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2 Distinct effects of Fine and Coarse Aerosols on Microphysical Processes of Shallow
3 Precipitation Systems in Summer over Southern China

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16 **Abstract:** The densely populated South China, adjacent to the South China Sea, which
17 is associated with shallow precipitation during summer, makes it a natural experimental
18 region for studying the impact of aerosols on shallow precipitation events. Using 8
19 years of GPM DPR, MERRA-2 aerosol, and ERA reanalysis data, this study
20 investigates the potential influence of coarse and fine aerosol modes on the precipitation
21 structure and microphysical processes of shallow precipitation in South China.
22 Statistical results indicate that during coarse aerosol-polluted conditions, shallow
23 precipitation clouds have a lower median Storm Top Height (STH, ~3.2 km), but a
24 higher mean near-surface rainfall (RR, ~1.78 mm h⁻¹), characterized by high
25 concentrations of large raindrops, mainly driven by significant collision-coalescence
26 processes (accounting for 74.1%). Conversely, during fine aerosol-polluted conditions,
27 shallow precipitation clouds develop deeper median STH ~3.7 km with lower surface
28 RR characterized by a low concentration of small hydrometeors, resulting from
29 increased breakup processes (33.1%) and reduced collision-coalescence processes
30 (69.6%). The coarse (fine) aerosols act as promoters (inhibitors) of the radar and radar
31 reflectivity in the profile of shallow precipitation, regardless of dynamic and humid
32 conditions. The effect of coarse aerosols in promoting precipitation and the inhibiting
33 effect of fine aerosols are the most significant under low humidity conditions, mainly
34 attributed to the significantly enhanced collision-coalescence processes, exceeding
35 22.2%. Furthermore, the increase in RR above 3 km during coarse aerosol-polluted
36 environments is mainly driven by the high concentration of hydrometeors in low
37 instability conditions, while by large hydrometeors in high instability environments.
38



39 **Short Summary:** The precipitation microphysical mechanisms responsible for the
40 varied impacts of aerosols on shallow precipitation remain unclear. This study reveals
41 that coarse aerosols invigorate shallow rainfall through enhanced coalescence processes,
42 whereas fine aerosols suppress shallow rainfall via intensified breakup microphysical
43 processes. These impacts are independent of thermodynamic environments but are
44 more significant in low-humidity conditions.

45

46 *1 Introduction*

47 Shallow precipitation, typically classified based on the storm height, prevails over
48 the ocean and marine continent, which could contribute 20% of the rainfall over tropical
49 oceans and 7.5% over topical land (Liu and Zipser, 2009; Chen et al., 2016; Short and
50 Nakamura, 2000). This underscores its crucial significance in the regulation of the
51 global water cycle. However, shallow precipitation is a complex phenomenon
52 influenced by various factors such as water vapor, thermodynamic environment, and
53 aerosols (Lang et al., 2021; Chen et al., 2024; Smalley and Rapp, 2020). Among these
54 factors, aerosols have been the subject of intense debate due to the complexity of
55 aerosol-radiation interactions and aerosol-cloud interactions between different species,
56 leading to unresolved questions regarding whether aerosols will enhance or suppress
57 shallow precipitation (Koren et al., 2014; Fan et al., 2020; Christensen and Stephens,
58 2012).

59 The impact of aerosols on precipitation has been widely investigated in many
60 previous studies (Sun and Zhao, 2021; Miltenberger et al., 2018; Liu et al., 2022; Fan
61 et al., 2018). Regional differences show that aerosols can delay the start time of
62 precipitation by 2 hours in the Pearl River Delta but advance by 3 hours in the North
63 China Plain (Sun and Zhao, 2021). Furthermore, precipitation is suppressed for
64 stratocumulus and small cumulus clouds in high aerosol environments, but enhanced
65 for heavy precipitation events and deep convective clouds (Yuan et al., 2011; Rosenfeld
66 et al., 2008; Xiao et al., 2022; Miltenberger et al., 2018). However, convective rainfall
67 invigoration depends on aerosol concentrations, which turns into suppression at the
68 turning zone of aerosol optical depth in 0.25-0.30 (Guo et al., 2019), potentially linked



69 to a change from aerosol microphysical effects to aerosol radiative effects (Jiang et al.,
70 2016). Focusing on different aerosol species, Liu et al. (2022) found an improvement
71 of rainfall flux for marine warm clouds by a factor of 4 in high coarse spray aerosols,
72 but a suppression by a factor of 0.25 in high fine aerosol conditions. Additionally, these
73 contrast effects are independent of meteorological conditions. Other studies suggest that
74 the improvement of rainfall in orographic regions with high mineral dust concentrations
75 is more significant in humid environments (Zhang et al., 2020b). In general, the impacts
76 of aerosols on precipitation are determined by many factors, including meteorology,
77 aerosol types, aerosol concentration, cloud types, and so on and therefore must be
78 disentangled.

79 Most of these studies on the interactions between aerosols and precipitation have
80 focused on the intensity, frequency of precipitation, and start and peak times of
81 precipitation, but few studies have reported on how aerosols impact rainfall through
82 modulating microphysical structures and processes of precipitation. Using three-
83 dimensional observations of precipitation and microphysics from dual frequency
84 precipitation radar (DPR) onboard the Global Precipitation Mission (GPM), recent
85 studies have revealed that aerosol mainly reduces mean droplet concentration and
86 increases the effective radius of precipitation in most regions of eastern China (except
87 Northeast China) (Sun et al., 2022); Xiao et al. (2022) found that the aerosol
88 invigoration effect on convective rainfall is characterized by higher droplet
89 concentration with smaller size under polluted conditions in Northeast China. However,
90 the impact of different aerosol species on precipitation microphysical structures and
91 microphysical processes (i.e., efficiency of coalescence of rain droplets) has rarely been
92 studied, which is crucial for understanding the complete chain of the relationships
93 between aerosols, precipitation microphysics, and precipitation.

94 South China (18~29°N, 110~123°E) is a region where shallow precipitation occurs
95 frequently (occurrence frequency up to 20%) and different types of aerosols prevail
96 during summer (Yang et al., 2021), making it an ideal region for the study on the effect
97 of the effect of aerosols on shallow precipitation. Using the combined data set of GPM



98 DPR and MERRA-2 (Modern-Era retrospective analysis for Research and Applications,
99 Versions2), this study aims to answer the following questions: 1) Will the coarse and
100 fine aerosols enhance or weaken the surface precipitation of shallow precipitation, 2)
101 How do aerosols affect the precipitation microphysical structures or processes (i.e.,
102 break-up, collision-coalescence), 3) Are the relations between aerosols and rainfall,
103 microphysical structures and processes sensitive to the dynamical and vapor component?
104 The data and methods are introduced in Section 2. Section 3 discusses the impacts of
105 fine and coarse aerosols on the microphysical properties and processes for shallow
106 precipitation. A summary and conclusions are presented in Section 4.

107

108 ***2 Data and Methods***

109 ***2.1 Data***

110 In this study, four different data set are used to illustrate the potential impact of
111 aerosols on microphysical precipitation structures and shallow precipitation processes
112 over southern China during the summers between 2014 and 2021.

113 In the present study, the hourly MERRA-2 aerosol dataset
114 (MERRA2_400.tavg1_2d_aer_Nx) at 0.5×0.625 spatial resolution is used. MERRA-
115 2 is produced using the Goddard Earth Observing System, Version 5 (GEOS-5)
116 atmospheric model and the Gridpoint Statistical Interpolation (GSI) assimilation
117 system (Molod et al., 2015). GEOS-5 integrates a radiatively coupled version of the
118 Goddard Chemical Aerosol Radiation and Transport (GOCART) model to simulate
119 aerosol components (Chin et al., 2002). In the estimation of aerosol properties,
120 MERRA-2 assimilates aerosol data from ground-based observations from Aerosol
121 Robotic NETwork (AERONET) and spaceborne aerosol products from Advanced Very
122 High Resolution Radiometer (AVHRR), Multiangle Imaging Spectro Radiometer
123 (MISR) (Randles et al., 2017; Buchard et al., 2017). Aerosol species, including black
124 carbon, organic carbon, sulfate, sea salt, and dust, are assumed to be external mixtures



125 that do not interact with each other. Previous studies have shown a relatively good
126 consistency of AOD from MERRA-2 and ground-based observations, i.e., AERONET,
127 Sun sky radiometer Observation NETwork (SONET) (Ou et al., 2022; Buchard et al.,
128 2015; Sun et al., 2019a). Since MERRA-2 lacks nitrate aerosols that account for
129 negligible parts of total aerosol concentration, it can lead to underestimations in the
130 estimation of total AOD and fine aerosols (Sun et al., 2019b). However, using the
131 percentile method to identify high aerosol loading conditions may reduce uncertainties
132 caused by underestimating AOD to some extent. In this present study, we consider the
133 aerosol optical thickness and the extinction at 550 nm for five species, i.e. black carbon,
134 organic carbon, sulfate, sea salt, and dust, as well as the Angstrom exponent (α) between
135 470 and 870 nm. α is a significant parameter in aerosol science, which elucidates the
136 AOD dependency on wavelength. A higher α is related to a higher concentration of fine
137 particles, whereas a lower α suggests higher concentration of coarse particles (Lolli et
138 al., 2023)

139 The GPM DPR consists of two precipitation radars operating in the Ka and Ku
140 bands, providing a unique opportunity to obtain information on three-dimensional
141 precipitation and particle drop size distributions (DSDs) at the same time. In the present
142 study, the official 2ADPR (version 7) dataset covering the summers (June to August)
143 of 2014 and 2021 is also used, which provides information on the observation time,
144 near-surface rain rate (RR), liquid water path (LWP), the three-dimensional profiles of
145 attenuation-corrected reflectivity (Z_e), rainfall, the mass-weighted mean diameter D_m
146 (in mm) and the generalized intercept N_w (in $\text{mm}^{-1} \text{m}^{-3}$) of the normalized gamma
147 distributions with a vertical resolution of 125 m in each scanning pixel (Iguchi et al.,
148 2017). The reliability of DSDs and precipitation has been validated by many previous
149 studies (Huang et al., 2021; Radhakrishna et al., 2016). Due to the high spatial
150 resolution (125m in vertically and 4.5 km in horizontal resolution), the official 2ADPR
151 (version 7) dataset has been widely used in the field of climatology (Chen et al., 2024;
152 Zhang et al., 2020a; Chen et al., 2020). Shallow precipitation clouds are defined by
153 their near-surface RR exceeding 0.1 mm h^{-1} and STH below 5 km in altitude. The storm



154 top height (STH) is defined as the maximum height where the Z_e exceeds 20dBZ (Liu
155 and Zipser, 2013).

156 In this study, convective available potential energy (CAPE) and relative humidity
157 (RH) at 850 hPa from the fifth generation global reanalysis of the European Center for
158 Medium-Range Weather Forecasts (ERA5) covering the period from 2014 to 2021 are
159 also used to investigate the meteorological dependence on the relationship between
160 aerosols and precipitation. Additionally, the global 1km grid quality-controlled global
161 digital elevation model (DEM) (<https://ngdc.noaa.gov/mgg/topo/globe.html>) is also
162 used to exclude the influence of topography in the present study.

163

164 **2.2 Methods**

165 Due to the different spatial and temporal resolutions of DPR, MERRA-2, and
166 ERA5, these three datasets must be matched before investigating the potential impact
167 of different types of aerosols on shallow precipitation. Since the DPR detects the rainy
168 pixels at approximately 4.5 km spatial resolution, both MERRA-2 at $0.5 \times 0.625^\circ$
169 resolution and ERA5 at 0.25° resolution are first linearly interpolated to 0.05°
170 resolution. To represent the aerosol conditions before shallow precipitation, MERRA-
171 2 AOD observations, close to DPR observation time with a spatial resolution of 0.05°
172 are considered. The atmospheric data at 0.05° resolution closest to the center and the
173 observation time of the DPR pixel are obtained from ERA5. The aerosol fine mode
174 AOD is defined as the total AOD sum of partial AOD of black carbon, organic carbon,
175 and sulfate, while the AOD of coarse aerosols is the total value of the sum of AOD
176 values of sea salt and dust particles. Furthermore, to rule out the effect of topography
177 on precipitation and aerosols, only shallow precipitation pixels that occur over a
178 topography of less than 100 m is included in the study.

179

180 In Figure 1a, the probability density of joint distribution of AOD and α before the
181 shallow precipitation event is represented. Shallow precipitation is most likely to occur



182 when the AOD is around 0.4 and α is around 1.4, indicating the dominance of fine
183 aerosols. This is mainly attributed to the prevalence of fine aerosols in South China
184 during summer, as shown in Figure 1b, where the probability density distributions (PDF)
185 of AOD between fine aerosols and total aerosols show similar values. However, shallow
186 precipitation also occurs in environments dominated by coarse aerosols, showing a high
187 frequency when α is less than 1 and AOD is less than 0.3 (Figure 1a).

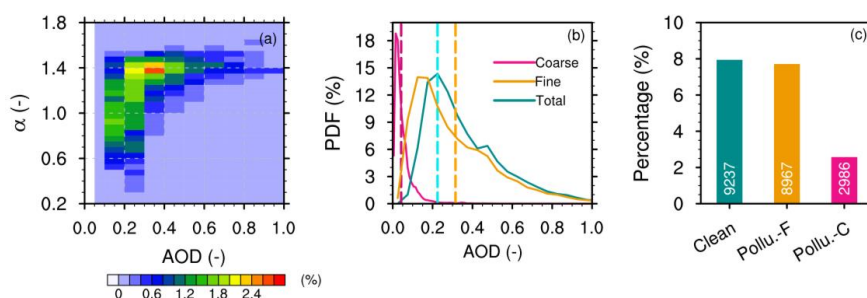
188 To classify the clean and aerosol-polluted conditions over South China, PDFs of
189 AOD for fine, coarse and total aerosols are calculated before shallow precipitation, as
190 shown in Figure 1b. It can be observed that the coarse mode AOD is relatively small,
191 primarily distributed between 0 and 0.2, while fine mode AOD and total AOD are
192 almost equal, mainly concentrated between 0 and 1.0. Specifically, the peak frequency
193 occurs at an AOD of approximately 0.1 for coarse aerosols, 0.15 for fine aerosols, and
194 0.2 for total aerosols. We define a clean environment as one in which the AOD of the
195 total aerosols fall below the 30th percentile in all the data sampled, specifically the
196 AOD of the total aerosols < 0.025 (see Table 1 for reference). A fine aerosol-polluted
197 environment is defined as when the AOD of fine (coarse) aerosols exceeds 60%
198 quantiles across all sampled data, ensuring that the AOD of fine (coarse) aerosols
199 accounts for over 50% of total aerosols. Based on these standards, a coarse aerosol-
200 polluted environment is classified as having a coarse AOD > 0.0425 , where the
201 proportion of coarse AOD to total aerosols exceeds 50%. Similarly, a fine aerosol-
202 polluted environment is defined by a fine AOD > 0.315 , with the proportion of fine
203 AOD to total aerosols exceeding 50% (see Table 1 for reference). During the study
204 period, there are 9237, 967, and 2986 shallow precipitation samples under clean, fine
205 aerosol, and coarse aerosol-polluted conditions, respectively (Figure 1c). The shallow
206 precipitation accounts for a higher proportion with respect to the total precipitation
207 samples, reaching 8% in clean and fine aerosol-polluted conditions. However, under
208 coarse aerosol-polluted conditions, the proportion of shallow precipitation samples is
209 much lower, at around ~2%. Due to the lower AOD of coarse aerosol mode, occurrences
210 where the AOD of coarse aerosols account for more than 50% of the total AOD are less



211 frequent, which explains the lower shallow precipitation samples in coarse aerosol-
 212 polluted conditions. However, the nearly 3000 samples ensure the reliability of our
 213 research results to some extent.

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216

217 **Figure 1** The countered frequency of AOD and α before the appearance of shallow
 218 precipitation (a), the probability distribution functions of AOD for fine, coarse and total
 219 aerosols before shallow precipitation event (b), the percentages of shallow precipitation
 220 samples to total precipitation samples in terms of different aerosol conditions (c) as
 221 observed by DPR in southern China during the summers of 2014-2021. The pink
 222 vertical line (orange) in (b) indicates the upper 60% for fine (coarse) aerosols,
 223 respectively. The cyan vertical line in (b) indicates the lower 30% for the total AOD.
 224 The shallow precipitation samples are indicated by white text in (c).

225

226 **Table 1** Definitions of polluted and clean conditions of coarse and fine aerosol
 227 modes in southern China during the summers of 2014-2021.

Environment	Definition
Clean	Total AOD < 0.225
Polluted_Fine	Fine AOD > 0.315 & Fine AOD ratio > 50%
Polluted_Coarse	Coarse AOD > 0.0425 and Coarse AOD ratio > 50%

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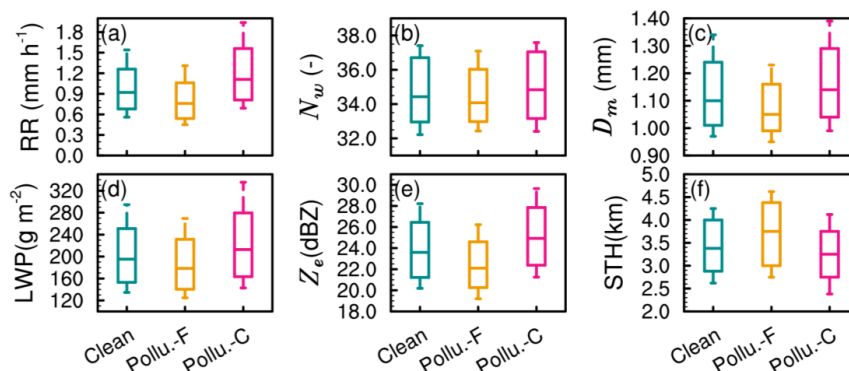
229 **3 Results**

230 **3.1 Influence of aerosol on rainfall and microphysical characteristics**

231 Figure 2 presents boxplots of near-surface RR, N_w , D_m and Z_e at 2.5 km in altitude,
232 as well as LWP and STH for shallow precipitation under different aerosol conditions in
233 South China. Compared to the clean environment, the RR decreases slightly in the fine
234 aerosol-polluted environment, with a median value of only 0.7 mm h⁻¹, while in the
235 coarse aerosol-polluted environment, the median value of RR increases, reaching 1.0
236 mm h⁻¹. This is consistent with a higher median Z_e at 2.5 km in altitude (25 dBZ) under
237 coarse aerosol-polluted conditions and a lower one (22 dBZ) under fine aerosol-
238 polluted conditions, suggesting the inhibition effect of fine particles and the
239 invigoration effect of coarse particles on the near-surface RR for shallow precipitation.
240 However, the coarse aerosol-polluted environment is not promoting vertical
241 development of shallow precipitation clouds (Figure 2f), with a significantly lower
242 median STH (~3.2 km) than that (~3.7 km) in fine aerosol-polluted environments. From
243 a microphysical perspective, compared to the clean environment, the median values of
244 LWP (with a median of approximately 170 g m⁻²), N_w (34), and D_m (1.05 mm) at 2.5
245 km altitude decrease under the fine aerosol-polluted mode. On the contrary, under
246 coarse aerosol-polluted conditions, the median values of LWP, N_w , and D_m at 2.5 km
247 altitude increase, reaching 210 g m⁻², 35, and 1.15 mm, respectively. This indicates that
248 the enhancement of near-surface RR under coarse aerosol-polluted conditions is
249 contributed by high concentrations of large rain droplets, while the weakening under
250 fine aerosol-polluted conditions is influenced by low concentrations of small rain
251 droplets. In South China, sea salt aerosols are the primary components of coarse
252 particles, and a recent study by Liu et al. (2022) has shown that sea salt aerosols are
253 more likely to form large cloud droplets through hygroscopic growth, which are more
254 likely to form rain droplets through condensation and other microphysical processes,
255 resulting in higher cloud water content within shallow precipitation clouds. On the



256 contrary, fine mode aerosols tend to reduce the effective radius of cloud droplets, with
 257 small cloud droplets being prone to evaporation and subsequent loss of cloud water.
 258 Our results fill the gap between cloud microphysics, precipitation microphysics, and
 259 precipitation.
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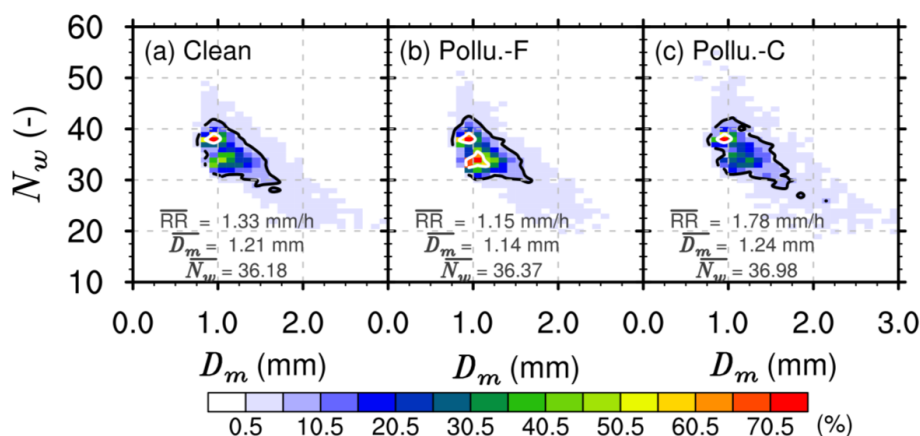


263
 264 **Figure 2** The box plot of the near-surface rain rate (a), N_w (b), D_m (c), LWP (d),
 265 Z_e (e) and STH (f) for shallow precipitation under different aerosol conditions in
 266 southern China during the summers of 2014-2021. The upper and lower edges of the
 267 boxes represent the lower and upper tritile, respectively. The line in the box is the
 268 median. The lower quartile and the upper quartile are shown by the whiskers that extend
 269 from the box.

270
 271 DSDs directly impact RR. Therefore, the DSDs at 2.5 km altitude for shallow
 272 precipitation clouds over southern China under three aerosol conditions are illustrated
 273 in Figure 3. Regardless of aerosol background, DSDs exhibit characteristics of high
 274 concentrations of small particles and low concentrations of large particles, consistent
 275 with previous research findings (Wang et al., 2016; Chen et al., 2022). In a clean
 276 environment (Figure 3a), the DSD of shallow precipitation exhibits a high-frequency
 277 center around N_w of approximately 40, with D_m around 1.0 mm, reaching a frequency



278 exceeding 70%. A secondary peak (40%) slightly shifts towards the lower right, located
 279 at D_m around 1.2 mm and N_w around 32. In the case of fine aerosol-polluted
 280 environments (Figure 3b), the average RR (1.15 mm h^{-1}) and D_m (1.14 mm) are slightly
 281 reduced compared to the clean environment, while the mean N_w increases slightly to
 282 36.37. Furthermore, the secondary peak observed in a clean environment becomes more
 283 pronounced under fine aerosol-polluted conditions, with a frequency exceeding 50%.
 284 In contrast to clean and fine aerosol-polluted environments, both the mean values of
 285 RR and N_w increase under coarse aerosol-polluted conditions (Figure 3c). Furthermore,
 286 the DSD reveals more samples with D_m exceeding 2 mm or N_w exceeding 40, further
 287 indicating the enhancement of RR for shallow precipitation in coarse aerosol-polluted
 288 environments.
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 290



291
 292 **Figure 3** DSDs at 2.5 km altitude for shallow precipitation in clean (a), fine (b) aerosol-
 293 polluted and coarse (c) aerosol-polluted environments over southern China during the
 294 summers of 2014-2021. The mean values of D_m and N_w under different aerosol
 295 conditions are presented in each panel. The 5% and 50% contours are indicated by black
 296 and white solid lines, respectively.

297
 298



299 **3.2 Influence of aerosol on microphysical structures and processes**

300 The above analysis has shown significant differences in near-surface RR and DSD
301 for shallow precipitation under different aerosol environments. The vertical structure of
302 precipitating clouds is closely related to near-surface RR and DSD, reflecting the
303 thermal and dynamic structure within the clouds. Investigating the precipitation and
304 microphysical structures under different aerosol backgrounds can further deepen our
305 understanding of the thermodynamic and microphysical mechanisms by which aerosols
306 affect shallow precipitation near the surface.

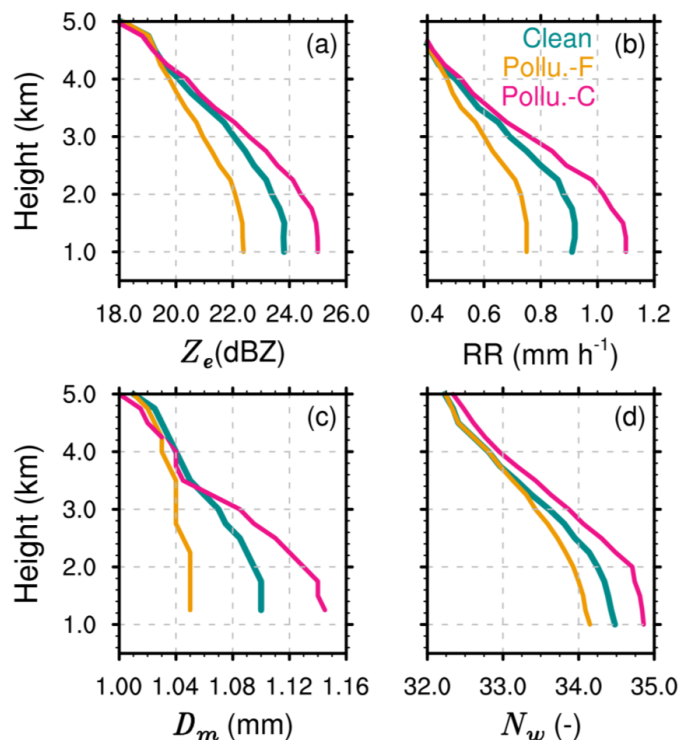
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308 Figure 4 presents the profiles of the median values of Z_e , RR, D_m , and N_w for
309 shallow precipitation over southern China in summer in three different aerosol
310 environments. Overall, shallow precipitation shows an increase in Z_e , RR, D_m , and N_w
311 with decreasing altitude under different aerosol backgrounds, indicating that the
312 shallow precipitation growth process is mainly dominated by warm rain collision-
313 coalescence processes. This is similar to the precipitation structures for shallow
314 precipitation in the Yangtze-Huaihe River Basin (Chen et al., 2024). However, the
315 median values of Z_e , RR, D_m , and N_w at each altitude differ under different aerosol
316 environments. The promotion effect of coarse aerosols and the inhibition effect of fine
317 aerosols are present throughout the profile. For example, the median values of Z_e , RR,
318 D_m , and N_w at any given altitude are the largest in a coarse aerosol-polluted environment
319 and the smallest in a fine aerosol-polluted pollution. Furthermore, the most significant
320 differences in precipitation microphysical structures under different aerosol
321 backgrounds occur near the surface (below 2 km). For example, at 1 km altitude, the
322 differences in Z_e , RR, D_m , and N_w are approximately 3 dBZ, 0.4 mm h⁻¹, 0.12 mm and
323 1, respectively.

324 Taking into account the increasing amplitude of the median values of Z_e , RR, D_m ,
325 and N_w with decreasing altitude, there are significant differences under different aerosol
326 backgrounds, reflecting different microphysical precipitation processes within shallow
327 precipitation systems. Specifically, in coarse aerosol-polluted environments, the



328 increases in Z_e , RR, D_m , and N_w within the same altitude layer are the largest, while the
 329 increases in these variables are the smallest in fine aerosol-polluted environments. This
 330 explains why an increase in coarse particles enhances RR compared to that in a clean
 331 environment, while an increase in fine aerosols inhibits precipitation. For example, the
 332 median D_m in clean environments increase from 1.07 mm at 3 km altitude to 1.1 mm at
 333 1 km altitude. In coarse aerosol-polluted environments, D_m shows a more significant
 334 increasing trend, with the median D_m increasing from 1.08 mm at 3 km to 1.14 mm at
 335 1 km. However, in fine aerosol-polluted environments, the increase in the median D_m
 336 from 3 km to 1 km is weak, almost remaining constant at around 1.04 mm.
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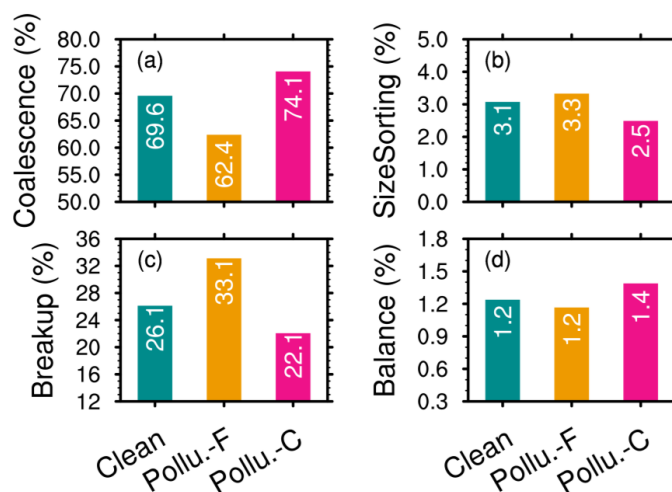
339
 340 **Figure 4** The profiles of the median Z_e (a), rain rate (b), D_m (c), and N_w (d) for
 341 shallow precipitation in different aerosol conditions over southern China during the
 342 summers of 2014-2021.



343

344 To more intuitively reflect the potential impact of different types of aerosol on the
345 near-surface microphysical processes of shallow precipitation, the methods of Kumjian
346 et al. (2014) are adopted to quantify the near-surface microphysical processes using
347 changes in Z_c ($\Delta Z_c = Z_c^{1\text{km}} - Z_c^{3\text{km}}$) and D_m ($\Delta D_m = D_m^{1\text{km}} - D_m^{3\text{km}}$) at 3 km and 1 km. For
348 example, collision-coalescence typically causes increases in Z_c and D_m , while breakup
349 causes decreases. Likewise, an increase in D_m and a decrease in Z_c toward the ground
350 (positive ΔD_m and negative ΔZ_c) signify that the governing process is evaporation or
351 size sorting. The fingerprint of a "balance" between collision-coalescence and breakup
352 is indicated by a slight decrease in D_m and an increase in Z_c .

353 Figure 5 shows the proportions of collision-coalescence, size sorting, breakup, and
354 balance processes of raindrop particles in shallow precipitation clouds under three
355 different aerosol backgrounds. In general, the microphysical process of collision-
356 coalescence of hydrometeors dominates shallow precipitation, accounting for more
357 than 60%. This is followed by the hydrometeor breakup process, which accounts for
358 more than 20%, while size sorting and balance processes account for the smallest
359 proportions, only about 3% and 1%, respectively. In fine mode aerosol-polluted
360 environments, the proportion of the collision-coalescence process is only 62.4%, while
361 this proportion reaches 74.1% in coarse aerosol-polluted environments, with an
362 increase of about 11.7%. Similarly, the proportion of the hydrometeor particle breakup
363 process is 33.1% in fine aerosol-polluted environments and 22.1% in fine aerosol-
364 polluted environments (a decrease of 10%). This indicates the increase in the proportion
365 of raindrop breakup processes and the weakening of the collision-coalescence process
366 in fine aerosol-polluted environments, which may be the reason for the weakened near-
367 surface RR. Conversely, in coarse aerosol-polluted mode environments, raindrop
368 hydrometeors undergo more collision-coalescence growth processes and fewer breakup
369 and evaporation processes, which contributes to the enhancement of surface RR.



370

371 **Figure 5** The percentages of coalescence (a), size sorting (b), break-up(c), and
 372 balance (d) for shallow precipitation shallow precipitation rain hydrometeors under
 373 different aerosol conditions in southern China during the summers of 2014-2021.

374

375 *3.3 Sensitivities of aerosol impacts on precipitation to meteorological factors*

376 The previous section results indicate that shallow precipitation under different
 377 aerosol backgrounds exhibits significant differences in surface RR, precipitation
 378 structures, and microphysical processes. However, precipitation itself is also influenced
 379 by thermal and dynamic environmental factors. Therefore, CAPE and RH at 850 hPa,
 380 which, respectively, reflect atmospheric instability and moisture, are used to isolate and
 381 assess the impact of aerosols. CAPE is divided into three intervals based on the terciles
 382 of CAPE values during precipitation events in southern China. CAPE 333 J kg^{-1}
 383 (CAPE1), $333 < \text{CAPE} < 1031 \text{ J kg}^{-1}$ (CAPE2), and CAPE 1031 J kg^{-1} (CAPE3).
 384 Similarly, RH at 850 hPa is divided into three intervals, that is, RH 83% (RH1), $83\% <$
 385 $\text{RH} < 91\%$ (RH2), and RH 91% (RH3).

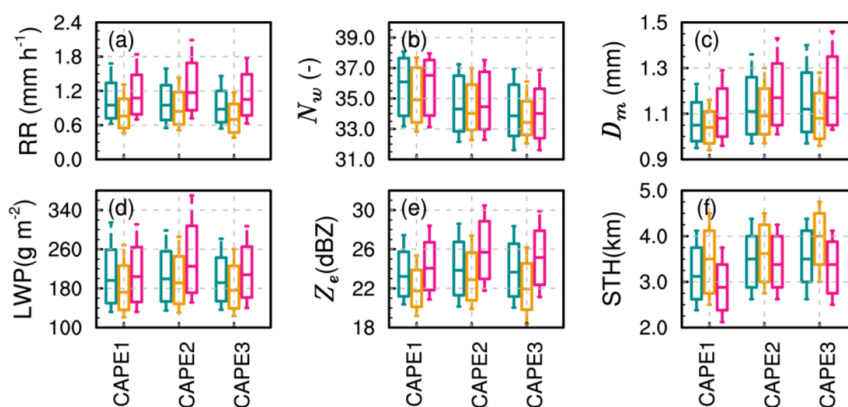
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387 The box plots of RR, LWP and STH, as well as N_w , D_m , and Z_e at 2.5 km altitude



388 for shallow precipitation in southern China under different aerosol backgrounds and
 389 CAPEs are presented in Figure 6. Consistent with the conclusions of Figure 2, it is
 390 observed that under different CAPE conditions, the median STH of shallow
 391 precipitation clouds is the lowest in coarse aerosol-polluted environments, but the
 392 median RR and Z_e at 2.5 km are the highest. On the contrary, the median STH is the
 393 highest, but the median RR and Z_e at 2.5 km are the lowest in a fine aerosol-polluted
 394 environment. This indicates that the suppression of RR in fine aerosol-polluted
 395 environments and the invigoration of RR in coarse aerosol-polluted environments are
 396 independent of the dynamic conditions (CAPE in this case). Furthermore, when seen
 397 from microphysics, under different CAPE conditions, shallow precipitation clouds in
 398 coarse aerosol-polluted environments exhibit the highest median values of values of
 399 LWP, N_w , and D_m at 2.5 km, while these variables are the lowest in fine aerosol-polluted
 400 environments. This helps explain why shallow precipitation has the highest near-
 401 surface RR in coarse aerosol-polluted environments and the lowest surface RR in fine
 402 aerosol-polluted environments from the microphysical perspective.

403



404

405 **Figure 6** Box plot of the near-surface rain rate (a), N_w (b), D_m (c), LWP (d), Z_e (e),
 406 and STH (f) under different aerosol and CAPE conditions for shallow precipitation over
 407 southern China during the summers of 2014-2021. The upper and lower edges of the
 408 boxes represent the lower and upper tritile, respectively. The line in the box is the



409 median. The lower quartile and the upper quartile are shown by the whiskers that extend
410 from the box.

411

412 Similarly, the sensitivity of humidity to the impact of aerosol on shallow
413 precipitation is examined by presenting the box plots of precipitation parameters, as
414 illustrated in Figure 7. Regardless of 850hPa-RH, the vertical development of shallow
415 precipitation clouds is hindered in coarse aerosol-polluted environments, with the
416 median STH being the smallest. However, the near-surface RR is the highest,
417 corresponding to the highest median Z_c at 2.5 km. On the contrary, in fine particle
418 pollution environments, the vertical development of shallow precipitation clouds is
419 enhanced (with the highest median STH), but the near-surface RR and Z_c are the
420 weakest. This further confirms that the impact of coarse and fine aerosol particles on
421 near-surface RR and LWP is independent of moisture and dynamic conditions.

422 It is important to note that the degree of enhancement or suppression of RR by
423 coarse and fine aerosols varies under different humidity conditions. Compared to high-
424 humidity environments, coarse aerosols have the most significant enhancement effect
425 on RR, while fine aerosols have the most significant suppression effect in relatively
426 low-humidity environments (RH1). In fine aerosol-polluted environments, the box plot
427 of RR shows a significant decrease compared to that in clean environments, while the
428 coarse aerosol-polluted environment shows a significant increase. Specifically, the
429 median RR in the coarse aerosol-polluted environment is around 1.1 mm h^{-1} , whereas
430 it is around 0.7 mm h^{-1} in the fine aerosol-polluted environment.

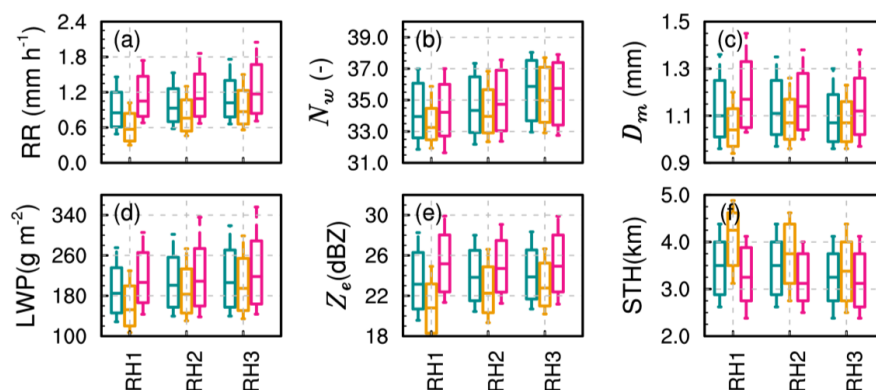
431 Regarding STH, under low relative humidity and fine aerosol pollution conditions,
432 shallow precipitation clouds develop more deeply, with the 25th percentile of STH
433 reaching 5 km, significantly higher than in clean and coarse aerosol-polluted
434 environments. This may be because there is a reduction in the effective radius of cloud
435 droplets in fine aerosol-polluted and low-humidity conditions. Smaller cloud droplets
436 are more prone to evaporation, resulting in lower LWP, which does not favor an increase
437 in near-surface RR. This is also reflected in the near-surface DSD, which is



438 characterized by lower N_w and smaller D_m . However, although the humidity is relatively
 439 low, the coarse particles, being more hygroscopic, can form larger cloud droplets,
 440 reducing the loss of cloud water due to evaporation (resulting in higher LWP), and
 441 thereby enhancing surface RR. This is also reflected in the near-surface DSD, which is
 442 characterized by higher N_w and larger D_m . In high-humidity environments, a high
 443 concentration of fine particles can promote the formation of more cloud condensation
 444 nuclei, which to some extent reduces the loss of cloud water due to the evaporation of
 445 small particles. Therefore, the LWP in fine particle pollution environments does not
 446 differ much from that in coarse aerosol-polluted environments. This may further lead
 447 to smaller differences in RR, Z_e , and other variables between coarse and fine aerosol-
 448 polluted environments in relatively high humidity conditions.

449

450



451

452 **Figure 7** Same as Figure 6, but for RH at 850hPa.

453

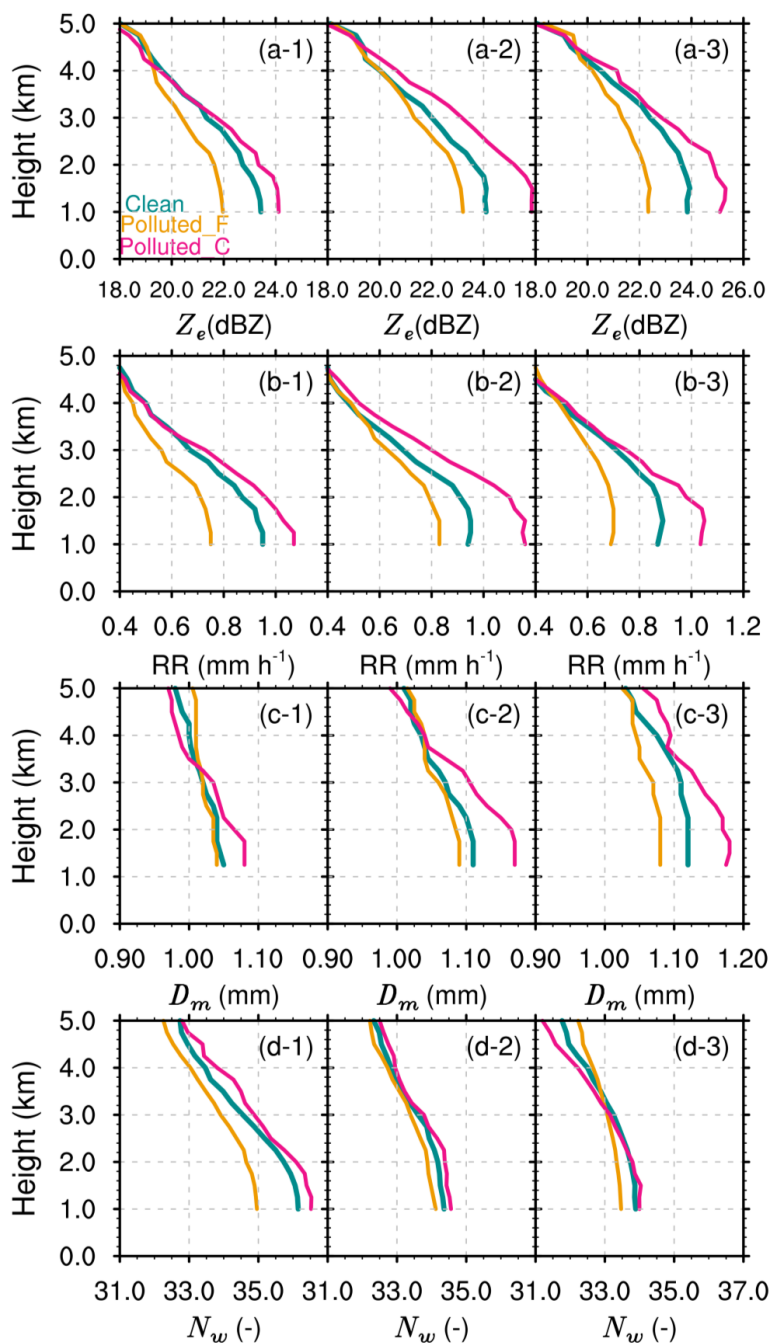
454 **3.4 Sensitivities of aerosol impacts on microphysical structures and processes to**
 455 **meteorological factors**

456 This section continues to explore the impact of coarse and fine aerosols on



457 precipitation structures and microphysical processes under different environmental
458 conditions. As shown in Figure 8, under different CAPE and aerosol backgrounds,
459 shallow precipitation profiles consistently exhibit increasing trends in Z_c , RR, N_w , and
460 D_m with decreasing altitude. Moreover, regardless of the CAPE conditions, at a given
461 altitude, Z_c and RR are the highest in coarse aerosol-polluted environments, followed
462 by a clean environment, and the lowest in fine aerosol-polluted environments. This is
463 consistent with the results in Figure 4. When compared between different CAPE
464 conditions, the Z_c , RR, and D_m of shallow precipitation in CAPE2 are the highest at
465 different altitudes, while as the CAPE increases further (CAPE3), these values even
466 decrease. Apart from instability, precipitation can be influenced by moisture,
467 topography, and other factors; therefore, it is possible for an even lower RR in high
468 CAPE conditions.

469 When seen from D_m and N_w (Figures 8c1-c3, d1-d3), the promotion effect of
470 coarse aerosols and the suppression effect of fine aerosols can vary under different
471 dynamic environmental conditions. Under moderate CAPE conditions (CAPE2), D_m
472 and N_w in coarse aerosol-polluted environments are the largest at different altitudes,
473 while D_m and N_w in a fine aerosol-polluted environment are the smallest. This indicates
474 that under moderate CAPE conditions, the enhancement of RR in coarse aerosol-
475 polluted environments is contributed by large particles and high concentrations. For
476 low CAPE conditions (CAPE1), the median D_m above 3 km is even the smallest in
477 coarse aerosol-polluted environments, compared to clean and fine aerosol-polluted
478 environments. Therefore, the maximum values of RR and Z_c at this layer are mainly
479 contributed by high concentrations of raindrop particles (with large median N_w , as
480 shown in Figure 8d-1). For high CAPE conditions (CAPE3), the median N_w above the
481 3 km altitude layer in coarse aerosol-polluted environments is even the smallest.
482 Therefore, the maximum values of RR and Z_c at this altitude are mainly contributed by
483 high concentrations of raindrop particles (with large median D_m , as shown in Figure 8c-
484 3).



485

486 **Figure 8** The Z_e (a), rain rate (b), D_m (c), and N_w (d) profiles for shallow precipitation
 487 in different aerosol and CAPE conditions over southern China during the summers of



488 2014-2021. CAPE1, CAPE2, and CAPE3 are shown in the left, middle, and right panels,
489 respectively.

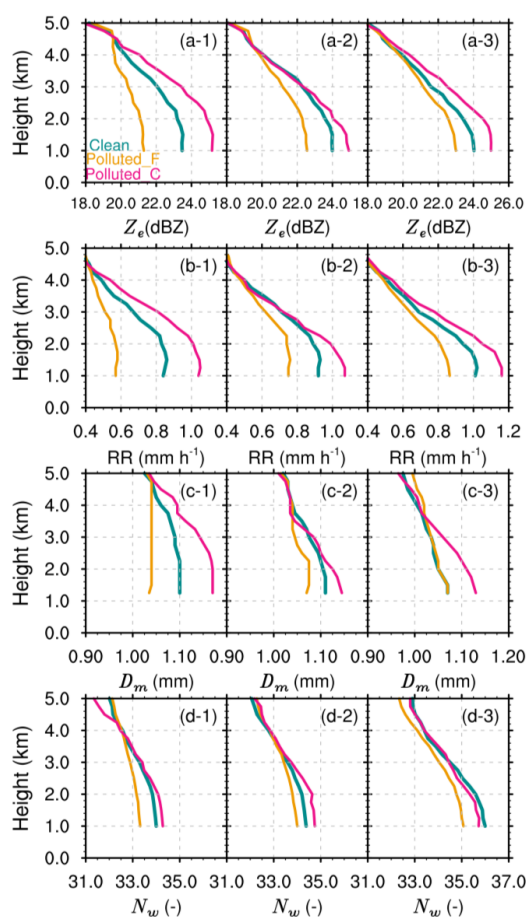
490

491 Similarly, the profiles of Z_c , RR, D_m , and N_w in different 850hPa-RH and aerosol
492 backgrounds are illustrated in Figure 9. Consistent with previous research results, the
493 median values of Z_c , RR, D_m , and N_w of shallow precipitation exhibit a gradual increase
494 with decreasing altitude, reflecting the warm rain collision-coalescence growth process.
495 However, the microphysical structures of shallow precipitation vary under different RH
496 conditions with similar aerosol backgrounds. As RH at 850hPa increases, the median
497 values of Z_c , RR, D_m , and N_w of shallow precipitation increase more significantly with
498 decreasing altitude. For example, under low humidity conditions (RH1), the median D_m
499 increases slightly when hydrometeors fall from 3 km to 1 km (Figure 9c-1), and even
500 decreases under fine aerosol-polluted conditions, indicating more breakup processes.
501 Subsequently, with increasing humidity, the increase in D_m becomes more apparent
502 (Figure 9c-3). For example, where the median D_m increases from 1.05 mm to 1.15 mm
503 in coarse aerosol-polluted environments.

504 When compared among different aerosol backgrounds, the median values of Z_c
505 and RR in coarse aerosol-polluted environments are much larger at each altitude layer
506 and have greater increases with decreasing altitude. Conversely, under fine aerosol-
507 polluted conditions, the median Z_c and RR values are the smallest at each altitude layer,
508 with the smallest increases with decreasing altitude. This is consistent with previous
509 conclusions (Figures 4 and 8), further indicating that the impact of coarse and fine
510 aerosols on the near-surface RR and the precipitation structure is not sensitive to
511 dynamic and moisture conditions. However, from a microphysical structure perspective,
512 there are still some differences in aerosol backgrounds. Under low and moderate
513 humidity conditions (RH1 and RH2), at a given altitude, D_m and N_w are the largest in
514 coarse aerosol-polluted environments and the smallest in fine aerosol-polluted
515 environments. However, under RH3 conditions, in the same altitude layer, N_w is the
516 largest and D_m is relatively small in a clean environment; N_w is moderate and D_m is the
517 largest in coarse aerosol-polluted environments; and N_w is the smallest and D_m is
518 relatively small in fine aerosol-polluted environments. This indicates that in high RH
519 environments, fine aerosols mainly reduce RR by suppressing the concentration of
520 raindrops, while coarse aerosols increase RR by increasing the size of hydrometeors.
521 Furthermore, the differences in precipitation structures in aerosol-polluted coarse and



522 fine environments depend on humidity conditions, consistent with the conclusions in
 523 Figure 7. The differences are the greatest under RH1 conditions, with the differences in
 524 RR, Z_e , D_m , and N_w at 1 km altitude being 0.42 mm h⁻¹, 4.5 dBZ, 0.19 mm, and about
 525 1.3, respectively. Under RH3 conditions, the differences are smallest, with the
 526 differences in the aforementioned variables being 0.35 mm h⁻¹, 2 dBZ, 0.05 mm, and
 527 approximately 0.8, respectively.



528

529 **Figure 9** The Z_e (a), rain rate (b), D_m (c), and N_w (d) profiles for shallow precipitation
 530 in different aerosol conditions and 850 hPa-RH over southern China during the
 531 summers of 2014-2021. RH1, RH2, and RH3 are shown in left, middle, and right panels,
 532 respectively.

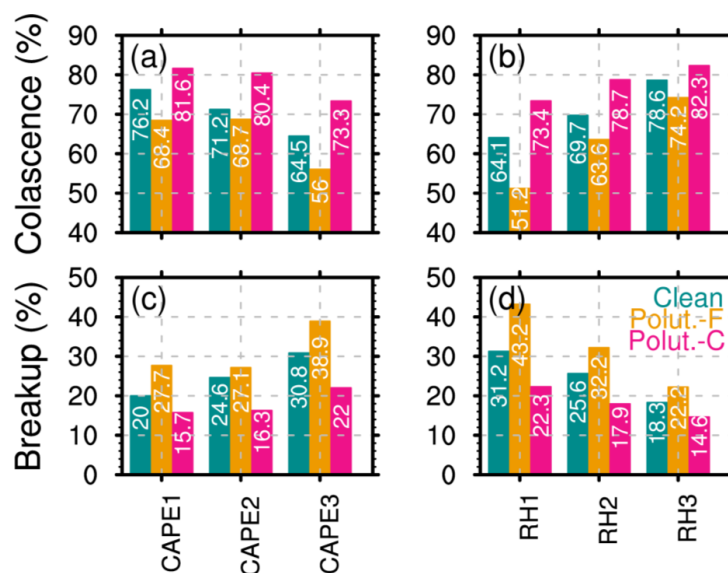


533

534 To quantitatively analyze the dependence of microphysical processes on dynamics
535 and moisture under different aerosol backgrounds, we examined the differences in the
536 two primary microphysical processes, i.e., collision-coalescence and breakup. As a
537 result of the low proportions of size sorting and balance, further analysis of these
538 microphysical processes is not included. The microphysical processes of precipitation
539 depend on the dynamic and moisture conditions. For instance, with decreasing CAPE
540 and increasing RH, the proportion of collision-coalescence increases, while the
541 proportion of breakup decreases in clean, coarse, and fine aerosol-polluted
542 environments. High RH and low CAPE environments favor aerosol particles in the
543 boundary layer collecting moisture to form more cloud droplets, which further
544 condense to form more raindrops, thereby promoting the collision-coalescence process.

545 When different aerosol backgrounds are compared, we can identify some general
546 patterns that are independent of thermodynamic conditions. First, regardless of CAPE,
547 RH or aerosol background, shallow precipitation systems are dominated by the warm
548 rain collision-coalescence process, with a proportion ranging from a minimum of 51.2%
549 to a maximum of 82.3%. There is also a certain proportion of break-up processes,
550 ranging from 14.6% to 43.2%. Second, regardless of the presence of CAPE and RH,
551 the proportion of the collision-coalescence process is always the highest in coarse
552 aerosol-polluted environments, while the proportion of the breakup process is always
553 the highest in fine aerosol-polluted environments. These conclusions are consistent
554 with previous findings. However, the increase in the proportion of collision coalescence
555 in coarse aerosol-polluted environments and the increase in the proportion of breakup
556 in fine aerosol-polluted environments depend on dynamic and moisture conditions. For
557 example, under low relative humidity (RH1) conditions, the proportion of the collision-
558 coalescence process in coarse aerosol-polluted environments (73.4%) is significantly
559 higher than that in fine aerosol-polluted environments (51.2%). On the contrary, the
560 proportion of the breakup process in fine aerosol-polluted environments (43.2%) is
561 significantly higher than in coarse aerosol-polluted environments (22.3%). This is
562 consistent with previous findings that under RH1 conditions, D_m in fine aerosol-
563 polluted environments rapidly decreases with decreasing altitude.

564



565
 566 **Figure 10** The percentages of coalescence (a), size sorting (b), break-up(c), and balance
 567 (d) for shallow precipitation rain hydrometeors under different aerosol conditions in
 568 southern China during the summers of 2014-2021.

569 **4 Conclusion and Discussion**

570 Using the combined data of DPR, MERRA-2 aerosol datasets, and ERA5 during
 571 the summers of 2014-2021, this study investigates the potential impacts of coarse and
 572 fine aerosols on the RR, microphysical structure, and processes for shallow
 573 precipitation in South China. Clean, coarse, and fine aerosol-polluted environments are
 574 classified according to the AOD for total aerosols, coarse aerosols, and fine aerosols
 575 derived from MERRA-2. The ERA5 reanalysis data is used to explore the sensitivity
 576 of aerosol impacts on shallow precipitation to dynamic and moisture conditions in
 577 South China. The main findings are summarized as follows.

578 Compared to clean environments, coarse aerosol-polluted environments promote
 579 near-surface RR of shallow precipitation, characterized by stronger near-surface RR
 580 (average precipitation intensity of 1.78 mm h⁻¹), higher concentrations (average $N_w =$



581 36.98) and larger raindrop sizes (average $D_m = 1.24$ mm) of hydrometeor particles. This
582 may be attributed to the significant proportion of sea salt particles in the coarse particles
583 in South China, which tend to form larger cloud droplets through hygroscopic growth,
584 leading to larger raindrop particles through microphysical processes such as
585 condensation. On the contrary, fine aerosol-polluted environments suppress near-
586 surface RR, with an average near-surface RR of only 1.33 mm h^{-1} and lower
587 concentrations and smaller sizes of hydrometeors (average $N_w = 36.37$, average $D_m =$
588 1.14 mm). However, fine aerosol-polluted environments favor the vertical development
589 of shallow precipitation clouds (median STH of 3.7 km), approximately 0.5 km higher
590 than in coarse aerosol-polluted conditions.

591 From the perspective of precipitation vertical structure and microphysical
592 processes, shallow precipitation is dominated by warm-rain collision-coalescence
593 processes under different aerosol backgrounds, with the collision-coalescence process
594 accounting for over 62%. However, there are significant differences in the efficiency
595 of hydrometeor collision-coalescence growth under different aerosol backgrounds.
596 Compared to clean environments, the median values of Z_e , RR, D_m , and N_w are highest
597 in conditions contaminated with coarse aerosols and lowest in conditions contaminated
598 with fine aerosols at all altitude levels. When seen from the microphysical processes,
599 the increase in D_m with decreasing altitude is most pronounced under coarse aerosol-
600 polluted conditions, reflecting more significant collision-coalescence growth processes,
601 accounting for 74.1%. In contrast, the increase in D_m with decreasing altitude is weakest
602 under fine aerosol-polluted conditions, due to the higher proportion of breakup
603 processes (accounting for 33.1%) and a decrease of approximately 12% in the collision-
604 coalescence process (accounting for 62.4%).

605 The promotion of RR associated with more significant collision-coalescence
606 processes by coarse aerosols, as well as the suppression of RR characterized by more
607 significant breakup processes by fine aerosols are independent of CAPE and humidity
608 conditions. However, the promotion and suppression effects are the most pronounced
609 under low relative humidity conditions (RH1). For instance, the median RR is around



610 1.12 mm h⁻¹ under coarse aerosol-polluted conditions, while it is around 0.7 mm h⁻¹
611 under fine aerosol-polluted conditions, with a difference of approximately 0.42 mm h⁻¹
612 ¹. The collision-coalescence and breakup microphysical processes play an important
613 role in these differences, with the collision-coalescence accounting for 73.4% under
614 coarse aerosol-polluted conditions, significantly higher than 51.2% under fine aerosol-
615 polluted conditions. Correspondingly, the breakup microphysical processes account for
616 43.2% under fine aerosol-polluted conditions, significantly higher than the 22.3% in
617 coarse aerosol-polluted conditions. Under high relative humidity conditions, fine
618 aerosol-polluted environments primarily reduce RR by inhibiting hydrometeor
619 concentration (possibly as a result of the evaporation effects of small cloud droplets),
620 while coarse aerosols invigorate RR by increasing the size of hydrometeor particles.
621 Additionally, the increase in RR above 3 km in coarse aerosol-polluted environments
622 is mainly driven by the high concentration of hydrometeors in low instability conditions,
623 while by large hydrometeors in high instability environments.

624 Our results differ from previous findings, which suggest that increased aerosols
625 under high relative humidity conditions inhibit precipitation (Li et al., 2011). This
626 highlights the uniqueness of shallow precipitation and the differing impacts of various
627 aerosol species on shallow precipitation. It is important to note that even though
628 MERRA-2 is a relatively reliable dataset, there is an urgent need for long-term
629 observational data on aerosol concentrations, as well as some numerical studies, to
630 further validate our conclusions.

631 **Data availability**

632 The GPM DPR data provided by NASA Goddard Space Flight Center's Mesoscale
633 Atmospheric Processes Laboratory and Precipitation Processing System (PPS) can be
634 downloaded from <https://pmm.nasa.gov/dataaccess/downloads/gpm>. MERRA-2 data
635 can be downloaded from https://gmao.gsfc.nasa.gov/reanalysis/MERRA-2/data_access/. The ERA5 data can be downloaded from
636 <https://www.ecmef.int/en/forecasts/dataset/ecmwf-reanalysis-v5>. The ancillary digital
637



638 terrain data is from National Geophysical Data Center (NGDC) (available online at
639 <http://www.ngdc.noaa.gov>, available on May 2023).

640

641 **Author contributions**

642 YY designed the manuscript and led the data analysis; FC performed the analysis
643 and wrote the manuscript draft; YL and LY collected the data; GL, LY, and SL
644 reviewed and edited the manuscript; SL helped with the data analysis.

645 **Declaration of competing interest**

646 The authors declare no competing interests.

647

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657

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