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Improving satellite aerosol optical Depth-PM<sub>2.5</sub> correlations using land use regression with microscale geographic predictors in a high-density urban context

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1 Improving Satellite Aerosol Optical Depth-PM<sub>2.5</sub>  
2 Correlations Using Land Use Regression with  
3 Microscale Geographic Predictors in a High-density  
4 Urban Context

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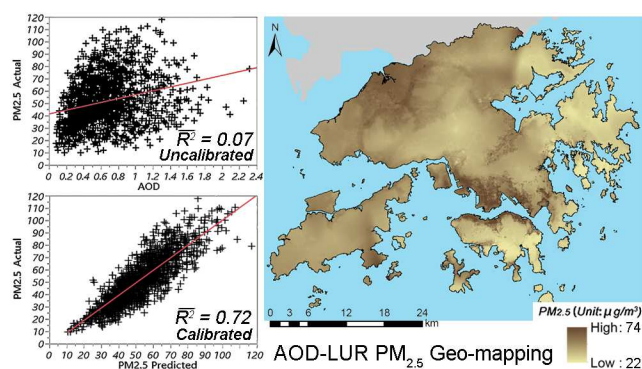
26 **ABSTRACT**

27 Estimating the spatiotemporal variability of ground-level PM<sub>2.5</sub> is essential to urban air  
28 quality management and human exposure assessments. However, it is difficult in a high-  
29 density and highly heterogeneous urban context as ground-level monitoring stations are most  
30 likely sparsely distributed. Satellite-derived Aerosol Optical Depth (AOD) observation has  
31 made it possible to overcome such difficulty due to its advantage of spatial coverage. In this  
32 study, we improve the AOD-PM<sub>2.5</sub> correlations by combining land use regression (LUR)  
33 modelling and incorporating microscale geographic predictors and atmospheric sounding  
34 indices in Hong Kong. The spatiotemporal variations of ground-level PM<sub>2.5</sub> over Hong Kong  
35 were estimated using MODerate resolution Imaging Spectroradiometer (MODIS) AOD  
36 remote sensing images for the period of 2003-2015. An extensive LUR variable database  
37 containing 294 variables was adopted to develop AOD-LUR models by seasons. Compared  
38 to the baseline models (fixed effect models include only basic weather parameters), the  
39 prediction performance of all annual and seasonal AOD-LUR fixed effect models were  
40 significantly enhanced with approximately 20-30% increases in the model adjusted  $R^2$ . On  
41 top of that, a mixed effect model covers time-dependent random effects and a group of  
42 geographically and temporally weighted regression (GTWR) models were also developed to  
43 further improve the model performance. As the results, compared to the uncalibrated AOD-  
44 PM<sub>2.5</sub> spatiotemporal correlation (adjusted  $R^2 = 0.07$ , annual fixed effect AOD-only model),  
45 the calibrated AOD-PM<sub>2.5</sub> correlation (the GTWR piecewise model) has a significantly  
46 improved model fitting adjusted  $R^2$  of 0.72 (LOOCV adjusted  $R^2$  of 0.65) and thus becomes a  
47 ready reference for spatiotemporal PM<sub>2.5</sub> estimation.

48 **KEYWORDS**

49 land use regression; aerosol optical depth; PM<sub>2.5</sub>; spatial mapping

## 50 GRAPHICAL ABSTRACT



## 52 HIGHLIGHT

- 53
- AOD-PM<sub>2.5</sub> spatiotemporal correlation of Hong Kong was investigated;
  - 54 • Land use regression (LUR) method was adopted to improve the AOD-PM<sub>2.5</sub>
  - 55 correlation;
  - 56 • Microscale geographic variables and sounding indices were incorporated as
  - 57 predictors;
  - 58 • MLR, LME and GTWR models were developed for the daily estimation of PM<sub>2.5</sub>;
  - 59 • The improved AOD-PM<sub>2.5</sub> correlation - GTWR model has an adjusted  $R^2$  of 0.72.

60

## 61 1. INTRODUCTION

62 Ambient particulate matter (PM) is a mixture of extremely small solid particles and liquid  
63 droplets, which contains complex components of nitrates and sulfates, organic chemicals,  
64 metals, and dust particles (EPA, 2013). PM<sub>2.5</sub> (fine particulate matter with < 2.5 microns in  
65 aerodynamic diameter) has been identified as a great threat to population health (Davidson et  
66 al., 2005; Dockery, 2009; Schwarze et al., 2006), and thus the observations of spatiotemporal  
67 variability of PM<sub>2.5</sub> has become one of the most important topics in epidemiology (Pope et  
68 al., 1995) and urban climatology (Bach, 1972). The strong associations between long-term or  
69 short-term health risks and ambient PM<sub>2.5</sub> exposure were not only be found in the typical  
70 urban form in cities in North America or Europe, but also in cities with compact and high-  
71 density built environment such as Hong Kong (Lin et al., 2017; Tam et al., 2015; Wong et al.,  
72 1999; Wong et al., 2002). PM<sub>2.5</sub> is also responsible for various negative effects on the living  
73 environment, such as urban climate deterioration (Jonsson et al., 2004) and visibility  
74 reduction (Cheung et al., 2005; Thach et al., 2010; Wu et al., 2005). Moreover, these adverse  
75 effects are expected to be stronger in a high-density environment because of the poor wind  
76 ventilation (Yuan et al., 2014). Therefore, estimating the spatiotemporal variation of PM<sub>2.5</sub> is  
77 essential to air quality management and health risk assessment.

78 Although a prediction of spatiotemporal variability of PM<sub>2.5</sub> across a city is necessary, it is  
79 generally difficult because of the sparse distributions of air monitoring stations (Kanaroglou  
80 et al., 2005), especially in a high-density city. For example, hourly PM<sub>2.5</sub> concentration in  
81 Hong Kong is currently monitored by a local air quality monitoring network (AQMN) with  
82 only 16 stations. However, Hong Kong is a large city with approximately 1,100 km<sup>2</sup> of land  
83 covering with a wide range of urban settings (in terms of topography, land use, building form  
84 and residents' activities, etc.). This diversity means air quality varies greatly across districts,  
85 and cannot be effectively monitored by the ground-level monitoring network with sparsely

86 distributed stations (Shi et al., 2016). This consequently leads to the probable issue of  
87 assessment errors in the investigation of human exposure when using the  $PM_{2.5}$  data from the  
88 nearest monitoring station. Moreover, identifying hotspots of human exposure will be  
89 difficult when only AQMN is used.

90 Alternatively, satellite-based aerosol optical depth (AOD) data with large spatial coverage  
91 and temporal continuity have been popularly used to estimate ground-level  $PM_{2.5}$   
92 concentration in global and regional contexts (Hoff and Christopher, 2009). Previous studies  
93 have observed a fair correlation between  $PM_{2.5}$  measured by AOD and local air monitoring  
94 networks (Krstic and Henderson, 2015; Paciorek et al., 2008), and found the ability of  
95 predicting the spatial distribution of  $PM_{2.5}$  by AOD and chemical transportation models  
96 (Geng et al., 2015; Liu et al., 2004; van Donkelaar et al., 2006). Some studies also suggested  
97 that applying AOD with advanced statistical methods such as machine learning and spatial  
98 statistical models may be able to improve the spatial quality of  $PM_{2.5}$  mapping (Beckerman et  
99 al., 2013). Most of these studies have focused on the spatial distribution of  $PM_{2.5}$  in a  
100 relatively large geographic extent with homogeneous landscapes (Qin et al., 2017; Zang et  
101 al., 2017). Only a few cases incorporated the microscale environmental factors to AOD- $PM_{2.5}$   
102 modelling (Kloog et al., 2012). Actually, it is more essential in a high-density built  
103 environment, because the microscale effect on the spatial accuracy of  $PM_{2.5}$  prediction is  
104 significantly affected by the urban morphology. Due to this limitation, only a few AOD-  
105  $PM_{2.5}$  studies have incorporated with microscale environmental factors in a fine spatial  
106 resolution mapping. For example, the study with  $PM_{2.5}$  prediction map in 100m-resolution  
107 was an application to traditional European cities with relatively homogenous landscape (de  
108 Hoogh et al., 2016), while the other studies are of 500m resolution or even coarser that are  
109 not suitable for representing the spatial variability of  $PM_{2.5}$  in an extremely heterogeneous  
110 urban area. Moreover, the heterogeneous land surface also affects the vertical distribution of

111 aerosol, which is also a major impact factor in the AOD-PM<sub>2.5</sub> relationship that should be  
112 taken into consideration (Li et al., 2015).

113 To overcome the above limitations, several studies have attempted to enhance the AOD-  
114 PM<sub>2.5</sub> correlations by combining Land Use Regression (LUR) modelling with microscale  
115 land use information and geographic predictors (Kloog et al., 2012; Lee et al., 2016; Mao et  
116 al., 2012; Vienneau et al., 2013). LUR is a promising technique for estimating spatial  
117 variation of ambient air pollution at a fine scale. It has been widely adopted in human  
118 pollution exposure assessments in public health studies (Hoek et al., 2008; Ryan and  
119 LeMasters, 2007). Using geographic and urban setting predictors, LUR allows the estimation  
120 of long-term averaged concentration of ambient air pollution in unmonitored areas in  
121 geographic information system (GIS). Attempts to develop temporal-resolved LUR models  
122 have been made in recent years (Saraswat et al., 2013). These estimations will provide a  
123 series of fine-scale maps of spatially and temporally varying ground-level PM<sub>2.5</sub> at a finer  
124 spatial resolution compared to the satellite AOD data.

125 The aim of this study is to improve the AOD-PM<sub>2.5</sub> correlation analysis and to provide a  
126 better estimation of the spatiotemporal variation of ground-level PM<sub>2.5</sub> in a city with high-  
127 density built environment, in order to fill the monitoring gaps of the local monitoring  
128 network. Hong Kong has been selected as the study site, because it is a high-density city with  
129 distinct urban form across districts. The spatial variation of urban characteristics across both  
130 natural and artificial surfaces can considerably modify the boundary layer meteorological  
131 conditions, and subsequently affect the aerosol vertical distribution. Ultimately, the spatial  
132 variation of ground-level PM<sub>2.5</sub> is affected by non-uniformly distributed local sources and the  
133 variation of urban forms at the microscale. In this study, we enhance the spatiotemporal  
134 AOD-PM<sub>2.5</sub> correlation analysis for Hong Kong by combining LUR modelling with a

135 comprehensive set of microscale geographic predictors as well as atmospheric sounding  
136 indices. Fine-scale spatiotemporal variation of ground-level  $PM_{2.5}$  over Hong Kong is  
137 estimated using LUR with the MODerate resolution Imaging Spectroradiometer (MODIS)  
138 AOD data for the period of 2003-2015.

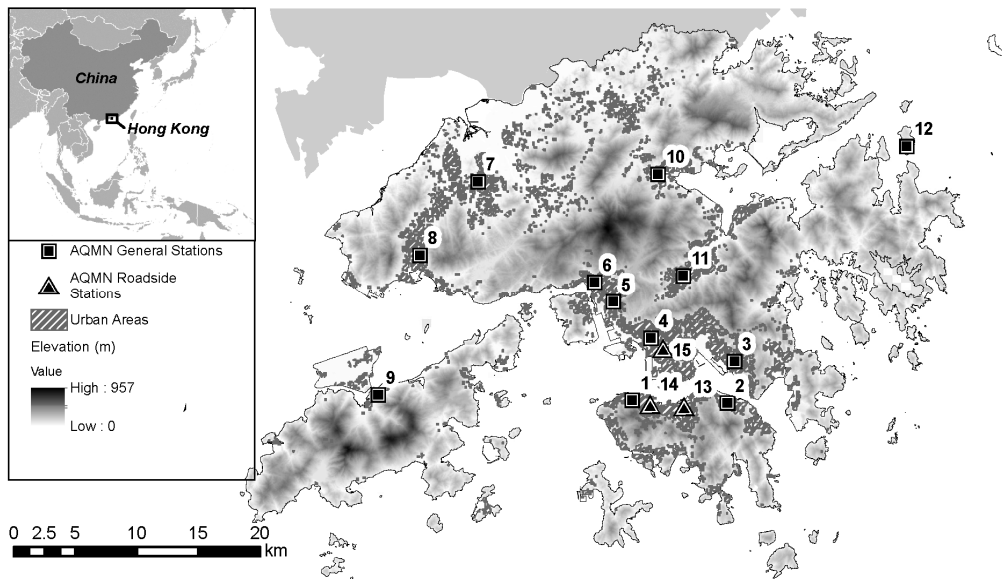
## 139 **2. MATERIALS AND METHODS**

### 140 **2.1 GROUND-LEVEL $PM_{2.5}$ LONG-TERM MONITORING DATA**

141 In this study, hourly concentration of ground-level  $PM_{2.5}$  between 2003 and 2015 were  
142 obtained from 15 of 16 stations operated under the AQMN of Hong Kong Environmental  
143 Protection Department (EPD), because a newly-constructed station in Tseung Kwan O are  
144 not available for the entire study period. (Figure 1). These hourly  $PM_{2.5}$  concentration  
145 monitored by the AQMN are based on high-accuracy gravimetric sampling using the USEPA  
146 certified gravimetric oscillating microbalance equipment, including the Graseby Anderson  
147 PM, Partisol 2025, R&P TEOM series 1400-AB and 1405DF (Lu and Wang, 2008). Daily  
148 average of  $PM_{2.5}$  concentration was calculated in order to be consistent with the AOD data  
149 for further analysis (Figure S-1 in the supplementary materials).

150





151

152 **Figure 1.** The locations of 15 available stations in the air quality monitoring network  
 153 (AQMN) of Hong Kong (The elevation of each station can be found from:  
 154 <http://www.aqhi.gov.hk/en/monitoring-network/air-quality-monitoring-stations.html>).

155

## 156 2.2 AEROSOL OPTICAL DEPTH (AOD) DATA

157 The MODIS Level 2 aerosol products at a spatial resolution of 3 km were obtained from both  
 158 Terra and Aqua satellites (MOD04\_3K at 10:30 and MYD04\_3K at 13:30) using dark target  
 159 algorithm (Remer et al., 2013). Compared with the original 10-km product, this product with  
 160 3-km resolution is better at providing details of fine-scale aerosol characteristics over the  
 161 small geographic extent with heterogeneous landscapes. There is finer resolution AOD data  
 162 for worldwide, but it is not specially designed for subtropical area. Therefore, it needs to be  
 163 carefully pre-calibrated (the aerosol retrieval algorithm needs to be modified) before using  
 164 the data in subtropical area (Bilal et al., 2013). Therefore, we acquired the 3 km AOD product  
 165 from 2003 to 2015. A total of 8,738 AOD images were obtained for the 13-year period from  
 166 Terra and Aqua sensors. All AOD images were projected to the Hong Kong 1980 coordinate  
 167 system for the spatial consistency of local land use data sets. Daily averaged AOD values

168 were calculated based on above satellite images at grid cells corresponding to the 15 AQMN  
169 stations. Satellite AOD observations are not available when clouds cover the location. All  
170 available observations from the entire AOD image data set were extracted (Figure S-2 in the  
171 supplementary materials).

### 172 **2.3 METEOROLOGICAL VARIABLES**

173 Weather data (ground-level air temperature, relative humidity, wind speed, rainfall, mean sea  
174 level pressure, wet-bulb temperature and dew-point temperature) were retrieved from a total  
175 of 42 weather stations of Hong Kong Observatory (HKO). Weather data from the closest  
176 weather stations were assigned to the grid cell locations of 15 air quality monitoring stations  
177 in AQMN. Crumeyrolle et al. (2014) mentioned that the variability in atmospheric factors  
178 such as vertical structure/mixing and hygroscopicity could significantly affect and add  
179 uncertainty to AOD-PM<sub>2.5</sub> correlation. Their study shows that considering the impact of  
180 ambient relative humidity could improve the PM<sub>2.5</sub> estimates. Moreover, the presence of  
181 aerosol above the boundary layer introduces significant uncertainties in PM<sub>2.5</sub> estimates. The  
182 day-to-day variation of atmospheric stability also affects the vertical distribution of aerosol  
183 (Lee et al., 2011). In that case, sounding data would serve as better predictors than the basic  
184 weather parameters. Therefore, 19 widely used sounding indices related to atmospheric  
185 stability were also adopted as meteorological variables (Table 1). The atmospheric sounding  
186 indices data used in the present study (Hong Kong, Station No. 45004) is provided by the  
187 Department of Atmospheric Science, University of Wyoming, which represent an overall  
188 atmospheric condition over entire Hong Kong for each day.

### 189 **2.4 GEOGRAPHIC PREDICTORS OF PM<sub>2.5</sub> IN LUR MODELLING**

190 Six categories of data sets were adopted as geographic predictors of PM<sub>2.5</sub> LUR modelling: (i)  
191 land use, (ii) road traffic density, (iii) emission sources of marine and power stations, (iv)

192 population density, (v) natural geography and (vi) urban surface form. Most of the  
193 geographic predictors were retrieved from the GIS vector dataset that can be accurately  
194 converted to 1m resolution for spatial study. These data have been widely and successfully  
195 used for fine-resolution mapping in Hong Kong (Shi et al., 2017). In this study, to balance the  
196 data size and mapping precision, a spatial resolution of 10m was adopted for the spatial  
197 mapping, which is also the spatial resolution of the standard land use dataset of Hong Kong.  
198 Incorporating the fine-resolution microscale geographic predictors into the estimation of  
199 AOD-PM<sub>2.5</sub> correlation is essentially also a data-intensive spatial downscaling process.

#### 200 **2.4.1 LAND USE**

201 The limited land resources and high population jointly spawn the extremely compact urban  
202 development. The vertically developed urban form shapes the intensive and highly mixed  
203 urban land use in Hong Kong. The land use data were obtained from Hong Kong Planning  
204 Department (PlanD). The land use of Hong Kong is recorded in the raster format with a  
205 spatial resolution of 10m. Based on literature<sup>15</sup>, the complicated land use types were  
206 reclassified as the following types: Residential use (RES); Commercial use (COM); Industrial  
207 use (IND); Government use (GOV) and Open space (OPN). Using buffering analysis, the  
208 total area (unit: m<sup>2</sup>) of each land use type in a set of buffers (Table 1) of each monitoring  
209 stations was summed up and used as the explanatory variables of LUR modelling.

#### 210 **2.4.2 ROAD TRAFFIC DENSITY**

211 Four different indicators were used to depict the local road traffic density: road line density  
212 per unit area (km/km<sup>2</sup>), road area ratio, traffic volume counted based on passenger car unit  
213 (PCUs) and count of bus stops. Using LUR buffering analysis, line densities of five road  
214 types— expressways/trunk road, primary road, secondary road, tertiary road and ordinary  
215 road— were calculated separately. The road area ratio is the percentage of vehicle road area

216 within a certain locality, which measures the amount of road traffic carrying capacity. The  
217 raw data of traffic flow count in Hong Kong are published in “Annual Traffic Census” by the  
218 Transport Department every year. The number of vehicles is counted at nearly 900 stations in  
219 different road segments. Based on these data and the road network, the spatial distribution of  
220 traffic volume of public transport vehicles and private/government vehicles can be mapped.  
221 Buses are heavy-duty diesel fuel vehicles and a major source of PM<sub>2.5</sub> in Hong Kong.(Wang  
222 and Lu, 2006) Therefore, the number of bus stops within certain buffer ranges was also used  
223 as predictors of road traffic density.

#### 224 **2.4.3 EMISSION SOURCES OF MARINE AND POWER STATIONS**

225 Marine transportation accounts for a large proportion of PM<sub>2.5</sub> emissions in Hong Kong (Lau  
226 et al., 2007). Marine facilities and routes were identified in and extracted using GIS as point  
227 and line PM<sub>2.5</sub> emission sources. Local power stations relying on fossil and diesel fuels are  
228 considered area emission sources. The nearest distance from each monitoring station to the  
229 marine facilities, routes and local power plants was calculated as the predictor variables.

#### 230 **2.4.4 POPULATION**

231 The population density (people per km<sup>2</sup>) is the most commonly used measure of population  
232 distribution. The latest population census data of year 2011 is obtained from Hong Kong  
233 Census and Statistics Department and mapped using the digital boundary of Street  
234 Block/Village Clusters (SB/VC, a standard planning unit used in Hong Kong). The  
235 population density in the buffers of each monitoring stations is then calculated.

#### 236 **2.4.5 NATURAL GEOGRAPHY**

237 Seven indicators were adopted as predictor variables to reflect the natural geographic  
238 condition of each monitoring station: longitude ( $\Delta x$  to the coordinate origin of HK1980 Gird),  
239 latitude ( $\Delta y$  to the coordinate origin of HK1980 Gird), elevation above the Hong Kong

240 Principal Datum, distance to waterfront, distance to city parks, distance to country parks and  
 241 greening coverage ratio (the percentage of vegetation coverage, extracted from land use data).

#### 242 2.4.6 URBAN SURFACE FORM

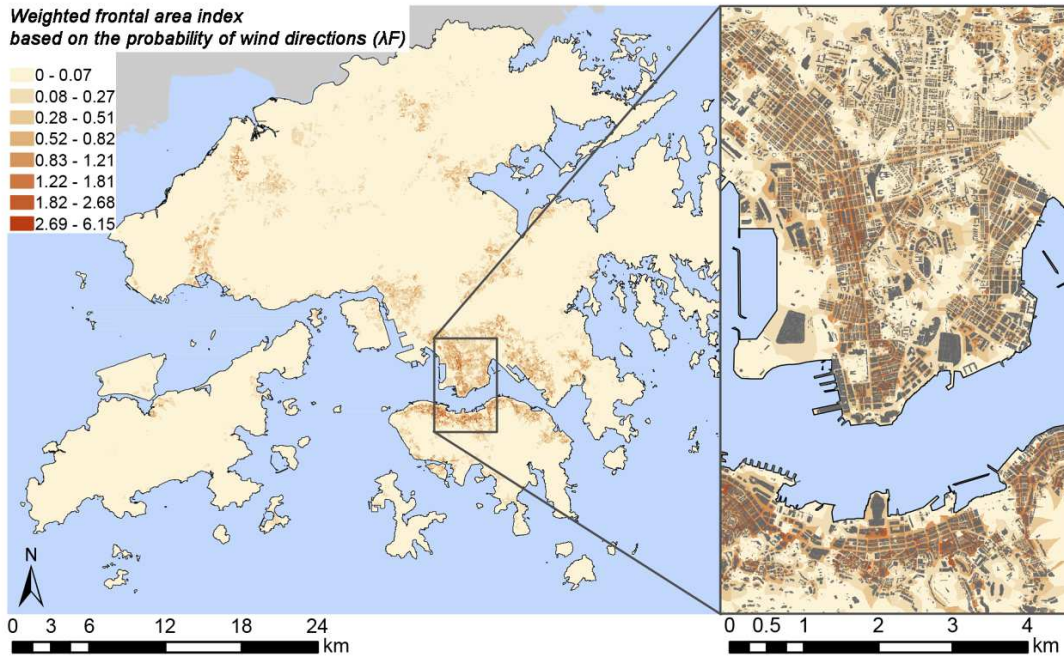
243 Densely built urban forms significantly change the aerodynamic properties of land surface,  
 244 and hence change the air flow near the ground surface, resulting in considerable microscale  
 245 variation in PM<sub>2.5</sub> concentration (Fernando et al., 2001). It has been proved that incorporating  
 246 urban forms as predictor variables improves the LUR modelling accuracy (Shi et al., 2016;  
 247 Tang et al., 2013). Therefore, to consider microscale environmental variations that affect the  
 248 spatial accuracy of PM<sub>2.5</sub> prediction in a high-density city, a set of predictor variables of  
 249 urban surface forms were used in LUR modelling (Barnes et al., 2014; Cao and Lin, 2014).  
 250 They were building height ( $h$ ), plan area index ( $\lambda_p$ ), weighted frontal area index based on the  
 251 probability of wind directions ( $\bar{\lambda}_F$ ), urban surface roughness length ( $z_0$ ), and were calculated  
 252 based on the local building data set with the following equations:

$$\lambda_p = \left( \sum_{i=1}^n A_{Pi} \right) / A_T \quad \text{Equation 1}$$

$$\bar{\lambda}_F = \sum_{\theta=1}^{16} \left[ \left( \sum_{i=1}^n A_{Fi(\theta)} \right) / A_T \right] P(\theta) \quad \text{Equation 2}$$

$$z_0 = \left\{ h - h \cdot \lambda_p^{0.6} \right\} \exp \left[ - \frac{K}{\sqrt{0.5 \cdot C_{Dh} \cdot \bar{\lambda}_F}} \right] \quad \text{Equation 3}$$

253 where  $n$  is the total amount of buildings in a district.  $A_T$  is the district area.  $A_{Pi}$  is the  
 254 footprint area of the building  $i$ .  $A_{Fi(\theta)}$  is the frontal area of building  $i$  under the scenario of  
 255 wind direction  $\theta$ .  $C_{Dh}$  is drag coefficient considered as 0.8.  $K$  is the Kármán's constant of 0.4.  
 256 Figure 2 illustrates the mapping of spatial distribution of  $\bar{\lambda}_F$  because it is not a traditional  
 257 LUR predictor.



258

259 **Figure 2.** The spatial distribution map of weighted frontal area index based on the probability  
260 of wind directions ( $\bar{\lambda}_F$ ) which reflects the potential of ground-level air flow movement.



261 **Table 1.** Summary of meteorological and geographic predictor variables.

Data categories	Variables	Unit	Analysis	Codes
<b>Meteorological variables</b>				
<b>Weather parameters</b>	ground-level air temperature	°C	daily average	<i>Temp</i>
	relative humidity	%	daily average	<i>RH</i>
	wind speed	m/s	daily average	<i>Spd</i>
	rainfall	mm	daily average	<i>Rf</i>
	mean sea level pressure	hPa	daily average	<i>MSLP</i>
	wet-bulb temperature	°C	daily average	<i>Wet</i>
	dew-point temperature	°C	daily average	<i>Dew</i>
<b>Atmospheric sounding indices</b>	Bulk Richardson Number	-	daily average	<i>BRCH</i>
	Bulk Richardson Number using CAPV	-	daily average	<i>BRCV</i>
	Convective Available Potential Energy	J/kg	daily average	<i>CAPE</i>
	CAPE using virtual temperature	J/kg	daily average	<i>CAPV</i>
	Convective Inhibition	J/kg	daily average	<i>CINS</i>
	CINS using virtual temperature	J/kg	daily average	<i>CINV</i>
	Cross totals index	-	daily average	<i>CTOT</i>
	K index	-	daily average	<i>KINX</i>
	Pressure of the Lifted Condensation Level	hPa	daily average	<i>LCLP</i>
	Temperature of the Lifted Condensation Level	K	daily average	<i>LCLT</i>
	Lifted index	-	daily average	<i>LIFT</i>
	LIFT computed using virtual temperature	-	daily average	<i>LIFV</i>
	Mean mixed layer mixing ratio	g/kg	daily average	<i>MLMR</i>
	Mean mixed layer potential temperature	K	daily average	<i>MLPT</i>
	Total precipitable water	mm	daily average	<i>PWAT</i>
	Showalter index	-	daily average	<i>SHOW</i>
	SWEAT index	-	daily average	<i>SWET</i>
Total totals index	-	daily average	<i>TTOT</i>	
Vertical totals index	-	daily average	<i>VTOT</i>	
<b>Geographic Predictors</b>				
<b>Land use (Total land area within certain buffer sizes *)</b>	Residential use	m <sup>2</sup>	buffer	<i>RES</i>
	Commercial use	m <sup>2</sup>	buffer	<i>COM</i>
	Industrial use	m <sup>2</sup>	buffer	<i>IND</i>
	Government use	m <sup>2</sup>	buffer	<i>GOV</i>
<b>Road Traffic density</b>	Open space	m <sup>2</sup>	buffer	<i>OPN</i>
	Road line density of expressways/trunk road	km/km <sup>2</sup>	buffer	<i>Rdexp</i>
	Road line density of primary road	km/km <sup>2</sup>	buffer	<i>Rdpri</i>
	Road line density of secondary road	km/km <sup>2</sup>	buffer	<i>Rdsec</i>
	Road line density of tertiary road	km/km <sup>2</sup>	buffer	<i>Rdter</i>
	Road line density of ordinary road	km/km <sup>2</sup>	buffer	<i>Rdord</i>
	Road area ratio	%	buffer	<i>Rdar</i>
	Traffic volume of public transport vehicles	PCUs	buffer	<i>ptpcu</i>
Traffic volume of private/government vehicles	PCUs	buffer	<i>pgpcu</i>	
<b>Emission sources of marine &amp; power stations</b>	Number of bus stops	-	buffer	<i>busst</i>
	Distance to marine routes, facilities	m	point	<i>d_marine</i>
	Distance to local power plants	m	point	<i>d_power</i>
<b>Population</b>	Population density	People/km <sup>2</sup>	buffer	<i>pop</i>
<b>Natural geography</b>	Longitude (based on HK1980 system)	m	point	<i>x</i>
	Latitude (based on HK1980 system)	m	point	<i>y</i>
	Elevation of the monitoring station	m	point	<i>z</i>
	Distance to waterfront	m	point	<i>d_water</i>
	Distance to city parks	m	point	<i>d_cityp</i>
	Distance to country parks	m	point	<i>d_countryp</i>
	Greening coverage ratio	%	buffer	<i>greening</i>
<b>Urban surface form</b>	building height	m	buffer	<i>h_bldg</i>
	plan area index	%	buffer	$\lambda_p$
	weighted frontal area index based on the probability of wind directions	-	buffer	$\lambda_F$
	urban surface roughness length	m	buffer	<i>z<sub>0</sub></i>

The 13 buffer sizes used in this study are 50, 100, 200, 300, 400, 500, 750, 1000, 1500, 2000, 3000, 4000, 5000m.

The Sounding data available at <http://weather.uwyo.edu/upperair/sounding.html>

## 262 2.5 STATISTICAL MODELING AND VALIDATION METHODS

263 LUR modelling was conducted to develop the AOD-PM<sub>2.5</sub> correlation models. The PM<sub>2.5</sub>  
 264 data mentioned in section 2.1 were used as the response variable of the models with the  
 265 satellite-derived AOD mentioned in section 2.2 forced as the first explanatory variable of all  
 266 regression models. The LUR modelling aims to improve the AOD-PM<sub>2.5</sub> correlation by  
 267 incorporating microscale geographic predictors and atmospheric stability sounding indices.  
 268 First, Multiple Linear Regression (MLR) method — commonly used in previous LUR studies  
 269 — was adopted to identify the important predictor variables and develop traditional fixed  
 270 effect model. On top of that, a mixed effect model covers time-dependent random effects and  
 271 a geographically and temporally weighted regression (GTWR) model were also developed to  
 272 further improve the model performance. Four steps were involved in the modelling process.

### 273 2.5.1 STEP 1 - DEVELOPING BASELINE AOD-PM<sub>2.5</sub> MODEL

274 In Step 1, the baseline models of the AOD-PM<sub>2.5</sub> correlation were developed. The modelling  
 275 only involves five most commonly used basic weather parameters mentioned in section 2.3—  
 276 ground-level air temperature (*Temp*), relative humidity (*RH*), wind speed (*Spd*), rainfall  
 277 (*Rf*) and mean sea level pressure (*MSLP*). The baseline estimation model structure in this  
 278 study was forced to be built as follows:

$$PM_{2.5ij} = \alpha_1 AOD_{ij} + \alpha_2 Temp_{ij} + \alpha_3 RH_{ij} + \alpha_4 Spd_{ij} + \alpha_5 Rf_{ij} + \alpha_6 MSLP + \beta_{ij} + \varepsilon_{ij} \quad \text{Equation 4}$$

279 where  $PM_{2.5ij}$  is the predicted PM<sub>2.5</sub> concentration at the location of air quality monitoring  
 280 station  $i$  on day  $j$ .  $AOD_{ij}$  is the satellite-derived AOD at the location  $i$  on day  $j$ .  $\alpha_1$  is the  
 281 slope of AOD.  $\alpha_2$ ,  $\alpha_3$ ,  $\alpha_4$ ,  $\alpha_5$  and  $\alpha_6$  are the slopes for the five daily averaged basic weather  
 282 variables.  $\beta_{ij}$  is the intercept of the model.  $\varepsilon_{ij}$  is the residuals which presumably vary by day.  
 283 The winter monsoon is predominant from fall to spring, making coastal Hong Kong basically



284 downwind of the polluted industrial areas and urbanized areas in Pearl River Delta (PRD)  
285 region (Ding et al., 2013; Kok et al., 1997; Wang et al., 2009). Hence, the influence of  
286 pollution originating in densely built neighboring city of Shenzhen—north of Hong Kong—  
287 is significant. Therefore, in order to distinguish seasonal variation, the AOD-PM<sub>2.5</sub>  
288 correlations were developed separately using MLR by different seasons defined as annual  
289 (January to December), spring (March to April), summer (May to September), fall (October  
290 to November) and winter (December to the February of the next year). The above definitions  
291 are based on local meteorological observations and the synoptic weather pattern. Hong Kong  
292 is a coastal subtropical city influenced by monsoon. The months of each season are different  
293 than the temperate city in Europe and North America. A piecewise annual model was also  
294 developed by simply combining the four single seasonal models based on the time period of  
295 seasons. To be more specific, the piecewise model predicts the PM<sub>2.5</sub> in each season by  
296 separately using the four seasonal MLR correlation models in the time intervals of the four  
297 different seasons. As a result, six baseline models were developed.

#### 298 **2.5.2 STEP 2 - SELECTING INFLUENTIAL MODEL VARIABLES**

299 Most of the geospatial studies treat all spatial factors using a grid system with fixed spatial  
300 resolution. However, the impact range of different influencing factors may vary due to the  
301 differences in the pollution emission intensity or the complex physical basis of the pollution  
302 diffusion and dispersion. For example, the industrial land use could affect the air quality  
303 within a spatial extent of several kilometers, while a segment of urban tertiary road will only  
304 significantly affect the air quality within a couple of hundred meters. Therefore, LUR studies  
305 apply the concept of buffers, instead of using a fixed grid system for all data. In LUR study,  
306 each air pollution influencing factor are calculated in multiple buffers. Thus, the same  
307 influencing factor calculated using two different buffer sizes are used as two separate  
308 predictor variables in the regression modelling. In this study, LUR buffering analyses were

309 conducted for 20 geographic predictors using 13 buffer sizes. Together with other variables,  
 310 294 explanatory variables were required to be checked for developing improved the AOD-  
 311  $PM_{2.5}$  correlations. In that case, it is essential to pre-select only a limited number of variables  
 312 for the regression modelling because this could prevent over-fitting issues during the  
 313 automatic stepwise regression modeling process (Babyak, 2004). Using the 13 buffer sizes, a  
 314 series of regression analysis was performed for each buffer-based variable. The purpose of  
 315 these regression analyses was to test the sensitivity of the variables in the models to different  
 316 buffer sizes. These regression analyses were performed using the below model structure:

$$PM_{2.5ij} = \alpha_1 AOD_{ij} + \alpha_2 Temp_{ij} + \alpha_3 RH_{ij} + \alpha_4 Spd_{ij} + \alpha_5 Rf_{ij} + \alpha_6 MLSP + \alpha_7 VAR_d + \beta_{ij} + \varepsilon_{ij} \quad \text{Equation 5}$$

317 The model was developed for each buffer-based variable at 13 different buffers.  $\alpha_7$  is the  
 318 slopes for the test variable ( $VAR_d$ ) calculated the using buffer size of  $d$ . For example, the  
 319 road traffic density calculated in 200m buffer and 2000m buffer are used as two separate  
 320 variables. As described,  $d = 50, 100, 200, 300, 400, 500, 750, 1000, 1500, 2000, 3000, 4000,$   
 321  $5000m$ . Adjusted  $R^2$  ( $\overline{R^2}$ ) was used as the indicator to compare model performance. Thus,  
 322 there will be 13  $\overline{R^2}$  for traffic density in the 13 buffers. By following the “A Distance Decay  
 323 REgression Selection Strategy (ADDRESS)” developed by Su et al. (2009a), a distance-  
 324 decay curve can be plotted, which is essentially a function of distance, and thus the critical  
 325 buffers (shown as turning points/peaks in the decay curve function) could be identified. In  
 326 another application study of “ADDRESS”, Su et al. (2009b) detailly illustrate the  
 327 identification of critical buffers. In the present study, by following the same method, only  
 328 variables at the critical buffers were identified and retained as candidate explanatory variables  
 329 for next step analysis.

330 **2.5.3 STEP 3 - STEPWISE REGRESSION MODELLING**

331 Following the typical LUR research (Beelen et al., 2013), stepwise MLR modelling was  
 332 performed to develop AOD-LUR models by different seasons. The models were initially  
 333 determined by using the modelling criteria of minimum Bayesian Information Criterion  
 334 (BIC) using the forward direction, the model with the highest  $\overline{R^2}$  was selected for further  
 335 process. In the subsequent process, the p-value and variance inflation factor (VIF) of each  
 336 explanatory variable in all these resultant models were examined in order to eliminate  
 337 collinearity issues in the resultant models. Based on the criteria used in literature (Vienneau  
 338 et al., 2013), variables with p-value > 0.10 and VIF > 5 were excluded. Due to the above  
 339 criteria of variable exclusion, some of those aforementioned basic weather variables may not  
 340 be included in the final models, as they naturally correlate with sounding indices (which are  
 341 possibly better predictors of atmospheric stability) and are consequently removed. The final  
 342 models are constructed in a general model structure as below:

$$PM_{2.5ij} = \alpha_1 AOD_{ij} + \alpha_2 VAR_{2ij} + \dots + \alpha_m VAR_{mij} + \alpha_{m+1} VAR_{d,m+1} \quad \text{Equation 6}$$

$$+ \alpha_{m+2} VAR_{d,m+2} + \dots + \alpha_n VAR_{d,n} + \beta_{ij} + \varepsilon_{ij}$$

343 where  $PM_{2.5ij}$  is the predicted  $PM_{2.5}$  concentration at the location of air quality monitoring  
 344 station  $i$  on day  $j$ .  $AOD_{ij}$  is the satellite-derived AOD at the location  $i$  on day  $j$ .  $\alpha_1$  is the  
 345 slope of  $AOD_{ij}$ .  $\alpha_2 \dots \alpha_m$  are the slopes for the  $m$  temporally varied meteorological variables.  
 346  $\alpha_{m+1} \dots \alpha_n$  are the slopes for the  $n - m$  geographic predictors ( $VAR_d$ ) calculated the at the  
 347 buffer size of  $d$ .  $\beta_{ij}$  is the intercept of the AOD-LUR model.  $\varepsilon_{ij}$  is the residuals. As a result, a  
 348 total of six pairs of models (Baseline MLR vs. AOD-LUR MLR) were developed.

#### 2.5.4 STEP 4 – INCORPORATING TIME-DEPENDENT RANDOM EFFECTS AND GEOGRAPHICAL NON-STATIONARITY

A set of traditional LUR models have been developed for Hong Kong during the first three steps. However, as mentioned earlier, traditional LUR models are commonly developed based on a fixed effect model structure, in which the effects of predictor variables are presumed to be temporally fixed. However, the influence of many predictors could be temporally variant, especially in the synoptic pattern of Hong Kong in which there are significant seasonal differences. Under such background, the influence of many predictors could be presumably at least varying by seasons. The above implies that the AOD-LUR model performance could be further improved by incorporating time-dependent effects and geographical non-stationarity into the model development. In this study, linear mixed-effect (LME) models are developed by additionally including time-dependent variables as random effects to improve the performance of AOD-LUR models. Considering the significant seasonal synoptic differences in Hong Kong (as mentioned in section 2.5.1), a categorical dummy variable was introduced to describe the seasons when particular concentration data were monitored. This newly included dummy variable is modelled in the linear regression as the random effect, such that LME models could be developed with time-dependent effects. As the results, three LME models will be developed: AOD-only LME model, baseline AOD-PM<sub>2.5</sub> LME model (a forced model structure with the five most commonly used basic weather parameters involved), AOD-LUR LME model (a model includes the same variable selection with the AOD-LUR stepwise MLR model). No seasonal LME models will be developed because the seasonal non-stationarity has been included in the year-round annual model. The LME model structure in this study can be expressed as:

$$\begin{aligned}
PM_{2.5ij} = & \alpha_1 AOD_{ij} + \alpha_2 VAR_{2ij} + \dots + \alpha_m VAR_{mij} + \alpha_{m+1} VAR_{d,m+1} \\
& + \alpha_{m+2} VAR_{d,m+2} + \dots + \alpha_n VAR_{d,n} + \alpha_{season,j} VAR_{season,j} \\
& + \beta_{ij} + \varepsilon_{ij}
\end{aligned}
\tag{Equation 7}$$

372 where  $PM_{2.5ij}$  is the predicted  $PM_{2.5}$  concentration at the location of air quality monitoring  
373 station  $i$  on day  $j$  and the random effect variable -  $VAR_{season,j}$  is added into the model  
374 structure.  $\alpha_{season,j}$  is the slope of the season variable value (which presumably vary by  
375 seasons) on on day  $j$ . No seasonal LME models will be developed because the seasonal non-  
376 stationarity has been included in the year-round annual model. As the results, three LME  
377 models will be developed: AOD-only LME model, baseline AOD- $PM_{2.5}$  LME model (a  
378 forced model structure with the five most commonly used basic weather parameters  
379 involved), AOD-LUR LME model (a model includes the same variable selection with the  
380 AOD-LUR stepwise MLR model). No seasonal LME models will be developed because the  
381 seasonal non-stationarity has been included in the year-round annual model.

382 The context of land surface in the study area is highly heterogeneous which implies that the  
383 AOD- $PM_{2.5}$  correlation could also be spatially variant. Geographically weighted regression  
384 (GWR) is a commonly-used method of dealing with such spatial non-stationarity in  $PM_{2.5}$   
385 spatial estimation (van Donkelaar et al., 2015). GWR handles the spatial non-stationarity by  
386 constructing local regression for different geographical locations instead of using one linear  
387 regression for the entire study area (Brunsdon et al., 1998). However, in many cases, the  
388 regression coefficients do not remain fixed over space as well as time. To also take temporal  
389 variation into consideration, a method named GTWR has been developed for modeling  
390 spatiotemporal variation in geographical data (Huang et al., 2010) and recently adopted in  
391 ground-level  $PM_{2.5}$  estimation (Bai et al., 2016). The GTWR model structure in this study can  
392 be expressed as:

$$PM_{2.5ij} = \alpha_1 AOD_{ij} + \sum_m \alpha_m(u_i, v_i, j) VAR_{mij} + \sum_n \alpha_n(u_i, v_i, j) VAR_{d,n} + \beta_{ij} + \varepsilon_{ij} \quad \text{Equation 8}$$

393 where  $PM_{2.5ij}$  is the predicted  $PM_{2.5}$  concentration at the location of air quality monitoring  
 394 station  $i$  on day  $j$ .  $AOD_{ij}$  is the satellite-derived AOD at the location  $i$  on day  $j$ .  $u_i, v_i$  are the  
 395 geographical coordinates of station  $i$ .  $\alpha_1$  is the slope of  $AOD_{ij}$ .  $\alpha_m$  are the slopes for the  $m$   
 396 temporally varied meteorological variables  $VAR_{mij}$ .  $\alpha_n$  are the slopes for the  $n$  geographic  
 397 predictors ( $VAR_d$ ) calculated the using the buffer size of  $d$ .  $\beta_{ij}$  and  $\varepsilon_{ij}$  are the intercept and  
 398 residuals of GTWR model. More technical details can be referred to Huang et al. (2010)'s  
 399 article.

#### 400 2.5.5 MODEL VALIDATION

401 Root-mean-square error (RMSE) and  $\overline{R^2}$  were calculated for both the assessment of model fit  
 402 and the cross validation of resultant models.  $\overline{R^2}$  and RMSE calculated as follows:

$$\overline{R^2} = 1 - (1 - R^2) \left( \frac{n - 1}{n - p - 1} \right) \quad \text{Equation 9}$$

$$RMSE = \sqrt{\frac{1}{n} \sum_{i=1}^n (PM'_{2.5i} - PM_{2.5i})^2} \quad \text{Equation 10}$$

403 Where  $R^2$  is the coefficient of determination of regression models.  $n$  is the total number of  
 404 data points.  $p$  is the total number of model predictor variables.  $PM_{2.5i}$  is the measured value  
 405 of the  $PM_{2.5}$  concentration.  $PM'_{2.5i}$  is the estimated  $PM_{2.5}$  concentration from the resultant  
 406 models. For the model validation, leave-one-out cross-validation (LOOCV) was used to  
 407 validate all resultant models. Under LOOCV, all data will be split into two parts, a single data  
 408 point is used for the validation data and the remaining data points used as the training dataset.  
 409 This procedure is repeated  $n$ -times. There is no randomness in the split of the data into test

410 and training sample. Therefore, performing LOOCV repeatedly always yields the same  
411 results.

### 412 **3. RESULTS**

413 All resultant models developed in this study is based on the 13-year long-term dataset. There  
414 are data limitations provided by the EPD.  $PM_{2.5}$  of Hong Kong was a relatively new  
415 measurement of EPD. Each monitoring station has different start-up date for monitoring  
416  $PM_{2.5}$ . The cloud coverage is also a major impact factor of the availability of the AOD data of  
417 Hong Kong. Therefore, in the present study, the all 13-year long-term monitoring data were  
418 used for the model development to minimize this data bias. As the results, the annual model  
419 will be able to predict a daily spatial  $PM_{2.5}$  concentration for any day during 2003 – 2015  
420 period, while the seasonal models will be able to provide a daily estimation for any day in the  
421 particular season during 2003 – 2015 (for example, a summer model predicts the daily spatial  
422  $PM_{2.5}$  for any summer day during 2003-2015). Considering the resultant spatiotemporal  
423 models on a daily basis, the annual or seasonal average could be easily achieved by averaging  
424 a series of daily estimations.

#### 425 **3.1 THE BASELINE MODELS OF AOD- $PM_{2.5}$ CORRELATION**

426 Using the forced model structure (Step 1), a group of baseline MLR models was developed.  
427 AOD-only fixed effect model and LME model were also developed as a reference for the  
428 model performance comparison. All these resultant baseline models are listed in Table 2.  
429 Although the performance is better than AOD-only fixed effect model, results show that both  
430 the baseline MLR models and the AOD-only LME model perform relatively poor in  
431 predicting spatiotemporal ground-level  $PM_{2.5}$  without incorporating the microscale  
432 geographic variables and sounding data as predictors. The summer, fall, and winter baseline  
433 MLR models and the AOD-only LME model share a similar prediction performance level of

434 the  $\overline{R^2}$  of 0.3-0.4. The Annual baseline MLR model only has a prediction performance of  $\overline{R^2}$   
435 of 0.2 while the spring baseline MLR model has the lowest  $\overline{R^2}$  of less than 0.1.

### 436 **3.2 THE RESULTANT AOD-LUR MODELS WITH MICROSCALE GEOGRAPHIC** 437 **PREDICTORS AND SOUNDING INDICES**

438 Corresponding to the aforementioned baseline models, a group of AOD-LUR MLR models  
439 was developed to improve the AOD-PM<sub>2.5</sub> correlations (Step 2-3). Based on the model  
440 variables of corresponding MLR models, an AOD-LUR MLE model and a group of AOD-  
441 LUR GTWR models were also developed to further improve the prediction performance  
442 (Step 4). All above resultant AOD-LUR models are listed in Table 2 (details of the MLR and  
443 GTWR models have been included in supplementary materials, Table S1-S7). The annual  
444 MLR model performs poorer than the seasonal MLR models naturally because of the lack of  
445 consideration on the seasonal variation. Developing GTWR models significantly improve the  
446 performance by to incorporate time-dependent effects and geographical non-stationarity into  
447 the model development. It can be seen that the resultant seasonal MLR models with  
448 geographic predictors and sounding variables perform much better than the corresponding  
449 baseline models (see actual by predict plot in Figure 3 and Figure S-3). The summer, fall, and  
450 winter AOD-LUR MLR models have a prediction performance level of the  $\overline{R^2}$  of 0.5-0.6  
451 which are moderately good. After identifying the important variables, the development of  
452 GTWR models further improve the prediction performance to a higher level of the  $\overline{R^2}$  of 0.6-  
453 0.8. The actual by predicted plot shows that some data points in spring have an extremely  
454 high monitored concentration level that cannot be well predicted. A possible cause of these  
455 outliers is the impact of the severe dust storm episodes at a much larger geographical extent  
456 during spring time in Hong Kong (Lee et al., 2010). Although there are conspicuous outliers  
457 in the spring AOD-LUR model, the regression performance is significantly increased when



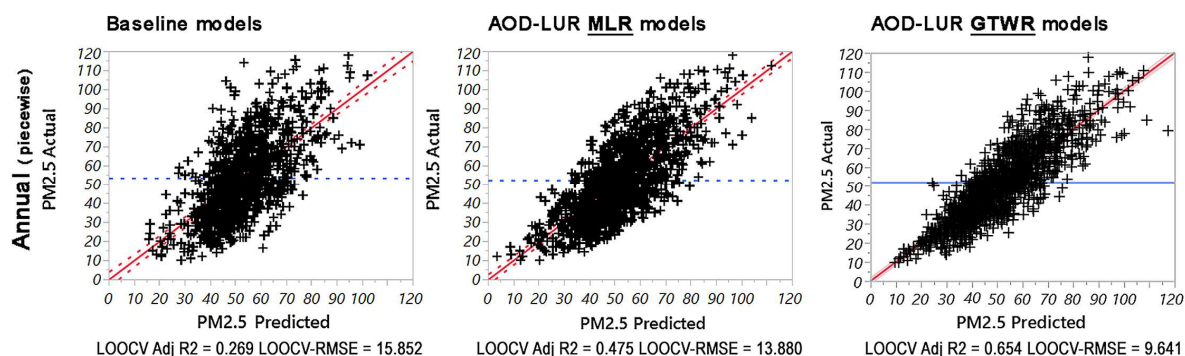
458 compared with the spring baseline model ( $\overline{R^2}$  from 0.07 to 0.35). As described earlier, a  
459 piecewise annual model was also developed by combining the four single seasonal models.  
460 By separately using the four seasonal MLR correlation models in the time intervals of the  
461 four different seasons, the piecewise annual model achieves a better prediction performance  
462 ( $\overline{R^2}$  of 0.55) than the single MLR annual model ( $\overline{R^2}$  of 0.33). As the results, a 48% increase  
463 of 0.48 in  $\overline{R^2}$  of the calibrated correlation was achieved by combining AOD-PM<sub>2.5</sub> correlation  
464 with LUR modelling and incorporating geographic variables and sounding indices as  
465 predictors. Although the AOD-PM<sub>2.5</sub> correlation has been significantly increased, the model  
466 performance is still lower than some previous studies in the other regions of China. It is  
467 reasonable because those studies of China are usually focusing on a larger spatial extent with  
468 fewer concerns of change in microscale environment. For example, the previous studies by  
469 You et al. (2016) and Xie et al. (2015) . Moreover, the monitoring stations they used are  
470 mostly located in homogeneous rural settings. Above the reasons why the variation between  
471 data are relatively low, resulting in a better  $\overline{R^2}$ . Our study focuses on inner-city microscale  
472 variability that can be influenced by multiple geographic factors across a city, which is more  
473 difficult to predict. Similar study for exposure modelling across a city (e.g. heat exposure)  
474 also has relatively low  $R^2$  because of this reason (Ho et al., 2014).

475

476 **Table 2.** List of resultant baseline models by seasons with forced model structure and  
 477 improved AOD-LUR (MLR, LME and GTWR) models with geographic variables and  
 478 atmospheric sounding indices as model predictors. Piecewise MLR and GTWR models are  
 479 not shown in this table because they are combinations of four single-season models. About  
 480 the variable name, for example, *Rdexp0500* represents the road line density of  
 481 expressways/trunk road calculated within the buffer of 500m.

Model type	Model by seasons	Models Model structure (included variables & coefficients)	Model performance evaluation					
			$R^2$	$\bar{R}^2$	Model fitting-RMSE	LOOCV-RMSE	LOOCV- $\bar{R}^2$	p-value
<b>AOD-only fixed effect model</b>	Annual	$15.616*AOD+41.723$	0.072	0.071	18.707	19.249	0.069	<0.0001*
<b>Baseline MLR models (weather parameters-only)</b> (regardless of p-value and VIF of meteorological variables, no other LUR variables, Table S-1)	Annual	$21.030*AOD-0.802*Temp-0.463*RH-1.761*Spd-9.285*Rf-0.091*MSLP+184.058$	0.199	0.196	18.875	19.070	0.194	<0.0001*
	Spring	$9.294*AOD-0.840*Temp-0.077*RH-1.465*Spd-35.261*Rf+0.190*MSLP-129.230$	0.096	0.070	14.410	15.761	0.064	0.0018*
	Summer	$20.958*AOD+0.028*Temp-1.071*RH-1.691*Spd-0.406*Rf-0.387*MSLP+496.565$	0.341	0.319	15.181	16.361	0.296	<0.0001*
	Fall	$26.609*AOD+1.222*Temp-0.672*RH-2.336*Spd-89.186*Rf-0.124*MSLP+187.013$	0.389	0.373	14.111	14.953	0.352	<0.0001*
	Winter	$48.645*AOD+0.319*Temp-0.376*RH-0.941*Spd-184.146*Rf-0.216*MSLP+274.619$	0.381	0.373	15.894	16.332	0.363	<0.0001*
<b>AOD-LUR MLR models</b> (with all included variables meet the criteria of p-value < 0.10 and VIF < 5, Table S-2)	Annual	$24.522*AOD-0.550*Spd+25.347*\bar{\lambda}_p0050-(2.178e-5)*RES0400+0.358*CTOT-0.105*LCLP-0.737*PWAT+138.640$	0.326	0.322	17.097	17.589	0.313	<0.0001*
	Spring	$16.745*AOD-0.487*z+3.724*Rdsec2000+0.451*CTOT-1.014*PWAT+57.171$	0.371	0.353	12.270	14.155	0.306	<0.0001*
	Summer	$24.628*AOD+1.382*Wet+38.007*\bar{\lambda}_p0100-(3.538e-4)*pop0050-0.248*LCLP-0.315*PWAT-2.763*VTOT+274.492$	0.605	0.589	12.761	13.163	0.571	<0.0001*
	Fall	$37.719*AOD+1.534*Wet+3.835*Rdexp0500-0.990*Rdord0200-0.167*LCLP-0.575*PWAT+168.896$	0.524	0.518	13.508	13.747	0.509	<0.0001*
	Winter	$57.671*AOD+0.266*RH+2.172*Rdexp0750-0.144*LCLP-0.089*MLPT+155.119$	0.570	0.564	13.223	14.453	0.516	<0.0001*
<b>AOD-only LME model</b>	Annual	<i>The coefficients of random effect are seasonally varied.</i>	0.320	0.319	15.456	16.380	0.301	<0.0001*
<b>AOD-LUR LME model</b>	Annual	<i>The coefficients of random effect are seasonally varied.</i>	0.375	0.374	15.755	15.797	0.374	<0.0001*
<b>AOD-LUR GTWR models</b> (with all included variables meet the criteria of p-value < 0.10 and VIF < 5)	Annual	<i>The model coefficients are geographically and temporally varied. (Table S-3 - S-7 shows the coefficients of GTWR models, see the Supplementary Material).</i>	0.542	0.541	11.598	13.523	0.461	<0.0001*
	Spring		0.617	0.615	8.590	9.693	0.536	<0.0001*
	Summer		0.899	0.898	5.885	6.254	0.839	<0.0001*
	Fall		0.709	0.708	9.071	10.460	0.606	<0.0001*
	Winter		0.640	0.639	12.120	12.158	0.634	<0.0001*

482



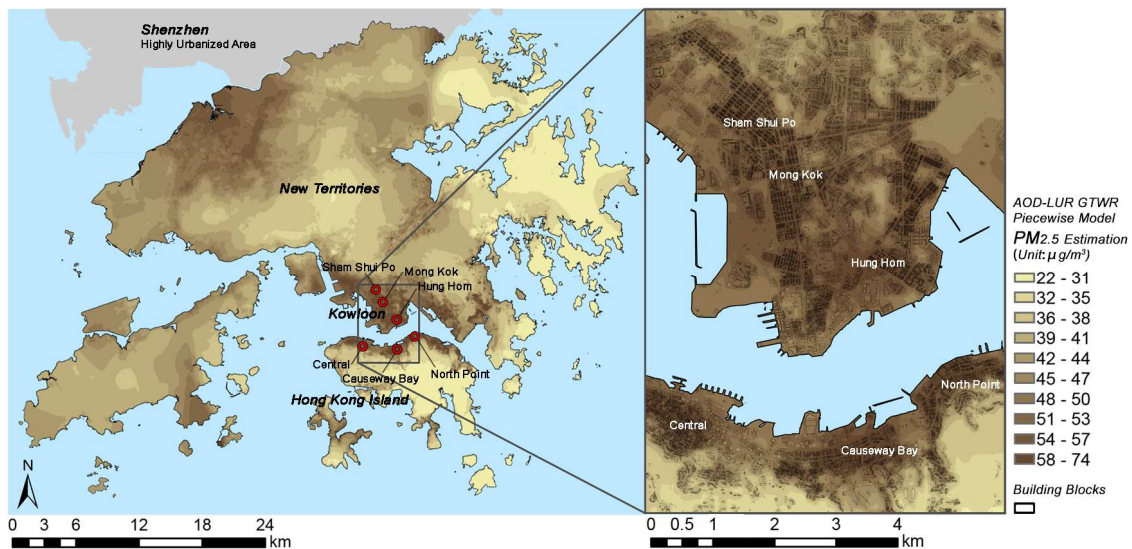
483

484 **Figure 3.** Actual by predicted plot of resultant piecewise models with microscale geographic  
 485 predictors and sounding indices (LOOCV- $\overline{R^2}$  and LOOCV-RMSE are shown). Figure S-3  
 486 shows the results of other models.

487 Without forcing the structure, the resultant AOD-LUR models shows different model  
 488 structures from the baseline models. First, as expected, most of the basic weather variables,  
 489 instead of atmospheric sounding indices, are removed from the resultant models. A major  
 490 impact factor in meteorological conditions and aerosol vertical distribution (Arya, 1999; Li et  
 491 al., 2015), the atmospheric stability can be better represented by sounding indices, and  
 492 consequently improve the model performance. Second, the geographic predictors of urban  
 493 surface form, road traffic density and land use show in all resultant models. Traffic density  
 494 and land use represent the spatial variability of the emission intensity, necessarily be the  
 495 influential factors of air particle concentration in the resultant models. Under the high-density  
 496 and highly heterogeneous urban context of Hong Kong, the surface forms in different areas  
 497 can be considerably diverse. Urban surface forms alter the turbulent air circulation (Seinfeld,  
 498 1989), and subsequently varies the vertical profile of air particles in the boundary layer (Chan  
 499 et al., 2005). Including such spatial information into the AOD-PM<sub>2.5</sub> correlations for LUR  
 500 modelling naturally provides a better estimation of ground-level PM<sub>2.5</sub> variability.

### 501 3.3 AOD-LUR GEO-MAPPING

502 The geo-mapping of the spatial distribution of  $PM_{2.5}$  was developed based on the  
503 spatiotemporal  $PM_{2.5}$  estimation from the resultant AOD-LUR models. The AOD images  
504 were resampled using a cubic spline function for the mapping purpose (Bian and Xie, 2015).  
505 Seasonal average values were mapped in this paper as the right column of Figure S-3. As  
506 shown in a zoomed-in picture (Figure 4), several generally concerned air pollution hotspots,  
507 including Central, Causeway Bay in Hong Kong Island and Mong Kok, Sham Shui Po, Hung  
508 Hom in Kowloon Area can be clearly observed in the resultant geo-mapping (summer model,  
509 local-dominant air pollution mode). These areas have always been of great concerns and are  
510 commonly investigated in other local air pollution studies (Chu et al., 2005; Ho et al., 2006).  
511 Apart from the well-known air pollution hotspots, the AOD-LUR mappings developed in this  
512 paper also successfully point out another  $PM_{2.5}$  hotspot, North Point on Hong Kong Island,  
513 which was newly identified by a recent study focusing on the street-level  $PM_{2.5}$  exposure (Shi  
514 et al., 2016). Kok et al. (1997) already mentioned that the pollution transported from the  
515 neighboring area in Mainland China leads to poor air quality on the north and west sides of  
516 Hong Kong. In the present study, besides the local effect, a higher concentration level in the  
517 north and west part of Hong Kong can be clearly observed in the winter model (regional-  
518 dominant air pollution mode, Figure 4), which indicates that the resultant models successfully  
519 capture above situation by incorporating AOD data into LUR modelling. To be more specific,  
520 this large difference in the spatial mapping between summer and winter clearly shows the  
521 seasonal change in the dominant air pollution modes of Hong Kong. It features the local  
522 emission dominant mode in summer and the overwhelming effect of the strong regional  
523 impacts from PRD in winter (Kwok et al., 2010; Yuan et al., 2006). The above indicates that  
524 the AOD-LUR modelling in this study provides a reliable estimation of  $PM_{2.5}$  for a small  
525 geographic extent in a high-density and heterogeneous urban context.



526

527 **Figure 4.** Resultant AOD-LUR geo-mapping with labeled  $PM_{2.5}$  concentration hotspots  
 528 (AOD-LUR GTWR piecewise model results).

## 529 4. DISCUSSION

### 530 4.1 IMPROVING AOD- $PM_{2.5}$ CORRELATIONS WITH MICROSCALE GEOGRAPHIC 531 PREDICTORS AND SOUNDING INDICES

532 The present study improves the AOD- $PM_{2.5}$  correlation in a small geographic extent with  
 533 highly heterogeneous landscapes and utilizes the result in LUR spatiotemporal  $PM_{2.5}$   
 534 estimation. A previous attempt has been made for estimating the spatial variability of air  
 535 particles in Hong Kong using MODIS AOD. However, the spatial scale is limited by the  
 536 resolution of remote sensing images (Wong et al., 2011). Moreover, the annual average based  
 537 spatial variation only provides limited information for health risk assessments without  
 538 temporal estimation. In this study, the uncalibrated spatiotemporal correlation between AOD  
 539 and ground-level  $PM_{2.5}$  observations are substantially improved by incorporating microscale  
 540 geographic predictors and atmospheric sounding indices as covariates using AOD-LUR  
 541 modelling. This result makes the temporal-resolved  $PM_{2.5}$  spatial estimation become viable  
 542 for more accurate public health applications.

## 4.2 LUR MODELLING IN HIGH-DENSITY AND HETEROGENEOUS URBAN

### CONTEXT

On the top of the improved AOD-PM<sub>2.5</sub> correlations, this study also provides fine-scale mappings of PM<sub>2.5</sub> spatiotemporal variation based on LUR modelling. The mappings provide useful information for public health management because they help identify the PM<sub>2.5</sub> concentration hotspots. Identifying pollution hotspots at a fine scale is essential in Hong Kong. Under the highly heterogeneous urban context, it is impossible to identify hotspots by the sparsely distributed monitoring stations efficiently. This study shows that the monitoring gaps can be filled with remote sensing data by AOD-LUR modelling and geo-mapping techniques which are useful in the estimation of PM<sub>2.5</sub> human exposure level and public health applications at a finer spatial scale (Thach et al., 2015). The present study is one of the first cases of application in an extremely high-density city. Although the resultant LUR models are specially developed for Hong Kong thus cannot be entirely transferable to other locations, the present study provides a generalize-able methodology to the environment protection officers and policy-makers in other cities/regions. The way that this research analyzes the microscale urban form and integrates it into AOD-LUR modelling makes better use of the urban datasets. The analysis method could be entirely transferred and adopted to other cities. The environment protection officers and policy-makers will be able to reference it and adjusted or redevelop the prediction models based on their local settings. More importantly, the generalize-able workflow makes the prediction models and spatial estimation of different city scenarios becomes quantitatively comparable, which could contribute a more comprehensive understanding on the urban effects on air quality across different regions.

### 4.3 LIMITATIONS

There are a few limitations of this study, which included that the available AOD observations were directly joined to the ground-level PM<sub>2.5</sub> measurements. The grid cell variability in each



568 3 km AOD cell can only be considered on the multivariate statistical analysis stage (by using  
569 microscale geographic indices as model predictors). Future studies could be beneficial to  
570 consider the grid-cell variability of when joining AOD observations with ground-level PM<sub>2.5</sub>  
571 measurements.

572 In addition, external dataset is not available for validation in Hong Kong. With the use of  
573 only 15 ground-based monitoring stations in Hong Kong that available for model  
574 development, cross-validation was used to validate our resultant maps. This internal  
575 validation method is a strategy for validating predictions with observed data when there is  
576 lack of external data for validation (Refaeilzadeh et al., 2009), which has been widely used in  
577 previous studies for exposure mapping. Therefore, cross-validation without the use of an  
578 external dataset is appropriate for the purpose of the present study. In our next step works,  
579 attempt will be made to acquire relevant datasets from neighboring large cities (e.g.  
580 Shenzhen) for an external validation, which could also be useful to evaluate the  
581 transferability to other regions of the resultant models.

582 Although, the regional impact from the neighboring urbanized area in PRD region was  
583 successfully captured by our models as mentioned in section 3.3, the severe dust storm  
584 episode events due to the transport of dusts from East Asian and non-East Asian sources (Lee  
585 et al., 2010) are not well reflected in the spring models. This reveals that AOD-LUR  
586 modelling approach has a limited skill in handling the long-range transport of pollutants at a  
587 very large geographical extent. Further attempts could be made to nest the AOD-LUR models  
588 into a global or a very large regional climate/atmospheric modelling (e.g., GCMs, WRF) for  
589 geostatistical downscaling. The outputs can possibly provide a better estimation of ground-  
590 level PM<sub>2.5</sub> under the large-scale regional impacts.

## 591 5. CONCLUSIONS

592 In this study, we developed AOD-LUR spatiotemporal models of ground-level  $PM_{2.5}$   
593 concentrations and a 13-years long-term daily resolved dataset to improve the AOD- $PM_{2.5}$   
594 correlations in a high-density city, with considerations of microscale environmental factors.  
595 On top of the AOD- $PM_{2.5}$  correlations based on the LUR model with microscale geographic  
596 predictors, we estimated the daily-resolved fine-scale spatiotemporal variation of ground-  
597 level  $PM_{2.5}$  over Hong Kong. Quantitative information on the spatiotemporal variation of air  
598 pollution is essential for the planning of a densely-built urban environment because air  
599 quality is closely related to urban development. Urban development changes land cover/land  
600 use, building morphology and transportation. As a result, pollution emission increases, the  
601 local climate condition is altered and pollution dispersion is consequently affected. Compact  
602 urban development is generally regarded as a sustainable mode because it saves land  
603 resources, allows efficient use of transportation facilities. However, compact development  
604 modes without appropriate control can lead to severe urban air pollution issues (Betanzo,  
605 2007). The AOD-LUR models developed in this study indicate that the building morphology  
606 (parameterized as the model variables of urban surface form) is actually an influential factor  
607 in air pollution concentration in a high-density urban context. Therefore, the resultant AOD-  
608 LUR models developed in this study could be potentially translated into quantitative rules  
609 and guidelines for environmental urban planning.

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