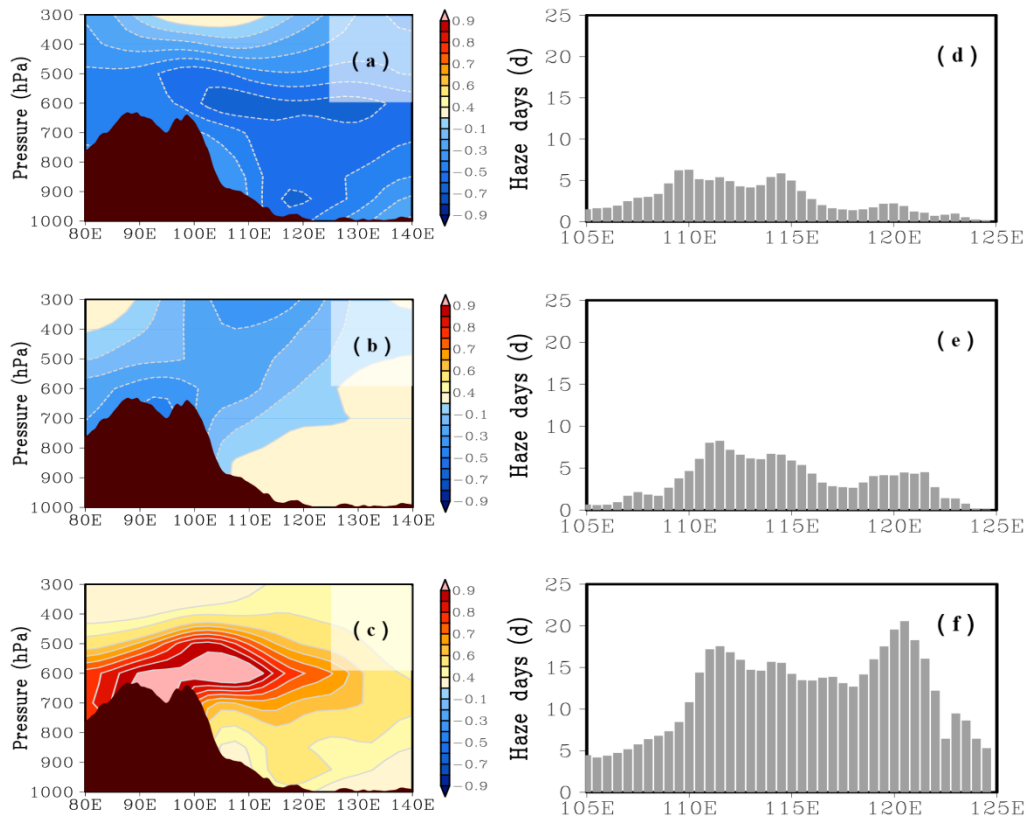
188       The concept of interdecadal variations of the tropospheric ‘warm cover’ has been proposed in this  
189 work. Under the background of climate change, it is worth considering whether the variational tendency of  
190 the structure of the plateau’s heat source induces variations of the tropospheric thermal structure in  
191 downstream areas of the Plateau, leading to the interdecadal variations of the frequency of haze events seen  
192 in Eastern China since the 21th century. Thermal anomalies of the TP also play an important role in the  
193 variations of the frequency of haze events in EC apart from the anthropogenic pollutant emission related to  
194 the rapid industrialization of China. The observational and modeling studies have demonstrated that the  
195 interannual variations in the thermal forcing of TP are positively correlated with the incidences of  
196 wintertime haze over EC (Xu et al., 2016). The TP induced changes in atmospheric circulation, increasing  
197 atmospheric stability and driving frequent haze events in EC (Xu et al., 2016). In this study, the data  
198 analysis concerning the interannual variations of the TP’s apparent heat source and air temperature in  
199 wintertime at the TP with the altitudes above 3000 meters showed that since the 1960s the heat source in  
200 areas vulnerable to TP climate change strengthen continuously as the surface temperature increased (Fig.  
201 5a). Furthermore, the TP’s apparent heat and air temperature of the middle troposphere over EC presented  
202 the significant positive, which is similar to ‘warm cover’ structure characteristic (Fig. 5b). Therefore, we  
203 considered that the ‘warm cover’ change in the middle troposphere over EC was closely related to TP’s  
204 apparent heat and the surface temperature. The TP induced changes in thermodynamic structure of  
205 atmospheric provided favorable climatic backgrounds driving air pollution events in EC.



206

207 **Figure 3.** Vertical cross sections of (a-d) air temperature anomalies (unit: °C) , and (e-h) the PM<sub>2.5</sub> concentrations (unit:

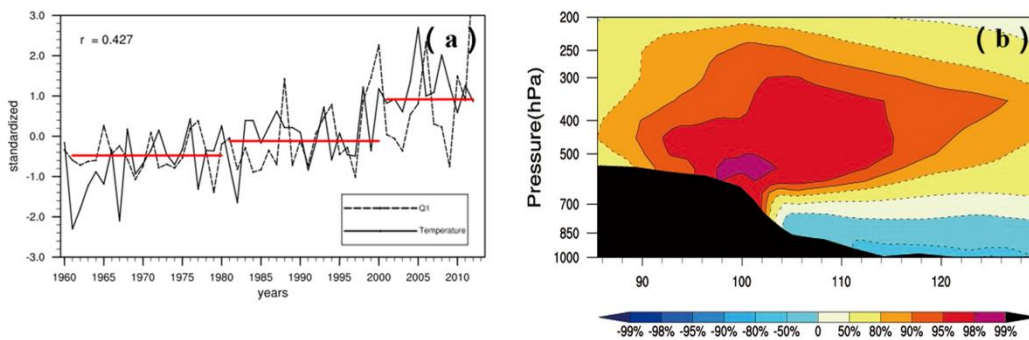
208 µg·m<sup>-3</sup>) averaged along 25-40°N in spring (a, e), summer (b, f), autumn (c, g), winter (d, h) from 2013 to 2018.



209

210 **Figure 4.** Vertical cross sections of (a-c) air temperature anomalies (unit: °C) and (d-f) the number of haze days averaged  
 211 along 25-40 N in winter during 1961-1980 (a, d), 1981-2000 (b, e) and 2001-2018 (c, f).

212



213

214 **Figure 5.** (a) TP's apparent heat source ( $Q_1$ ) and air temperature variations with interannual variations of TP's apparent heat  
 215 source ( $Q_1$ ) and air temperature of meteorological stations in the TP with the altitudes above 3000 meters in the winters  
 216 during 1960-2014; (b) Vertical cross sections of the correlations between TP's apparent heat ( $Q_1$ ) and air temperature  
 217 latitude-averaged along 30-35 N in the winters during 1960-2014.

218

219 **4 Conclusions and discussion**

220 Based on the study of the Great Smog of London in 1952 and Beijing's heavy air pollution in 2014, as well  
221 as PM<sub>2.5</sub> pollution over EC, the anomalous 'warm cover' in the free troposphere was identified as a  
222 precursory 'strong signal' for severe air pollution events, which could be attributed to climate change. A  
223 stable thermal structure in the middle troposphere, i.e. a 'warm cover', suppressed the ABL development,  
224 which was a key 'inducement' for the accumulation of air pollutants in the ambient atmosphere.

225 A large-scale anomalous air temperature pattern of 'upper warming and bottom cooling' in the  
226 troposphere appeared from the TP to the downstream EC region and even the entire East Asian region. The  
227 frequent haze pollution events in EC since the start of the 21st century happens to be within a significant  
228 positive phase in the interdecadal variations of 'warm cover' in the middle troposphere. A close relationship  
229 between the TP's heat and the thermal structure in the atmosphere in EC and even the entire East Asian  
230 region reflected an important role of TP's thermal forcing in environment change over China.

231

232 *Data availability.* The monthly NCEP/NCAR reanalysis data of meteorology are collected from the U.S.  
233 National Center for Environmental Protection (NCEP, <https://www.esrl.noaa.gov/>); the daily and monthly  
234 ERA-Interim reanalysis data of meteorology are collected from the European Center for Medium-range  
235 Weather Forecasts (ECMWF, <https://www.ecmwf.int/>); the hourly PM<sub>2.5</sub> concentration data are collected  
236 from the national air quality monitoring network operated by the Ministry of Ecology and Environment the  
237 People's Republic of China (<http://www.mee.gov.cn/>); the air temperature of surface observation data and  
238 L-band sounding data are obtained from the China Meteorological Information Center  
239 (<http://cdc.cma.gov.cn/>). All data presented in this paper are available upon request to the corresponding  
240 author (Wenyue Cai, [caiwy@cma.gov.cn](mailto:caiwy@cma.gov.cn)).

241

242 *Author contributions.* XDX and WYC designed the study. XDX, WYC and TLZ performed the research.  
243 WYC performed the statistical analyses. XDX, WYC and TLZ wrote the initial paper. TLZ, XFQ, WHZ,  
244 CS, PY, CZW and FG contributed to subsequent revisions.

245

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

247

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251

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254 Second Tibet Plateau Scientific Expedition and Research program (STEP, 2019QZKK0105).

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