

## Replies to comments by editor and reviewers

### Extreme significant wave height of tropical cyclone waves in the South China Sea

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Thank you for your letter and for your evaluation of our manuscript entitled “Extreme significant wave height of tropical cyclone waves in the South China Sea” (Ref: nhess-2018-349). Thanks for the recommendation of reviewer #2 and for the comments of reviewers #1 and #3. These comments are all valuable and very helpful for improving our paper. We have addressed all comments carefully and have made corrections corresponding to comments point by point. We hope that the improved manuscript will meet your approval.

The main corrections in the manuscript and responses to comments are shown as follows:

## Editor

(1) Page 18, line 4 replace “Conclusions and discussions” with “Discussion and conclusions”

**Response:** As suggested, we have replaced “Conclusions and discussions” with “Discussion and conclusions”.

(2) I still consider the conclusions of your study not clearly written in the final section (see below).

**Response:** As suggested, conclusions have been clearly rewritten in the final section.

(3) First paragraph of the “Conclusions”. Two questions of mine about this paragraph: a) if yours and Shao et al. (2019) results are similar, what is the relevance of your method? Please explain; b) Which feature of your method makes it suitable only in a tropical cyclone-dominated area? Please explain.

**Response:** As suggested, the first paragraph has been rephrased. In this paragraph, we analyse the threshold selection criteria of Shao et al. (2018a) and Liang et al. (2019). Both of them select the suitable threshold within the stable threshold range. Benefiting from the stable characteristic of return significant wave heights, their threshold selection criteria can be used to assess the extreme significant wave height. Analysing the difference in these criteria: the first criterion is relatively simple; and the second criterion is relatively stable, due to a diagnostic process of return significant wave heights. When the variation of few return significant wave heights is relatively large in the stable threshold range, the return significant wave heights of Liang et al. (2019) are more stable than those of Shao et al. (2018a), especially for a short return period.

Liang et al. (2019) define the largest threshold of the stable threshold range as the suitable threshold for different return periods. In this study, we select the separation within the stable threshold range as a suitable threshold, depending on the characteristic of the

tropical cyclone wave. The suitable threshold is determined in the stable threshold range without a subjective definition. Considering that the sample distribution reflects the characteristic of the tropical cyclone wave, the threshold selection criterion is suitable in a tropical cyclone-dominated area.

- See the manuscript P. 19, lines 2-11: “In general, Shao et al. (2018a) and Liang et al. (2019) select the suitable threshold within the stable threshold range. Benefiting from the stable characteristic of return significant wave heights, their threshold selection criteria can be used to assess the extreme significant wave height. The first criterion is relatively simple; and the second criterion is relatively stable, due to a diagnostic process of return significant wave heights. For example, at location #12, Shao et al. (2018a) extrapolate the return significant wave heights for the return periods of 50-year, 100-year, 150-year and 200-year, which are 9.59 m, 9.86 m, 9.99 m and 10.06 m, respectively. However, under the criterion of Liang et al. (2019), the corresponding return significant wave heights are 9.69 m, 9.89 m, 9.96 m and 10.05 m, respectively. When the variation of few return significant wave heights is relatively large in the stable threshold range, the return significant wave heights of Liang et al. (2019) are more stable than those of Shao et al. (2018a), especially for a short return period.”

**(4) Second paragraph of the “Conclusions”. My understanding is the first three lines of this second paragraph describe your main conclusions. However, you may consider adding a new paragraph with short and clear description of 1) your main methodological conclusion and 2) the thresholds selection criterion**

**Response:** As suggested, the second paragraph has been rephrased to clearly show our thoughts. We add a short and clear description of our main methodological conclusion and threshold selection criterion.

- See the manuscript P. 19 and 20, lines 12-21 and 1-5: “To determine the suitable threshold within the stable threshold range without a subjective definition, the thresholds within the stable threshold range are further analysed, associating with the characteristic of the tropical cyclone wave. When studying the tropical cyclone wave, a fixed distance is used to identify the initial database at the study site. This fixed distance allows some small samples (the corresponding track is far, or the intensity is weak) to be extracted; however, no large samples (the corresponding track is close and intensity is strong) are neglected. Associated with these influences (i.e., track and intensity influences) of the tropical cyclones, the sample distribution has a natural separation distinguishing the high sample (a strong influence of the tropical cyclone) from the low sample (a weak influence of the tropical cyclone). Linking this distribution with the stable threshold range, the separation is within the stable threshold range. Thus, this separation can be used to identify the extreme sample (i.e., high sample in the distribution). Note that in Table 9 of Shao et al. (2019) and Tables 1 and 2 in this study, the return significant wave heights for the return periods of 50-year, 100-year, 150-year and 200-year are similar at the same 22 study locations. However, the threshold selection criterion in this study is relatively simple and objective, and this criterion can reflect the characteristic of the tropical cyclone wave. In addition, under this criterion, the asymptotic tail approximation and estimation uncertainty show that the fits are good and the uncertainties of the return significant wave heights are acceptable.”

(5) Final paragraph of the “Conclusions”. This paragraph is rather obscure. The final sentence (which conclude the all article) suggests that the criterion proposed in this study will be likely revised in future and weakens the relevance of your work.

**Response:** As suggested, the final paragraph is rewritten to clearly show our thoughts. The final sentence is rephrased to conclude the all article.

- See the manuscript P. 20, lines 6-10: “Considering that the sample distribution reflects the characteristic of the tropical cyclone wave, the threshold selection criterion is suitable in a tropical cyclone-dominated area. In this area, the initial database and characteristics of the tropical cyclones determine a bimodal shape of this distribution, which has a separation within the stable threshold range. Because the separation is objectively determined by the track and intensity of the tropical cyclone, this value can be identified as a suitable threshold in the POT method.”

(6) The abstracts should include a clear description of the proposed criterion for the threshold.

**Response:** As suggested, a clear description of the proposed criterion for the threshold is included in the abstract.

- See the manuscript P. 1 and 2, lines 17-20 and 1-3: “To determine a suitable threshold, the sensitivity of return significant wave heights and the characteristics of tropical cyclone waves are studied. The sample distribution presents a separation that distinguishes the high sample from the low sample, and this separation is within the stable threshold range. Because return significant wave heights are stable in the stable threshold range and the separation is objectively determined by the track and intensity of the tropical cyclone, the separation is selected as a suitable threshold for extracting

the extreme sample in the tropical cyclone wave. The asymptotic tail approximation and estimation uncertainty show that the selection is reasonable.”

## Reviewer #3

The manuscript improved a lot, and now the content of the study, and what the authors did, is much clearer. There are still issues with the English, and I would again suggest the manuscript to be proof read by a mother language. Below a list of minor comments.

**Response:** Thank you for your evaluation of our manuscript. As suggested, proofreading and language editing have been completed by American Journal Experts. In addition, we have addressed all comments carefully.

(1) pag 1, line 15: substitute excesses with exceedances

**Response:** As suggested, we have replaced “excesses” with “exceedances”.

(2) pag 3, line 6-7: this method makes the mosto of the samples ....., this sentence is unclear

**Response:** As suggested, we have rephrased this sentence to show our thoughts clearly.

- See the manuscript P. 3, lines 10-12: “This method (i.e., the POT/GPD method) makes the most of the samples and extends the return period when the threshold is suitable (Alves and Young, 2003; You, 2011; Vanem, 2015a; Samayam et al., 2017; Shao et al., 2017), due to this method extracts all high samples.”

(3) pag 4, line 1: substitute everywhere maximal with maximum

**Response:** As suggested, we have replaced “maximal” with “maximum”.

(4) pag 4, line 3: substutute "some unselected maximale swH" with "some unselected peaks of swH"

**Response:** As suggested, we have replaced “some unselected maximal swH” with “some unselected peaks of swH”.

(5) pag 4, line 3: substitute everywhere minimal with minimum

**Response:** As suggested, we have replaced “minimal” with “minimum”.

(6) pag 4, line 18: substitute "(the acronym is ATSME)" with "(ATSME)"

**Response:** As suggested, we have replaced “(the acronym is ATSME)” with “(ATSME)”.

(7) pag 5, line 8: maximal -> maximum

**Response:** As suggested, we have replaced “maximal” with “maximum”.

(8) pag 6, line 3: maximal -> maximum

**Response:** As suggested, we have replaced “maximal” with “maximum”.

(9) pag 6, line 15: substitute excess with exceedance

**Response:** As suggested, we have replaced “excess” with “exceedance”.

(10) pag 6, line 13: "return significant wave height for the i-year" is very unclear, substitute with "i-year return level of significant wave height", or "i-year return significant wave height".

**Response:** As suggested, we have replaced “return significant wave height for the i-year” with “i-year return significant wave height”.

(11) pag 7, line 6: the first sentence in not entirely clear. Are  $u_1, \dots, u_m$  the tested thresholds?

**Response:** As suggested, this sentence is rephrased. The terms  $u_1, \dots, u_m$  are candidate thresholds (i.e., tested thresholds).

- See the manuscript P. 8, line 1: “The terms  $u_1, \dots, u_m$  are candidate thresholds.”

(12) pag 7, line 7: substitute "return significant wave height for the i-year" with "i-years return level of significant wave height".

**Response:** As suggested, we have replaced “return significant wave height for the i-year” with “i-year return significant wave height”.

**(13) pag 8, line 12: I would suggest to reformulated paragraph 2.2, starting with and explanation of what ATSME is in plain language, and then write in detail the algorithmic processes.**

**Response:** As suggested, the sequence of paragraphs in subsection 2.2 is adjusted. The explanation of the ATSME is in the first paragraph and the algorithmic processes are in the second and third paragraphs.

**(14) pag 9, line 9: Is it the ERA-INTERIM reanalysis? Then write it and cite the references.**

**Response:** The employed ECMWF is ERA-40 (Uppala et al., 2005) and ERA-Interim (Dee et al., 2011). We have written them and cited the references.

**(15) pag 9, line 9: After European Centre for ... add (ECMWF)**

**Response:** As suggested, we have added “(ECMWF)”.

**(16) pag 9, line 16: the number is 247 to 403, from what do these different numbers come?**

**Response:** We have explained the number in the paper.

- See the manuscript P. 9, lines 14-18: “When the distance between the centre of the tropical cyclone and the study site is within 300 km, this tropical cyclone is recorded, and hourly significant wave heights simulated during this tropical cyclone are adopted as the initial database at the study site. At the 22 study sites, the number of recorded tropical cyclones is 247 to 403, and the annual mean number of recorded tropical cyclones is 6.175 to 10.075.”

**(17) pag 11, line 16: the lower bound of the range is constant. Is it meaningful to select a threshold valid for all the return periods?**

**Response:** When the lowest threshold of the stable threshold range is selected as the suitable threshold, a threshold for different return periods can be uniquely determined, and

more samples are used to extrapolate return significant wave heights with weaker estimation uncertainties. When the median threshold of the stable threshold range is selected as the suitable threshold, the return significant wave height can be more robust. When the highest threshold of the stable threshold range is selected as the suitable threshold, the reliability of the return significant wave height can be greater. To guarantee the security of the design wave height and show the relationship between the stable threshold range and return period, Liang et al. (2019) selected the highest threshold of the stable threshold range as the suitable threshold for different return periods. In this study, a separation within the stable threshold range is selected as a suitable threshold, which is objectively determined by the track and intensity of the tropical cyclone.

**(18) pag 12, 13, 14: maximal -> maximum**

**Response:** As suggested, we have replaced “maximal” with “maximum”.

**(19) section 5: I understand that the bimodal distribution of  $H_s$  is a consequence of the sampling: the values beyond the separation will be, generally, the TC within 300km from the point, the ones below the TC beyond 300km selected for another point (correct?) So, I guess, a correct threshold should be higher than the separation between the 2 modes.**

**Response:** In the paper, we have explained that the initial database and characteristics of the tropical cyclones determine a bimodal shape of the sample distribution. A fixed distance is used to identify the initial database at the study site. This fixed distance allows some small samples (the corresponding track is far, or the intensity is weak) to be extracted; however, no large samples (the corresponding track is close and intensity is strong) are neglected. Associated with these influences (i.e., track and intensity influences) of the tropical cyclones, the sample distribution has a natural separation distinguishing the high sample (a strong influence of the tropical cyclone) from the low sample (a weak influence of the tropical cyclone). Linking this distribution with the stable threshold range, the

separation is within the stable threshold range. Thus, this separation, rather than a higher value, is used to identify the extreme sample (i.e., high sample in the distribution).

**(20) Wouldn't it be simpler to select for a given location just the TC within 300km from that point? Would this remove the bimodal shape and/or have impact on the performance of ATSME?**

**Response:** A fixed distance is used to identify the initial database at the study site, rather than the extreme sample at the study site. The track and intensity of the tropical cyclone influence the wave; thus, both of them influence the extreme sample. For example, although the tracks of tropical cyclones Trami in 2001 and Wutip in 2007 are close to location #1, the intensities of these tropical cyclones are weak when these tropical cyclones influence the waves at location #1 (shown in Fig. 4). The samples during these tropical cyclones cannot be used to analyse the extreme wave.

The fixed distance allows some small samples (the corresponding track is far, or the intensity is weak) to be extracted; however, no large samples (the corresponding track is close and intensity is strong) are neglected. If this distance is too small, the numbers of high sample and low sample will decrease together; however, the bimodal shape still exists due to the case shown in Fig. 4, and the ATSME is feasible.

**(21) section 5: In my opinion there is still room for improvement in this section. It should be stated more explicitly, that the bimodal shape of the distribution is a result of the sampling technique, that a correct threshold should be beyond the separation, and that (if) the upper boundary of the ATSME range satisfies this requirement.**

**Response:** In the paper, we have explained that the initial database and characteristics of the tropical cyclones determine a bimodal shape of the sample distribution. A fixed distance is used to identify the initial database at the study site. This fixed distance allows some small samples (the corresponding track is far, or the intensity is weak) to be extracted; however, no large samples (the corresponding track is close and intensity is strong) are

neglected. Associated with these influences (i.e., track and intensity influences) of the tropical cyclones, the sample distribution has a natural separation distinguishing the high sample (a strong influence of the tropical cyclone) from the low sample (a weak influence of the tropical cyclone). Linking this distribution with the stable threshold range, the separation is within the stable threshold range. Thus, this separation, rather than a higher value, is used to identify the extreme sample (i.e., high sample in the distribution).

**(22) pag 18: I would include location 1 in table 2.**

**Response:** As suggested, statistics at location #1 are included in Table 2.

**(23) pag 18: in table 2 I would also indicate the value of the separation**

**Response:** As suggested, separation is indicated.

## **Reviewer #1**

The manuscript is significantly improved from the first submission and the authors should be commended for the level of detail at which they have addressed the reviewers' comments. The direction and flow of the paper is better, as is some of the technical explanation.

**Response:** Thank you for your evaluation of our manuscript.

(1) I still believe some of the paragraphs in the introduction can be broken down into smaller paragraphs for readability.

**Response:** As suggested, the fourth paragraph in the introduction is broken down into two paragraphs for readability.

(2) It would help if the headings for sections 2.1 and 2.2 were written in full rather than using acronyms.

**Response:** As suggested, headings for subsections 2.1 and 2.2 have been rewritten.

(3) Have the authors read any of the work by Young et al. regarding the relationships between tropical cyclones and wave fields? There is some very relevant information in his work that could be referenced in your paper. For example: Young (2017). A review of parametric descriptions of tropical cyclone wind-wave generation. *Atmosphere*, 8(194). Young and Vinoth (2013). An extended fetch model for the spatial distribution of tropical cyclone wind waves as observed by altimeter. *Ocean Engineering*, 70, 14-24.

**Response:** We have read some papers of Young. We have cited some relevant papers (Alves and Young, 2003; Young et al., 2012; Young and Vinoth, 2013; Young, 2017; Ribal and Young, 2019) in our manuscript.

# Extreme significant wave height of tropical cyclone waves in the South China Sea

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## ABSTRACT

Extreme significant wave heights are assessed in the South China Sea (SCS), as assessments of wave heights are crucial for coastal and offshore engineering. Two significant factors include the initial database and assessment method. The initial database is a basis for assessment, and the assessment method is used to extrapolate appropriate return significant wave heights during a given period. In this study, a 40-year (1975-2014) hindcast of tropical cyclone waves is used to analyse the extreme significant wave height, employing the peak over threshold (POT) method with the generalized Pareto distribution (GPD) model. The peak **exceedances** over a sufficiently large value (i.e., threshold) are fitted; thus, the return significant wave heights are highly dependent on the threshold. To determine a suitable threshold, the sensitivity of return significant wave heights and the characteristics of tropical cyclone waves are studied. The sample distribution presents a separation that distinguishes the high sample from the low sample, and this separation is within the stable threshold range. **Because return significant wave heights are stable in the stable threshold range and the separation is objectively determined by the track and intensity of the tropical cyclone, the separation is selected as a suitable threshold for extracting the extreme sample in the tropical cyclone wave.** The asymptotic tail approximation and estimation uncertainty show that the selection is reasonable.

## 1. Introduction

Reasonable assessments of extreme significant wave heights are highly important for the security and expense of coastal defence and offshore structures (Ojeda and Guillén, 2006, 2008; Ojeda et al., 2010, 2011; Mortlock and Goodwin, 2015, 2016; Mortlock et al., 2017). To obtain this assessment, a sample is extracted from an accurate initial database, the extreme sample is identified by a reliable sampling method, and then, an appropriate probability distribution model is fitted.

The initial database highly influences the assessment of extreme significant wave heights (Godoi et al., 2017; Lucas et al., 2017; Li et al., 2018; Ribal and Young, 2019). In previous studies, the long-term continuous database is usually employed as the initial database, such as a 32-year measured significant wave height in the Gulf of Maine (Viselli et al., 2015), a 44-year hindcasted significant wave height in the North Atlantic Ocean (Muraleedharan et al., 2016) and a 22-year hindcasted significant wave height in the Yellow Sea (Gao et al., 2018). Considering that the extreme significant wave height should be extrapolated based on an independent and identically distributed database required for the extreme value theory (EVT) (Coles, 2001; Sobradelo et al., 2011), these time series buoy measurements and numerical hindcasts should be processed. The homogenous methodology is used to extract homogenous significant wave heights via separation in carefully chosen directional sectors and seasonal analyses as well as separation of the sea state into independent wave systems (Lerma et al., 2015; Solari and Alonso, 2017). Declustering methodology, such as the double-threshold approach (Mazas and Hamm, 2011) and minimum separation time method (Kapelonis et al., 2015), is used to differentiate the individual wave event. However, these methodologies may introduce uncertainty in the sample (such as the subjectivity of practitioners in the selections of initial threshold and time window), which influences the extreme sample selection.

The peak over threshold (POT) method (Goda et al., 2001) is widely used to identify the peak **exceedances** over a threshold (Ferreira and Guedes Soares, 1998; Soares and Scotto, 2004;

Caires and Sterl, 2005; Benetazzo et al., 2012; You and Callaghan, 2013; Xiao et al., 2017). Additionally, the generalized Pareto distribution (GPD) model (Coles, 2001) is widely used to extrapolate extreme significant wave heights (Martucci et al., 2010; Blanchet et al., 2015; Kapelonis et al., 2015; Boessenkool et al., 2017; Muhammed Naseef and Sanil Kumar, 2017). This method (i.e., the POT/GPD method) makes the most of the samples and extends the return period when the threshold is suitable (Alves and Young, 2003; You, 2011; Vanem, 2015a; Samayam et al., 2017; Shao et al., 2017), **due to this method extracts all high samples**. To select a suitable threshold, many methods have been proposed, such as graphical diagnostics (Coles, 2001; Sanchez-Arcilla et al., 2008; Bernardara et al., 2014), empirical methods (Ferreira et al., 2003; Neves and Alves, 2004; Reiss and Thomas, 2007), probabilistic-based techniques (Hill, 1975; Beirlant et al., 2006; Goegebeur et al., 2008), computational approaches (Danielsson et al., 2001; Beguera, 2005; Solari et al., 2017) and mixture models (Carreau and Bengio, 2009; Eastoe and Tawn, 2010; MacDonald et al., 2011). Among these methods, a graphical diagnostic referred to as the sensitivity of the return significant wave height to the threshold (Scarrott and MacDonald, 2012) is commonly accepted (Petrov et al., 2013; Northrop and Coleman, 2014; Vanem, 2015b; Northrop et al., 2017; Sulis et al., 2017).

In the South China Sea (SCS), time series wave parameters have been simulated (Zheng et al., 2012; Mirzaei et al., 2015; Yaakob et al., 2016), and extreme waves have been investigated based on long-term continuous data (Zheng et al., 2015; Chen et al., 2017; Wang et al., 2018). In addition, Shao et al. (2018a) and Liang et al. (2019) analysed the extreme significant wave height in a tropical cyclone. Shao et al. (2018a) compared the annual maxima (AM) method (Tawn, 1988) with the POT method. The AM method is an easy sampling method that does not require additional work, as the method directly extracts the annual **maximum** significant wave height for extrapolation. However, the AM method has limitations in a fixed time window (i.e., one year), which cannot guarantee the independence and number of samples. The annual **maximum** significant wave height obtained from neighbouring years may originate from the same extreme wave; some **maximum** significant wave heights may be neglected (i.e., the annual

**maximum** significant wave height may be smaller than some unselected **peaks of** significant wave heights in other years), resulting in an insufficient number of samples, especially for a relatively long return period. In a tropical cyclone, the AM method's limitation is further exacerbated, even if the return period is close to the database size. The annual frequency, intensity and track of recorded tropical cyclones greatly vary, and corresponding waves have obvious differences. Shao et al. (2018a) found that the **minimum** sample may be much less than the **maximum** sample, and the **minimum** sample may be too small to represent the extreme wave (i.e., the **minimum** sample in the AM method is obviously smaller than the extreme sample in the POT method).

Compared with the AM method, the POT method is a natural sampling method without additional limitations. When the threshold is suitable, the POT method can guarantee the representativeness and number of extreme samples. However, the threshold selection process is relatively complex. Shao et al. (2018a) and Liang et al. (2019) analysed the sensitivity of the return significant wave height to the threshold. The researchers found that the suitable threshold should be determined within the stable threshold range (i.e., a threshold range corresponding to a range of stable return significant wave heights). Based on this conclusion, Shao et al. (2018a) defined the largest threshold within the common stable threshold range as the suitable threshold, and Liang et al. (2019) proposed an Automated Threshold Selection Method based on the characteristic of Extrapolated significant wave heights (**ATSME**). The ATSME employs the differences in extrapolated significant wave heights for neighbouring thresholds as the diagnostic parameters to identify the uniquely stable threshold range via an automated method and selects the largest threshold within the stable threshold range as the suitable threshold for different return periods.

In this study, the assessment of extreme significant wave heights is further studied in the SCS. Before the assessment, the meteorological characteristics are analysed to identify extreme weather. In the SCS, the tropical cyclone always drives the storm wave (Anoop et al., 2015; Hithin et al., 2015; Sanil Kumar and Anoop, 2015; Ojeda et al., 2017; Wang et al., 2017;

Mortlock et al., 2018; Sanil Kumar et al., 2018), and the number of tropical cyclones is sufficiently large. Thus, it is possible to study the extreme significant wave height in a tropical cyclone (Young et al., 2012; Young and Vinoth, 2013; Young, 2017). To achieve the assessment, a 40-year (1975-2014) hindcasted significant wave height of tropical cyclone waves is employed as the initial database. Considering that the hindcast is independently simulated during the tropical cyclone recorded in the SCS, the **maximum** significant wave height of the tropical cyclone wave can be directly extracted as the sample when the tropical cyclone influences the wave at the targeted location. Based on the sample, the POT method threshold is studied. By analysing the sensitivity of the return significant wave heights and the characteristics of the tropical cyclone waves, the sample distribution presents a separation within the stable threshold range. As validated by the asymptotic tail approximation and estimation uncertainty, the high sample shown in the distribution of the sample is suitable for extrapolating extreme significant wave heights in the SCS.

The article is structured as follows. In the next section, the POT/GPD and ATSM are introduced. The initial data and study sites are presented in Section 3. In Section 4, the sampling method is described. In Section 5, the characteristics of tropical cyclone waves are discussed. Finally, the discussions and conclusions are presented in Section 6.

## **2. Background**

### **2.1 Extrapolation theory**

The POT method extracts the **maximum** significant wave heights above a selected value (i.e., threshold),  $u$ , as the extreme sample. For  $u$ , which is sufficiently large, the distribution function of peak **exceedances** can be approximated by a member of the GPD (Pickands, 1975; Embrechts et al., 1997):

$$F_u(Hs^*) = \begin{cases} 1 - (1 + k \frac{Hs^*}{\sigma})^{-\frac{1}{k}} & k \neq 0 \\ 1 - \exp\left(-\frac{Hs^*}{\sigma}\right) & k = 0 \end{cases}$$

(1)

where  $Hs^*$  represents the peak **exceedance** over the threshold;  $\sigma$  represents the scale parameter; and  $k$  represents the shape parameter. These GPD parameters ( $\sigma$  and  $k$ ) are estimated using the maximum likelihood estimation method, which is recommended by Mazas and Hamm (2011):

$$\ln L(k, \sigma; Hs) = \begin{cases} -N \ln \sigma + \left(\frac{1}{k} - 1\right) \sum_{j=1}^N \ln\left(1 - \frac{kHs_j}{\sigma}\right) & k \neq 0 \\ -N \ln \sigma - \frac{1}{\sigma} \sum_{j=1}^N Hs_j, & k = 0 \end{cases}$$

(2)

where  $N$  represents the number of events exceeding the threshold (i.e., the number of extreme samples), and  $Hs$  represents the **maximum** significant wave height.

The  $i$ -year return significant wave height,  $Hs_i$ , is defined as follows:

$$Hs_i = F_u^{-1}\left(1 - \frac{1}{i}\right)$$

(3)

Thus, the value can be calculated with the following equation:

$$Hs_i = \begin{cases} u + \left[\left(\frac{N}{N_T} i\right)^k - 1\right] \sigma / k & k \neq 0 \\ u + \sigma \ln\left(\frac{N}{N_T} i\right) & k = 0 \end{cases}$$

(4)

where  $N_T$  represents the size of the dataset.

## 2.2 Automated threshold selection method

The ATSME determines a unique threshold within a uniquely stable threshold range for a specific return period. Liang et al. (2019) found that the stable threshold range shows a pattern associated with the return period. The minimum threshold of the stable threshold range controls the representativeness of the extreme sample; thus, the samples over the minimum threshold can represent extreme waves well, and the minimum thresholds for different return periods remain constant. The maximum threshold of the stable threshold range controls the number of extreme samples, and a longer return period requires more extreme samples; thus, the maximum thresholds gradually decrease when the return period increases. Consequently, excluding the sample within the stable threshold ranges does not obviously influence the return significant wave heights, and a suitable threshold should be determined within the stable threshold range.

The terms  $u_1, \dots, u_m$  are candidate thresholds.  $H_{s_{i,j}}$  represents the  $i$ -year return significant wave height based on the threshold of  $u_j$ . The difference,  $\Delta H_{s_{i,j}}$ , in  $i$ -year return significant wave heights ( $H_{s_{i,j}}$  and  $H_{s_{i,j-1}}$ ) for neighbouring thresholds ( $u_j$  and  $u_{j-1}$ ) is defined as follows:

$$\Delta H_{s_{i,j}} = H_{s_{i,j}} - H_{s_{i,j-1}}$$

(5)

To study the influence of the excluded samples on the return significant wave height with an increasing threshold and to select a suitable threshold, the ATSME is defined as follows (Liang et al., 2019):

- (1) Sample. Take the sample from the initial database under an independent and identically distributed assumption.

- (2) Candidate threshold. Identify the suitable range for the equally spaced and increasing candidate thresholds,  $(u_1, u_m)$ , and the threshold interval,  $\Delta u = \frac{u_m - u_1}{N_{tot}}$ .  $u_1$  is set as the **minimum** sample,  $u_m$  is set as the **maximum** sample, and  $N_{tot}$  is set as the number of samples.
- (3) Return period and value. Choose the order of  $i$  ( $i = i_1, \dots, i_{n_i}$ ) for different return periods, which is dependent on  $N_T$  and the requirement of practitioners. Extrapolate the return significant wave height for the  $i$ -year,  $Hs_{i,j}$ , which corresponds to every candidate threshold,  $u_j$ .
- (4) Stable threshold range. Calculate the difference,  $\Delta Hs_{i,j}$ , in the return significant wave height for neighbouring thresholds. Define a characteristic parameter,  $ch_{i,j}$ , to record the stable characteristics of the return significant wave heights. Find the uniquely stable threshold range for the  $i$ -year return period.
- (5) Suitable threshold. Determine the suitable threshold within the stable threshold range, such as the **maximum** threshold.

### 3. Initial data and study sites

#### 3.1 Initial data

Significant wave heights from a 40-year hindcast of tropical cyclone waves (Shao et al., 2018a) are adopted as the initial database, which is simulated using the third-generation spectral wind-wave model SWAN (an acronym for Simulating WAVes Nearshore) (Booij et al., 1999; Mortlock et al., 2014; Amrutha et al., 2016). This model is forced by the blended wind, which is obtained by combining the European Centre for Medium-Range Weather Forecasts reanalysis wind (ECMWF, covering the ERA-40 (Uppala et al., 2005) and ERA-Interim (Dee et al., 2011)) and Holland model wind (Shao et al., 2018b). The spatial resolution is  $0.0625^\circ$

for both longitude and latitude, and the temporal resolution is 1 h. From 1975 to 2014, waves are simulated only during 974 independent tropical cyclones.

### 3.2 Study sites

To analyse the extreme significant wave height, 22 locations were selected as the study sites (Fig. 1). When the distance between the centre of the tropical cyclone and the study site is within 300 km, **this tropical cyclone is recorded**, and hourly significant wave heights simulated during this tropical cyclone are adopted as the initial database at the study site. At the 22 study sites, the number of recorded tropical cyclones is 247 to 403, and the annual mean number of recorded tropical cyclones is 6.175 to 10.075. The corresponding tropical cyclone waves are sufficient for assessing extreme significant wave heights in the SCS (Mazas and Hamm, 2011).

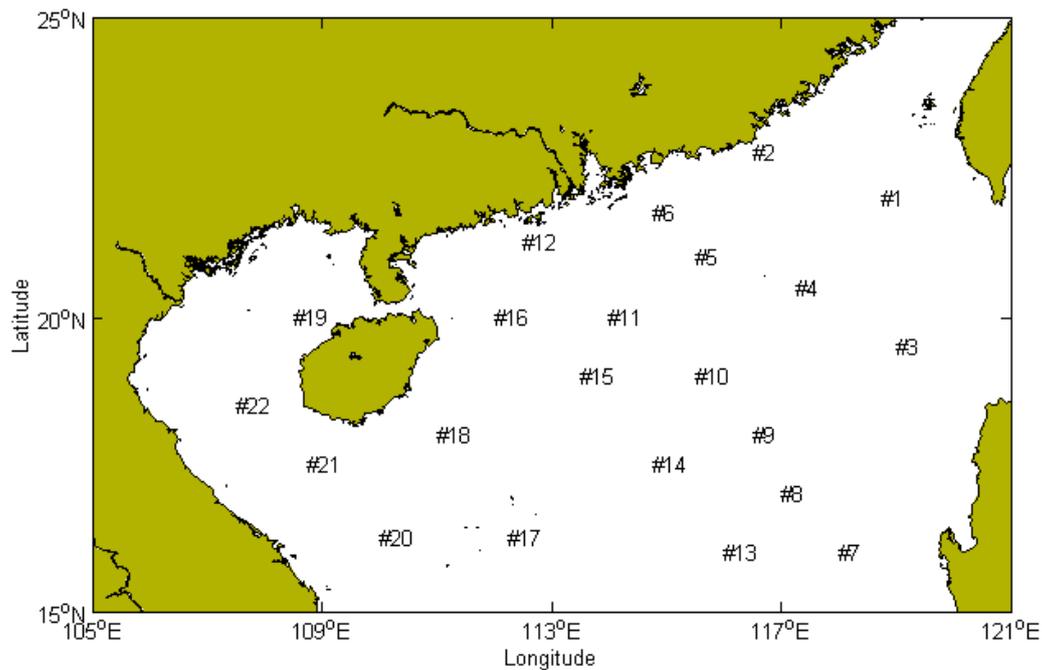


Fig. 1. The study sites in the study region.

## 4. Study of the POT method

### 4.1 Sample

As required by the EVT, the extreme significant wave height should be extrapolated based on the independent wave under the same type of meteorological event (Lerma et al., 2015; Solari

and Alonso, 2017). Considering that the initial database is simulated only during the independent tropical cyclone, the **maximum** significant wave height of recorded tropical cyclone waves can be directly extracted as the sample at the study site. For example, 328 tropical cyclones are recorded at location #1; thus, 328 **maximum** significant wave heights during these tropical cyclones are extracted as the sample.

#### **4.2 Sensitivity of return values to threshold**

Sensitivity of the return significant wave height to the threshold can be used in threshold selection. This method fits the GPD over a range of candidate thresholds and selects the suitable threshold by identifying the stability of the return significant wave heights. If return significant wave heights are insensitive to the threshold, the corresponding threshold can be selected as the suitable threshold. The benefit of this method is that it requires practitioners to graphically inspect and comprehend the data features and assess the uncertainty of the candidate thresholds (Scarrott and MacDonald, 2012). The drawback of this method is that the threshold is not uniquely selected, and another criterion is needed to identify the optimal threshold (Lerma et al., 2015).

Shao et al. (2018a) and Liang et al. (2019) analysed the sensitivity of the return significant wave height and provided threshold selection criteria to determine a unique threshold. Liang et al. (2019) diagnosed the return significant wave height within the stable threshold range. If some return significant wave heights within the stable threshold range are relatively different from the others, the corresponding candidate thresholds are rejected. Thus, the conclusions of Liang et al. (2019) on the sensitivity of the return significant wave height are employed in this study. For example, at location #1, the equally spaced with increasing candidate thresholds are identified by a threshold interval of 0.05 m, and the stable threshold ranges for the 50-year, 100-year, 150-year and 200-year return periods are (3.3 m, 5.75 m), (3.3 m, 5.25 m), (3.3 m, 4.6 m) and (3.3 m, 4.5 m), respectively.

## 5. Characteristics of tropical cyclone waves

To further analyse the candidate thresholds within the stable threshold range, the characteristics of tropical cyclone waves are investigated. The track and intensity of tropical cyclones affect the waves at the study site. When the tropical cyclone track is close to the study site and the intensity of the tropical cyclone is strong, the corresponding wave is sufficiently strong for representing the extreme wave at the study site. In this case, the **maximum** significant wave height of this tropical cyclone wave should be extracted as the extreme sample. For example, at location #1, the **maximum** significant wave heights during tropical cyclones Pabuk in 2007, Linfa in 2009, Molave in 2009 and Meranti in 2010 are 5.27 m, 8.17 m, 9.48 m and 4.51 m, respectively. The tracks of these tropical cyclones are close to location #1, and the intensities of these tropical cyclones are strong when they influence the waves at location #1 (shown in Fig. 2).

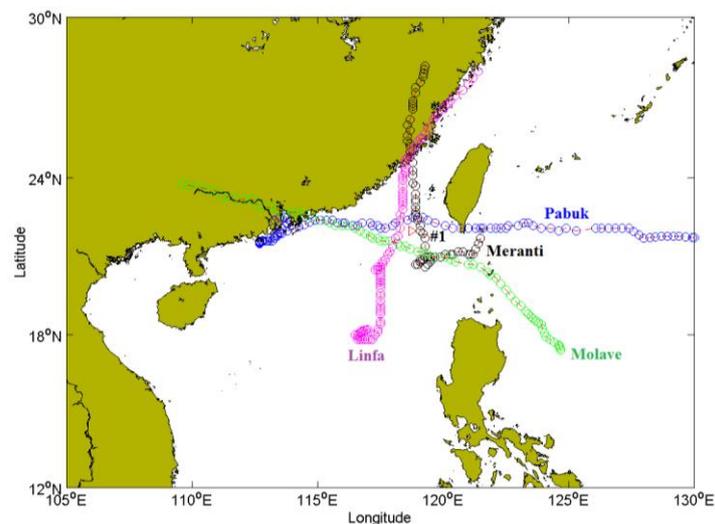


Fig. 2. Tracks of the centres of tropical cyclones Pabuk, Linfa, Molave and Meranti (triangle represents location #1, curves represent tracks of centres and circles represent locations of centres).

In contrast, when the track of the tropical cyclone is far from the study site or the intensity of the tropical cyclone is weak, the corresponding wave is insufficiently strong to represent the extreme wave at the study site. In this case, the **maximum** significant wave height of this tropical cyclone wave should not be extracted as the extreme sample. For example, at location

#1, the **maximum** significant wave heights during tropical cyclones Maria in 2000 and Toraji in 2001 are 2.59 m and 1.57 m, respectively. Although the intensities of these tropical cyclones are strong when they influence the waves at location #1, the tracks of these tropical cyclones are too far from location #1 (shown in Fig. 3). The **maximum** significant wave heights during tropical cyclones Trami in 2001 and Wutip in 2007 are 2.47 m and 2.20 m, respectively. Although the tracks of these tropical cyclones are close to location #1, the intensities of these tropical cyclones are weak when these tropical cyclones influence the waves at location #1 (shown in Fig. 4). The **maximum** significant wave heights during tropical cyclones Kai-tak in 2005 and Kammuri in 2008 are 1.11 m and 2.36 m, respectively. The tracks of these tropical cyclones are far from location #1, and the intensities of these tropical cyclones are weak when they influence the waves at location #1 (shown in Fig. 5).

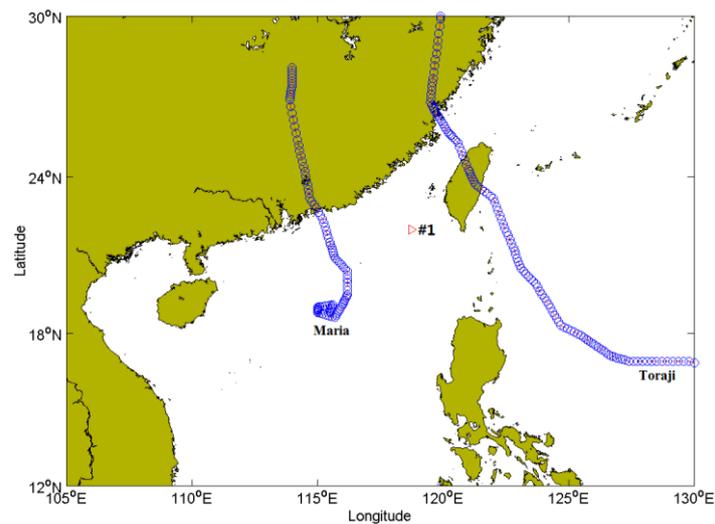


Fig. 3. Tracks of the centres of tropical cyclones Maria and Toraji (triangle represents location #1, curves represent tracks of centres and circles represent locations of centres).

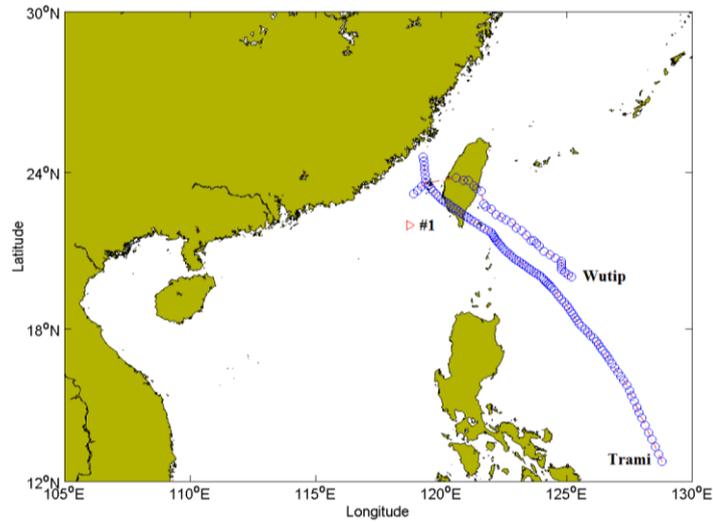


Fig. 4. Tracks of the centres of tropical cyclones Trami and Wutip (triangle represents location #1, curves represent tracks of centres and circles represent locations of centres).

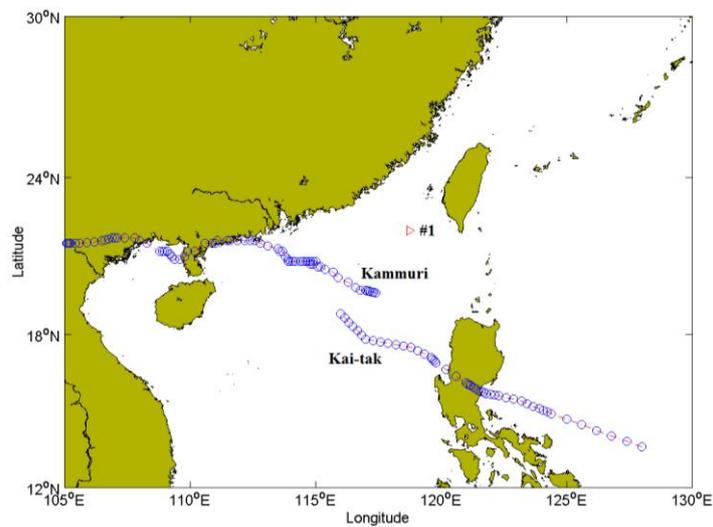


Fig. 5. Tracks of the centres of tropical cyclones Kai-tak and Kammuri (triangle represents location #1, curves represent tracks of centres and circles represent locations of centres).

The track and intensity influences of the tropical cyclones are reflected in the sample distribution (i.e., the distribution of the **maximum** significant wave height). In Fig. 6, the distribution of the sample at location #1 is presented. The sample is counted from 0 m to 15 m with an interval of 0.05 m, which is the same as the threshold interval. The samples are concentrated in two ranges: range 1 (0-4.15 m) and range 2 (4.15-15 m), with a separation value of 4.15 m (the curve is plotted to clearly show these ranges). In range 1, 191 samples from 191 independent tropical cyclone waves are found. The corresponding tropical cyclone has a weak influence on the wave at location #1, and its track and intensity are similar to those shown in

Figs. 3, 4 and 5. In range 2, 137 samples from 137 independent tropical cyclone waves are found. The corresponding tropical cyclone has a strong influence on the wave at location #1, and its track and intensity are similar to those shown in Fig. 2. The sample distribution has a natural separation, distinguishing the high sample from the low sample. Linking the distribution with the sensitivity of the return significant wave height, this separation (the corresponding annual mean number of extreme samples is 3.425) is within the stable threshold range shown in subsection 4.2.

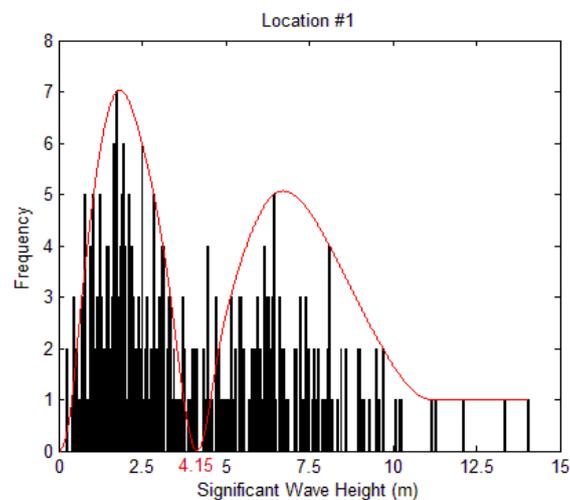


Fig. 6. Histogram of the **maximum** significant wave height from 0 m to 15 m with intervals of 0.05 m at location #1.

To further validate the separation, the asymptotic tail approximation and estimation uncertainty are analysed. The asymptotic tail approximation can be estimated by the quantile plot, which is discussed by Coles (2001) and produced by a free package running in R. In Fig. 7, the quantile plot for the threshold of 4.15 m is presented, which shows that there are generally few differences between the empirical and fitted quantiles, indicating a good fit for the selected threshold. In Table 1, the return significant wave height with the confidence interval is shown. The likelihood method (Schendel and Thongwichian, 2017) reparametrizes the likelihood in terms of the unknown quantile and uses profile likelihood arguments to construct an approximate 95% confidence interval. At location #1, the confidence intervals indicate that the variance in the extrapolated significant wave heights is acceptable.

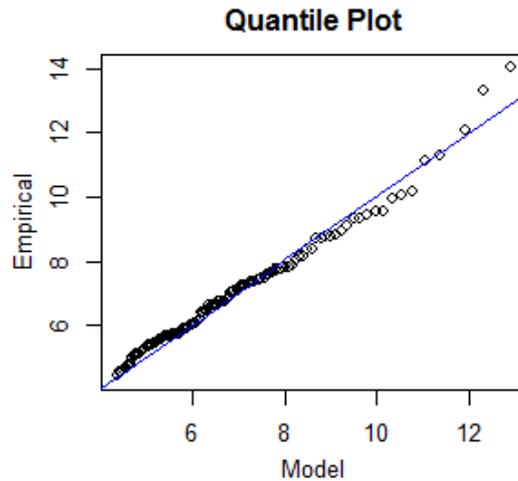


Fig. 7. The quantile plot for GPD-fitted **maximum** significant wave heights at location #1 for the threshold of 4.15 m.

Table 1  
 Statistics for the return significant wave heights and confidence intervals at location #1 for the threshold of 4.15 m.

Return Period	Return Significant Wave Height (m)	Confidence Interval (m)	Width of Confidence Interval (m)
50-year	12.07	(11.39, 13.08)	1.69
100-year	12.70	(12.02, 13.92)	1.90
150-year	13.00	(12.31, 14.36)	2.05
200-year	13.20	(12.50, 14.66)	2.16

The same conclusion can be reached at the other 21 study sites. For example, the sample distributions at locations #7 and #10 (Fig. 8) present separation values of 3.35 m and 4.1 m, respectively. Based on these separation values, the GPD model is used to extrapolate the return significant wave heights for return periods of 50-year, 100-year, 150-year and 200-year (Table 2). To validate the reliability of the return significant wave heights, the asymptotic tail approximation and estimation uncertainty are analysed. For example, the quantile plots at locations #7 and #10 are presented in Fig. 9, and the confidence intervals at 21 study sites are shown in Table 2. The fits of the results are good, and the uncertainties of the return significant wave heights are acceptable.

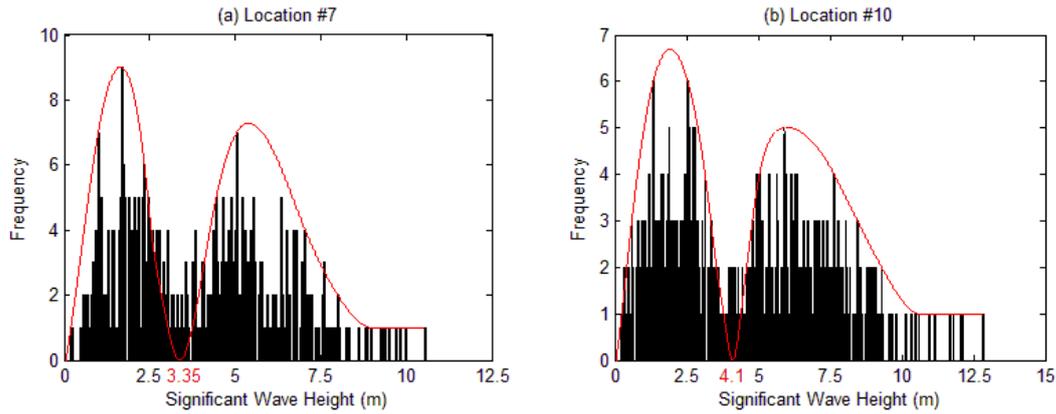


Fig. 8. Histograms of the **maximum** significant wave heights at locations #7 and #10.

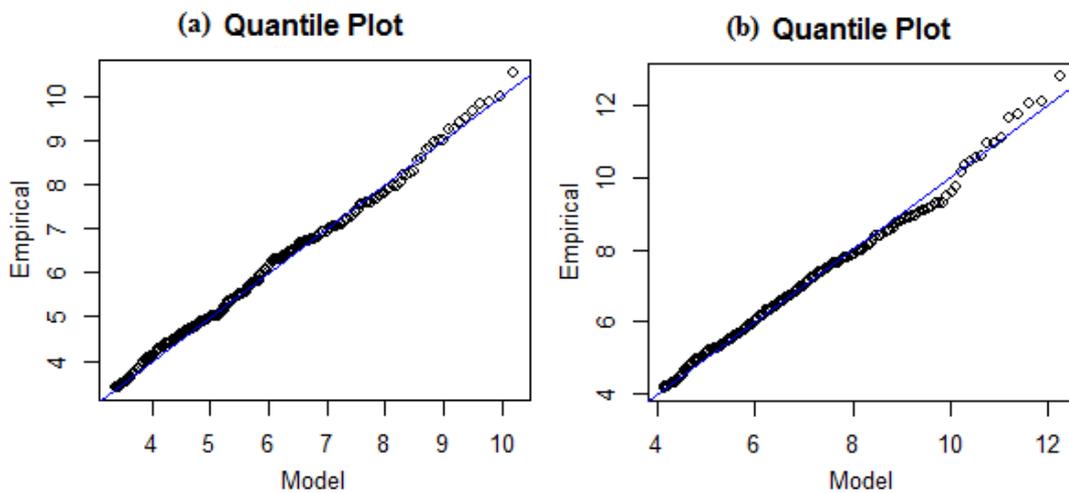


Fig. 9. Quantile plots for GPD-fitted **maximum** significant wave heights: (a) for the threshold of 3.35 m at location #7 and (b) for the threshold of 4.1 m at location #10.

Table 2  
Statistics for thresholds (**separations**), extreme samples and return significant wave heights with 95% confidence intervals.

Location	Threshold (m)	Annual Mean Number of Extreme Samples	Return Significant Wave Heights (m) with 95% Confidence Intervals			
			50-year	100-year	150-year	200-year
#1	4.15	3.425	12.07 (11.39, 13.08)	12.70 (12.02, 13.92)	13.00 (12.31, 14.36)	13.20 (12.50, 14.66)
#2	3.05	3.475	9.25 (8.88, 9.88)	9.58 (9.19, 10.45)	9.74 (9.37, 10.74)	9.86 (9.46, 10.92)
#3	5	3.375	11.17 (10.74, 11.89)	11.45 (11.02, 12.34)	11.61 (11.18, 12.60)	11.71 (11.29, 12.78)
#4	4.85	4.175	12.00 (11.25, 12.91)	12.24 (11.65, 13.26)	12.52 (11.93, 13.66)	12.70 (12.09, 13.94)
#5	4.95	3.975	11.84 (11.17, 12.80)	12.53 (11.81, 13.74)	12.83 (12.13, 14.25)	13.06 (12.34, 14.61)
#6	4.5	3.625	10.16 (9.92, 10.64)	10.45 (10.19, 11.01)	10.56 (10.32, 11.19)	10.65 (10.39, 11.30)
#7	3.35	5.325	9.68 (9.39, 10.11)	9.96 (9.66, 10.50)	10.10 (9.82, 10.71)	10.19 (9.90, 10.84)
#8	3.6	5.55	10.36 (10.05, 10.84)	10.64 (10.26, 11.18)	10.72 (10.35, 11.32)	10.91 (10.51, 11.48)
#9	3.75	5.5	10.86 (10.49, 11.39)	11.14 (10.79, 11.82)	11.28 (10.93, 12.04)	11.34 (10.98, 12.14)
#10	4.1	5.3	11.40 (10.90, 12.04)	11.87 (11.41, 12.68)	12.11 (11.58, 13.03)	12.26 (11.78, 13.23)
#11	4.25	4.75	11.44 (11.11, 12.03)	11.88 (11.56, 12.59)	12.14 (11.78, 12.87)	12.29 (11.92, 13.05)
#12	3.7	3.675	9.69 (9.37, 10.24)	9.89 (9.56, 10.57)	9.93 (9.67, 10.67)	10.02 (9.76, 10.80)

#13	3.65	5.025	11.10 (10.48, 12.07)	11.63 (10.93, 12.88)	11.88 (11.15, 13.30)	12.11 (11.35, 13.68)
#14	4.15	4.8	11.06 (10.65, 11.70)	11.40 (10.99, 12.18)	11.54 (11.14, 12.41)	11.66 (11.26, 12.59)
#15	4.85	4.2	11.31 (10.92, 11.90)	11.74 (11.34, 12.44)	11.95 (11.54, 12.71)	12.07 (11.67, 12.89)
#16	4.45	3.825	10.91 (10.74, 11.38)	11.31 (11.14, 11.83)	11.46 (11.28, 12.02)	11.75 (11.56, 12.33)
#17	3.05	4.775	10.31 (9.65, 11.59)	10.88 (10.03, 12.65)	11.08 (10.18, 13.15)	11.26 (10.35, 13.57)
#18	3.65	4.25	11.63 (11.04, 12.65)	12.00 (11.38, 13.30)	12.18 (11.53, 13.66)	12.36 (11.70, 13.95)
#19	3.55	2.275	7.87 (7.65, 8.33)	8.16 (7.93, 8.70)	8.21 (8.00, 8.83)	8.28 (8.06, 8.91)
#20	3.65	3.575	10.07 (9.53, 11.02)	10.50 (9.94, 11.71)	10.64 (10.05, 12.02)	10.84 (10.23, 12.35)
#21	2.9	4	10.10 (9.32, 11.59)	10.70 (9.87, 12.83)	10.96 (9.94, 13.37)	11.12 (10.21, 13.99)
#22	3	2.9	9.10 (8.57, 10.29)	9.45 (8.87, 11.01)	9.58 (9.00, 11.37)	9.71 (9.09, 11.68)

## 6. Discussion and conclusions

In general, Shao et al. (2018a) and Liang et al. (2019) select the suitable threshold within the stable threshold range. Benefiting from the stable characteristic of return significant wave heights, their threshold selection criteria can be used to assess the extreme significant wave height. The first criterion is relatively simple; and the second criterion is relatively stable, due to a diagnostic process of return significant wave heights. For example, at location #12, Shao et al. (2018a) extrapolate the return significant wave heights for the return periods of 50-year, 100-year, 150-year and 200-year, which are 9.59 m, 9.86 m, 9.99 m and 10.06 m, respectively. However, under the criterion of Liang et al. (2019), the corresponding return significant wave heights are 9.69 m, 9.89 m, 9.96 m and 10.05 m, respectively. When the variation of few return significant wave heights is relatively large in the stable threshold range, the return significant wave heights of Liang et al. (2019) are more stable than those of Shao et al. (2018a), especially for a short return period.

To determine the suitable threshold within the stable threshold range without a subjective definition, the thresholds within the stable threshold range are further analysed, associating with the characteristic of the tropical cyclone wave. When studying the tropical cyclone wave, a fixed distance is used to identify the initial database at the study site. This fixed distance allows

some small samples (the corresponding track is far, or the intensity is weak) to be extracted; however, no large samples (the corresponding track is close and intensity is strong) are neglected. Associated with these influences (i.e., track and intensity influences) of the tropical cyclones, the sample distribution has a natural separation distinguishing the high sample (a strong influence of the tropical cyclone) from the low sample (a weak influence of the tropical cyclone). Linking this distribution with the stable threshold range, the separation is within the stable threshold range. Thus, this separation can be used to identify the extreme sample (i.e., high sample in the distribution). **Note that** in Table 9 of Shao et al. (2019) and Tables 1 and 2 in this study, the return significant wave heights for the return periods of 50-year, 100-year, 150-year and 200-year are similar at the same 22 study locations. **However, the threshold selection criterion in this study is relatively simple and objective, and this criterion can reflect the characteristic of the tropical cyclone wave. In addition, under this criterion, the asymptotic tail approximation and estimation uncertainty show that the fits are good and the uncertainties of the return significant wave heights are acceptable.**

Considering that the sample distribution reflects the characteristic of the tropical cyclone wave, the threshold selection criterion is suitable in a tropical cyclone-dominated area. In this area, the initial database and characteristics of the tropical cyclones determine a bimodal shape of this distribution, which has a separation within the stable threshold range. Because the separation is objectively determined by the track and intensity of the tropical cyclone, this value can be identified as a suitable threshold in the POT method.

**Data availability.** Tropical cyclone data can be downloaded from <http://www.wztf121.com/>. Hindcasted significant wave heights of tropical cyclone waves can be requested from the contact author at [szx0617@163.com](mailto:szx0617@163.com).

**Author contributions.** ZS and BL conceived the study and drafted the paper. HL, PL and DL jointly worked on enriching and developing the draft. All authors contributed to the discussion and interpretation of the results.

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

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