

1 **Theoretical Model of Rainfall in Tropical Cyclones for the Assessment of**  
2 **Long-Term Risk**

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5 By

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## Abstract

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34 We propose a theoretical model to evaluate the rainfall intensity field due to large-scale  
35 horizontal wind convergence in tropical cyclones (TCs). The model is intended as one  
36 component of a methodology to assess the risk of extreme rainfall intensities from TCs. The  
37 other components are a recurrence relation for the model parameters and track and a statistical  
38 representation of the deviations of rainfall intensity from model predictions. The latter are  
39 primarily caused by rainbands and local convective activity and is the focus of an upcoming  
40 communication. The vertical flux of moisture and the associated surface rain rate are calculated  
41 using basic thermodynamics and a simple numerical model for the vertical winds inside the TC  
42 boundary layer. The tropical cyclone is characterized by the radial profile of the tangential wind  
43 speed at gradient level, the storm translation velocity, the surface drag coefficient, and the  
44 average temperature and saturation ratio inside the TC boundary layer. A parametric analysis  
45 shows the sensitivity of the symmetric and asymmetric components of the rainfall field to  
46 various storm characteristics.

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48 **Index Terms:** Precipitation (3354), Theoretical Modeling (3367), Tropical Meteorology (3374),  
49 Boundary layer processes (3307), Floods (1821).

## 1. Introduction

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Tropical cyclones (TCs) are atmospheric disturbances capable of producing extreme rainfall with devastating social and economic impact (Landsea, 2000; Rappaport, 2000). Consequently, there is much interest in the assessment of the rainfall hazards posed by TCs, either in real time (with leads of hours or days) or in the long run; see e.g. Marks *et al.* (1998). For the latter purpose, when interest is in the rate at which different rainfall intensity levels are exceeded, one needs to parameterize the storms and for each set of parameters evaluate rainfall at the site or over the region of interest as a random process in time or a random field in space-time. In principle, the stochastic rainfall model could be directly fitted to data from historical events, but the large number of parameters and the relative lack of historical data make an empirical model identification and fitting approach unfeasible. Moreover, it would be difficult in such an approach to incorporate knowledge of the physics of the phenomenon. A better approach, which we follow here, is to formulate a physically-based rainfall model. The model should be simple enough that it can be run under a very large set of scenario conditions; hence detailed numerical TC models would not be suited for this purpose.

Neither simple nor sophisticated TC models can produce accurate statistical estimates of space-time rainfall for a given set of global TC parameters. Therefore, any deterministic rainfall model must be complemented by a statistical representation of the rainfall “residuals”, defined as the difference between observed rainfall and model prediction. For example, the model developed here ignores the rainfall fluctuations due to rainbands and local convection. The statistical characterization of these fluctuations (residuals) is the focus of a separate communication.

72 The third and final component of a long-term TC rainfall risk analysis method is the  
73 recurrence model, which specifies the frequency with which different TC parameter  
74 combinations occur in the region of interest. This component has been the subject of numerous  
75 studies, as the recurrence relation is common to the assessment of any TC-related risk, such as  
76 wind, waves and surges; see for example Vickery and Twisdale (1995), Vickery *et al.* (2000),  
77 Willoughby and Rahn (2004) and Powell *et al.* (2005).

78 In the late 1950s, R.H. Kraft (as referenced by Pfof, 2000, and Kidder *et al.*, 2005) used  
79 raingauge rainfall depths to estimate the maximum 24-hr rainfall accumulation due to the  
80 passage of a TC. According to Kraft, this maximum is 100 inches (254cm) divided by the storm  
81 translation speed in knots (1knot = 0.514m/s). Limitations of Kraft's analysis are that it does not  
82 provide information on the spatial distribution of rainfall and does not account for TC  
83 characteristics such as size and intensity.

84 Riehl and Malkus (1961), Goodyear (1968) and more recently Simpson and Riehl (1981) have  
85 addressed some of these limitations. From the examination of 46 TCs making landfall along the  
86 Gulf Coast of the United States, Goodyear (1968) concluded that the 48-hr maximum rainfall  
87 depth is about 150mm and occurs 40-80km inland and 40-80km to the right of the storm. Using a  
88 similar approach, Riehl and Malkus (1961) and Simpson and Riehl (1981) found that for  
89 hurricane-strength cyclones rainfall intensity averages about 33mm/h within 37km from the  
90 cyclone center and for larger distances decays almost exponentially. While these studies extend  
91 and improve upon Kraft's rule, they too fail to resolve the dependence of rainfall on storm  
92 characteristics.

93 NASA's Tropical Rainfall Measuring Mission (TRMM) (Simpson *et al.*, 1988) produced vast  
94 amounts of TC rainfall data, making it possible to conduct more systematic statistical analyses.

95 Lonfat *et al.* (2004) extracted 2121 tropical cyclone microwave images from the TMI TRMM  
96 data set to find how the azimuthally averaged rainfall intensity varies with distance  $R$  from the  
97 TC center in three storm intensity ranges: tropical storms (TSs) with maximum tangential wind  
98 speed  $V_{max}$  in the range 18-33m/s; CAT12 cyclones with  $V_{max} = 34-48\text{m/s}$  and CAT35 cyclones  
99 with  $V_{max} > 49\text{m/s}$ . The study concluded that TC rainfall intensifies with increasing  $V_{max}$  and the  
100 symmetric component of the rainfall intensity reaches its maximum at a distance from the  
101 hurricane center close to the radius of maximum winds  $R_{max}$ . For larger distances, rainfall  
102 intensity decays approximately as a power law; see their Figure 11. Due mainly to storm  
103 translation and vertical wind shear, rainfall intensity lacks circular symmetry and varies also with  
104 the azimuth relative to the directions of shear and motion.

105 Chen *et al.* (2006) used the same TRMM storms to further assess the dependence of rainfall  
106 on vertical wind shear  $S$ , defined as the difference between the 200 and 850-hPa horizontal wind  
107 velocities in the annular region between 200 and 800km from the TC center. The study  
108 calculated the average rainfall asymmetry, defined as the ratio of the wavenumber-1 Fourier  
109 amplitude to the azimuthal average of the rainfall intensity, for the nine combinations of the 3  
110 intensity categories in Lonfat *et al.* (2004) and three shear magnitude ranges ( $S < 5\text{m/s}$ ,  
111  $5 \leq S \leq 7.5\text{m/s}$ , and  $S > 7.5\text{m/s}$ ). Chen *et al.* (2006) found that, in storms in the Northern  
112 (Southern) hemisphere with high wind shear ( $S > 5\text{m/s}$ ), rainfall intensifies downshear and  
113 downshear-left (-right) of the storm.

114 Parametric rainfall models have also been developed. Using the radial rainfall profiles of  
115 Lonfat *et al.* (2004), Tuleya *et al.* (2007) suggested one such model for 24-hr rainfall totals (R-  
116 CLIPER) based on climatological and persistence information. The model assumes that storms  
117 are symmetric and therefore ignores vertical wind shear and storm motion. Lonfat *et al.* (2007)

118 built on the R-CLIPER algorithm to construct a parametric rainfall model (PHRaM) that includes  
119 shear-related asymmetries according to the results of Chen *et al.* (2006).

120 Due to data limitations, R-CLIPER and PHRaM use a coarse and incomplete storm  
121 parameterization: the effects of storm intensity and vertical wind shear are modeled by  
122 interpolating from 3 classes of each variable, the size of the vortex  $R_{max}$  is only implicitly taken  
123 into account by allowing the location of the maximum rainrate depend on the intensity of the  
124 storm according to the results of Lonfat *et al.* (2004), while other factors (e.g. the radial wind  
125 velocity profile in the main vortex, the surface roughness, and the storm translation velocity) are  
126 ignored. Another limitation is that the Lonfat *et al.* (2004) profiles on which R-CLIPER and  
127 PHRaM are based use ensemble averages of storms with significantly different  $R_{max}$  values.  
128 Since rainfall intensity has a sharp peak near  $R_{max}$ , this averaging operation depresses the  
129 maximum rainfall estimate. For example, for CAT35 storms Lonfat *et al.* (2004) find maximum  
130 rainfall intensities around 12mm/h, which is 2.5-3 times lower than the values most often  
131 reported in the literature; see for example Riehl and Malkus (1961), Jiang *et al.* (2006),  
132 Trenberth *et al.* (2007) and the rainfall intensities implied by the radar reflectivities in Marks  
133 (1985) and Kepert (2006a,b). Finally, the Lonfat *et al.* (2004) profiles are based on TMI rainfall  
134 products, which are known to be biased towards low values for high rainfall intensities and  
135 towards high values for low rainfall intensities (Viltard *et al.*, 2006).

136 Here we develop a simple theoretical model of TC rainfall based on the vertical outflow of  
137 water vapor from the TC boundary layer (BL). This water vapor flux originates from the low-  
138 level convergence of the horizontal flow. The analysis combines a user-specified tangential wind  
139 profile at gradient level, an Ekman-type solution for the horizontal and vertical winds inside the  
140 boundary layer (BL), and basic thermodynamics. Evaluation of the BL winds is based on Smith's

141 (1968) axi-symmetric formulation, modified by Langousis *et al.* (2008) to account for storm  
142 motion. The resulting models of wind and rainfall are referred to as the modified-Smith (MS) BL  
143 model and the modified-Smith-for-rainfall (MSR) model, respectively.

144 The MSR model produces asymmetric rainfall fields that explicitly depend on: the maximum  
145 tangential wind velocity at gradient level  $V_{max}$ , the radius of maximum winds  $R_{max}$ , Holland's  $B$   
146 parameter (Holland, 1980), the surface drag coefficient  $C_D$ , the storm translation velocity  $V_t$ , the  
147 vertical diffusion coefficient of the horizontal momentum  $K$ , and the average temperature  $\bar{T}$  and  
148 saturation ratio  $\bar{Q}$  inside the TC boundary layer.

149 An important departure from previous studies is that we parameterize asymmetries in terms of  
150 storm motion not vertical wind shear. The degree to which TC motion and shear contribute to  
151 wind, lightning, and rainfall asymmetries has been intensely discussed in the literature; see for  
152 example Black *et al.* (2002), Corbosiero and Molinari (2002, 2003), Rogers *et al.* (2003), Lonfat  
153 *et al.* (2004) and Chen *et al.* (2006). Separation of the two effects through data analysis is made  
154 difficult by the high correlation between the directions and magnitudes of motion and shear in  
155 any given geographical region (Corbosiero and Molinari, 2003; Lonfat *et al.*, 2004; Chen *et al.*,  
156 2006). As a consequence, the calculated rainfall asymmetry is almost the same when storms are  
157 aligned in the direction of motion or shear, except for a region-specific rotation; see e.g.  
158 Corbosiero and Molinari (2003) and Section 5 below. Another consequence is that, in risk  
159 analysis, one may equivalently use shear or motion as conditioning parameter. Since it is easier  
160 to include motion than shear when modeling rainfall and the historical records readily provide  
161 storm motion information (e.g. Vickery and Twisdale, 1995, and Vickery *et al.*, 2000), we have  
162 chosen to develop a motion-based rather than shear-based parameterization of rainfall  
163 asymmetry.

164 Section 2 summarizes the boundary layer model developed by Langousis *et al.* (2008) and  
165 Section 3 uses the vertical fluxes from that model to estimate surface rainrates in the case of  
166 stationary (i.e. symmetric) cyclones. Model predictions are compared to MM5 simulations and  
167 R-CLIPER rainrate estimates. The choice of MM5 is based on the fact that this code has been  
168 successfully used to simulate a number of TCs, including Hurricanes Bonnie (1998) (Rogers *et al.*  
169 *al.* 2003, 2007), Floyd (1998) (Tenerelli and Chen, 2001, Rogers *et al.* 2007) and Frances (2004)  
170 (Chen *et al.*, 2007). Section 4 validates the symmetric MSR predictions using precipitation radar  
171 (PR) rainfall products from 38 TRMM frames. The PR rainfall products are less biased than the  
172 microwave imager (TMI) data used in previous studies, especially in the core region where  
173 rainfall intensities are high (Viltard *et al.*, 2006). Section 5 extends the analysis to translating  
174 TCs, which generate asymmetric rainfall fields, assesses the effect of motion on the spatial  
175 variation of TC rainfall, and suggests a motion-based parameterization of rainfall asymmetry.  
176 Section 6 assesses the sensitivity of the symmetric and asymmetric rainfall components to  
177 various TC parameters and Section 7 summarizes the main conclusions.

## 178 **2. Modified Smith boundary layer model for moving tropical cyclones**

179 A number of studies (Myers and Malkin 1961; Shapiro 1983; Kepert 2001; Langousis *et al.*  
180 2008) have developed theoretical boundary layer (BL) models for moving tropical cyclones.  
181 These models derive the radial, tangential and vertical winds inside the boundary layer from an  
182 assumed radial profile of the tangential wind velocity under gradient balance,  $V_{gr}(R)$ , and suitable  
183 surface boundary conditions. For example, a widely used gradient wind profile is (Holland,  
184 1980)

$$185 \quad V_{gr}(R) = V_{max} \sqrt{(R_{max}/R)^B \exp[1-(R_{max}/R)^B]} \quad (1)$$



186 where  $V_{max}$ ,  $R_{max}$ , and  $B$  are TC-specific parameters. According to equation (1), the tangential  
187 velocity  $V_{gr}$  increases radially to a maximum  $V_{max}$  at  $R = R_{max}$  and for  $R \gg R_{max}$  decays  
188 approximately as a power-law of distance with exponent  $-B/2$ . The shape parameter  $B$  varies in  
189 the range  $[1, 2]$ , with typical values around 1.4 (Willoughby and Rahn, 2004). Next we briefly  
190 describe the boundary layer model of Langousis *et al.* (2008) and in Sections 3-5 use this model  
191 to calculate water vapor fluxes that are responsible for rainfall.

192 The model of Langousis *et al.* (2008) corrects Smith's (1968) BL formulation for the case of  
193 stress surface boundary conditions and accounts for storm motion. Like in Smith (1968), vertical  
194 diffusion of the horizontal momentum is parameterized through a vertical diffusion coefficient  $K$ .  
195 The horizontal momentum equations are written in cylindrical coordinates that move with the  
196 storm and solved using the Karman and Pohlhausen momentum integral method. In this method,  
197 one specifies vertical profiles for the radial  $U$  and tangential  $V$  wind velocity components, which  
198 satisfy the boundary conditions at the surface (elevation  $Z = 0$ ) and for  $Z \rightarrow \infty$  tend to the  
199 gradient winds, for example the profile in equation (1). The boundary conditions are modeled  
200 using a surface stress formulation with drag coefficient  $C_D$ .

201 For  $U$  and  $V$ , Langousis *et al.* (2008) use functions of the Ekman type with parameters  $E$   
202 (amplitude coefficient) and  $\delta$  (dimensionless BL scale thickness) that vary both radially and  
203 azimuthally. The horizontal momentum equations are vertically integrated through the BL to  
204 produce a system of two partial differential equations, which are solved numerically to obtain  $E$   
205 and  $\delta$  as functions of radius  $R$  and azimuth  $\theta$  relative to the direction of storm motion. Once the  
206 horizontal wind components  $U$  and  $V$  are obtained, the vertical wind velocity  $W$  is calculated  
207 using mass conservation, as

208 
$$W(R,\theta,Z) = -\frac{1}{R} \left[ \int_0^Z \frac{\partial(RU)}{\partial R} dZ + \int_0^Z \frac{\partial V}{\partial \theta} dZ \right] \quad (2)$$

209 For stationary cyclones ( $V_t = 0$ ), there is no azimuthal variation of  $V$  and  $U$  and equation (2)  
 210 reduces to

211 
$$W(R,Z) = -\frac{1}{R} \frac{d}{dR} \left( R \int_0^Z U dZ \right) \quad (3)$$

212  $W(R,Z)$  in equation (3) is also the symmetric component of the vertical wind speed for a storm  
 213 that translates with velocity  $V_t \neq 0$ .

214 The above modified Smith (MS) scheme is computationally very efficient and stable over a  
 215 wide range of parameter values. Model predictions are close to MM5 simulations and to  
 216 observed wind speeds; see Langousis *et al.* (2008) for details.

217 **3. Estimation of the symmetric component of rainfall**

218 Estimates of rainfall intensity are obtained assuming that, with corrections to be made later, the  
 219 surface rain rate  $i$  is proportional to the water vapor up-flux at a reference height  $H$ . Similar  
 220 approaches have been used in the past to evaluate the rainfall potential of extra-tropical storms  
 221 (Palmen, 1958), orographic precipitation (Alpert, 1986) and latent heat (Magaki and Barros,  
 222 2004), as well as to predict rainfall extremes (Abbs, 1999; Wilson and Toumi, 2005).

223 To verify how strongly rainfall intensity is related to the vertical velocity  $W_H(R,\theta) =$   
 224  $W(R,\theta,Z=H)$  from equation (2) at different elevations  $H$ , we used MM5 simulations. Figure 1  
 225 shows the correlation between the two quantities using 12 frames of Hurricane Frances,  
 226 simulated at 6 hr intervals for the period Aug. 29-Sep. 01, 2004. The correlation is maximum  
 227 around 0.85 at an elevation of 2-3km, which can be taken as the reference height  $H$ . The inset of

228 Figure 1 compares the MM5 radial profiles of the simulated rainfall intensity and vertical wind  
 229 velocity at 3km elevation for the 06:00UTC Aug. 29, 2004 frame. Both profiles are normalized  
 230 to have unit maximum value. This detailed comparison shows that the correlation coefficient is  
 231 below 1 due mainly to fluctuations of the rainfall intensity caused by rainbands and other local  
 232 convective phenomena. If these fluctuations in the MM5 profiles are smoothed out, which is  
 233 what the present MSR model effectively does, the surface rainfall intensity and vertical wind  
 234 speed are in even better agreement.

235 To complete the symmetric rainfall model one needs the proportionality constant between  
 236 rainfall intensity and vertical wind speed. From simple calculations using a lapse-rate of about 6-  
 237 7 °C/km (Rogers and Yau, 1996), one obtains that at elevations in excess of 6-8km the water  
 238 vapor mixing ratio is close to zero. Consequently, one may accurately assume that the upward  
 239 water vapor flux from the TC boundary layer equals the downward flux of rainwater. To keep  
 240 the rainfall model simple, we assume that below the reference height  $H$  the temperature  $T$  and  
 241 saturation ratio  $Q$  are constant and equal to the depth-averaged values  $\bar{T}$  and  $\bar{Q}$ . For cyclones  
 242 over tropical and sub-tropical waters,  $\bar{T}$  ranges between 20-24°C and  $\bar{Q}$  is between 75-85%; see  
 243 Gray *et al.* (1975), Frank (1977) and Smith (2003). Under these conditions, the symmetric  
 244 rainfall intensity  $i_{sym}$  is given by

$$245 \quad i_{sym}(R) = \begin{cases} \alpha(\bar{T}) \bar{Q} W_H(R) & , W_H(R) > 0 \\ 0 & , W_H(R) \leq 0 \end{cases} \quad (4)$$

246 where  $\alpha(\bar{T})$  is the volume of liquid water per unit volume of saturated air after complete  
 247 condensation (see below), and  $W_H(R) = W(R, Z=H)$  is the vertical wind velocity in equation (3)  
 248 for  $Z = H$ . The function  $\alpha(\bar{T})$  is obtained by combining the ideal gas law with the Clausius-  
 249 Clapeyron equation. Using a liquid water density  $\rho_w = 1000\text{kg/m}^3$ , this gives

250 
$$\alpha(\bar{T}) = \frac{1.324 \cdot 10^{-3}}{\bar{T}+273} \exp\left(\frac{17.67 \bar{T}}{\bar{T}+243.5}\right) \quad (5)$$

251 where  $\bar{T}$  is in °C. Notice that in downdraft regions where  $W_H$  is negative, equation (4) sets the  
 252 rainfall intensity to zero. This means that rainfall generation is limited to regions where moist air  
 253 updrafts. However, due to the slant of the wall updrafts and the cyclonic advection, rainfall may  
 254 be nonzero also in downdraft regions. This effect is modeled below through a rainfall  
 255 redistribution scheme.

256 **3.1 Correction for the sloping angle of the wall**

257 Flight observations (e.g. Jorgensen, 1984b; Marks and Houze, 1984) show that the wall updraft  
 258 of a tropical cyclone slopes outward to altitudes  $H_0 \approx 5-7\text{km}$ , with an angle  $\psi_0$  from the vertical  
 259 in the 45°-60° range. The MS model of Langousis *et al.* (2008) assumes fixed vertical profiles of  
 260 the radial and tangential wind velocities and therefore does not account for such sloping angle.  
 261 Consequently, equation (4) tends to underpredict the radius of maximum rainfall.

262 To include radial advection of the rainwater by the wall updraft while avoiding discontinuities  
 263 in the radial distribution of rainfall, we assume that the angle of the updrafts decreases  
 264 exponentially with distance  $R$  from the storm center, as

265 
$$\psi(R) = \psi_0 \exp\left(-\frac{|R-R_m|}{R_m}\right) \quad (6)$$

266 where  $R_m$  is the location where  $i_{sym}$  and  $W_H$  in equation (4) are maximum. The outward radial  
 267 displacement  $\Delta R$  of the rainwater due to the sloping updrafts is then

268 
$$\Delta R = H_0 \tan\psi \quad (7)$$

269 Notice that estimating rainfall intensities at distance  $R$  from the cyclone center as  $i_{sym}(R-\Delta R)$  is  
270 technically incorrect because the model does not satisfy mass conservation. However, we have  
271 verified that the error is very small and negligible in practice.

### 272 **3.2 Comparison with MM5 and R-CLIPER**

273 Figure 2 compares the azimuthally averaged rainfall intensities  $i_{sym}$  for Hurricane Frances (2004)  
274 estimated by MM5, R-CLIPER (see Introduction), and the present modified-Smith-for-rainfall  
275 (MSR) model. The MM5 and MSR curves are the ensemble averages of 12 rainfields simulated  
276 at 6 hr intervals during the period Aug. 29-Sep. 01, 2004, using the two models. The MM5  
277 simulations were conducted at 1.67km resolution using the nested grid capability at the  
278 University of Miami (Houze *et al.*, 2006; 2007), whereas the MSR estimates were obtained as  
279 follows:

- 280 1) For each frame, the parameters  $V_{max}$  and  $R_{max}$  in equation (1) were extracted from the  
281 azimuthally averaged tangential winds simulated by MM5 at 5km elevation;
- 282 2) Holland's (1980) gradient wind profile with  $B=1$  was used in the model of Langousis *et al.*  
283 (2008) to calculate the vertical wind profile  $W_H(R)$  at elevation  $H=3$ km;
- 284 3) Equations (4) and (5) were used to estimate how the azimuthally averaged rainfall intensity  
285  $i_{sym}$  varies with distance  $R$  from the TC center;
- 286 4) Finally, the results were corrected for sloping-updrafts using equations (6) and (7) and  
287 averaged over the 12 frames.

288 Setting Holland's  $B$  to 1 reproduces well the MM5 rainfall fields, as well as the PR rainfall  
289 estimates from TRMM; see Section 4.

290 The model of Langousis *et al.* (2008) requires also specification of the Coriolis parameter  $f$ ,  
291 the vertical diffusion coefficient  $K$ , and the surface drag coefficient  $C_D$ . In our simulations we

292 have set  $f = 4.7 \cdot 10^{-5} \text{ sec}^{-1}$ , which corresponds to latitude  $19^\circ$  North (the approximate latitude of  
293 TC Frances during the period considered),  $K = 50 \text{ m}^2/\text{s}$ , and  $C_D = 0.002$ . Values of  $K$  near  $50 \text{ m}^2/\text{s}$   
294 are often quoted in the literature (e.g. Smith, 1968; Shapiro, 1983; Kepert, 2001; Kepert 2006b)  
295 and are consistent with back-calculations from MM5 simulations (Melicie Desflots, 2007,  
296 personal communication). The value 0.002 is representative of drag coefficients extracted from  
297 oversea MM5 simulations and to values in the literature for winds in the hurricane range (e.g.  
298 Kepert, 2001; Powell *et al.*, 2003; Donelan *et al.*, 2004). The vertically averaged temperature  $\bar{T}$   
299 (over a depth of 3km) and saturation ratio  $\bar{Q}$  in equation (4) have been set to  $22^\circ\text{C}$  and 80%,  
300 respectively. These values correspond to a depth-averaged mixing ratio of approximately 13gr/kg,  
301 which is slightly lower than the ensemble average value of 15gr/Kg extracted from MM5  
302 simulations for Hurricane Frances (Melicie Desflots, 2007, personal communication). For the  
303 wall updraft correction in equations (6) and (7), we have assumed an outwards slope of  $\psi_0 = 50^\circ$   
304 from the vertical to an altitude  $H_0 = 6\text{km}$ .

305 The solid lines in Figure 2 are the profiles of  $i_{sym}$  before the correction for sloping updrafts  
306 (thin lines) and after that correction (thick lines). The rainfall estimates from the MSR model are  
307 close in shape and magnitude to the MM5 profiles. This is especially true after the correction for  
308 out-sloping updrafts. Differences are mostly due to local rainfall intensifications in MM5 caused  
309 by rainbands. By contrast, the rain rates of Lonfat *et al.* (2004), which form the basis of the R-  
310 CLIPER algorithm, agree with MM5 in the far field but severely underestimate rainfall in the  
311 near-core region. As discussed in the Introduction, reasons for the much-reduced rain rate  
312 maximum in R-CLIPER are the smoothing effect of ensemble averaging and the bias of the TMI  
313 rainfall retrievals used by Lonfat *et al.* (2004).

#### 4. Validation of symmetric MSR predictions

314

315 Figure 3 compares PR and MM5 rainfall estimates with rainfall intensities generated by the  
316 present MSR model using the procedure described in Section 3. Figure 3.a shows a scatterplot of  
317 the ratio between the PR and MSR rainfall estimates as a function of the normalized distance  
318  $R/R_{max}$  from the storm center, using a  $5\text{km} \times 5\text{km}$  grid of spatial locations and the 38 TRMM  
319 frames in Table 1 (a total number of 48483 points). The number of points in different ranges of  
320  $R/R_{max}$  is shown in Table 2. The MSR estimates were generated using the  $V_{max}$ ,  $R_{max}$  and latitude  
321 information in the extended best track record (Demuth *et al.*, 2006; M. DeMaria, 2008; personal  
322 communication). Figure 3.b shows a similar scatterplot of the ratio between the MM5 and MSR  
323 rainfall estimates. In this case the comparison is based on the 12 simulated rainfields of  
324 Hurricane Frances, for a total of 43919 points. All MSR simulations were performed using  $B = 1$ ,  
325  $K = 50\text{m}^2/\text{s}$  and  $C_D = 0.002$ . Both Figures 3.a and 3.b show a large dispersion, which reflects the  
326 significant small-scale variability of rainfall intensity due to rainbands and local convection.  
327 Those fluctuations are not resolved by the MSR model.

328 Figures 3.c and 3.d show the moving average and standard deviation of the ratios in Figures  
329 3.a and 3.b, using a window of 2000 points. Except for a small region close to the core ( $R <$   
330  $1.5R_{max}$ ), the local average in Figure 3.c fluctuates around 1. This means that on average the  
331 MSR model generates unbiased rainfall profiles for radial distances up to  $15R_{max}$  from the TC  
332 center. For distances  $R < 1.5 R_{max}$  the MSR model tends to overpredict the PR rainrates.

333 As noted above, the large local standard deviations in Figure 3.c reflect the significant small-  
334 scale variability of TC rainfall. It is interesting that the standard deviation tends to increase as the  
335 distance from the TC center increases. This is in accordance with the findings of other studies

336 (Jorgensen, 1984a; Powell, 1990, and Molinari *et al.*, 1994) that the outer TC environment  
 337 exhibits more cellular structure and higher small-scale variability relative to the inner region.

338 Figure 3.d shows that for radial distances up to  $8R_{max}$  the MSR model tends to underpredict  
 339 the MM5 rainfall intensities by about 50%, whereas for larger distances the opposite is true.  
 340 Since the MSR model displays good skills in reproducing the PR rain rates, it is possible that  
 341 these differences reflect MM5 biases. This is consistent with what other studies have found when  
 342 comparing MM5 rainfall estimates to empirical and radar observations; see e.g. Fall *et al.* (2007),  
 343 Juneng *et al.* (2007), Chen *et al.* (2007) and Rogers *et al.* (2007). The higher standard deviations  
 344 in Figure 3.d compared to Figure 3.c further suggest that MM5 may enhance local convective  
 345 activity. One should however caution that these observations are based on just one simulated  
 346 hurricane and should be validated through a more extensive comparison.

### 347 **5. Asymmetry of the rainfall field**

348 In the case of a moving TC, equation (4) becomes

$$349 \quad i(R,\theta) = \begin{cases} \alpha(\bar{T}) \bar{Q} W_H(R,\theta) & , \quad W_H(R,\theta) > 0 \\ 0 & , \quad W_H(R,\theta) \leq 0 \end{cases} \quad (8)$$

350 where the vertical wind speed  $W_H$  depends on both  $R$  and  $\theta$  and is given by equation (2) for  $Z = H$ .  
 351 In this asymmetric case the rainfall intensities from equation (8) must be corrected both radially  
 352 using equations (6) and (7) and azimuthally to account for the redistribution of rainwater due to  
 353 cyclonic circulation; on the latter, see Corbosiero and Molinari (2002), Black *et al.* (2002) and  
 354 Rogers *et al.* (2003).

355 To keep the correction simple, we perform the azimuthal redistribution uniformly within an  
 356 angular interval  $[\theta, \theta + \Delta\theta]$  where  $\Delta\theta$  is given by



357 
$$\Delta\theta = \frac{V_{gr}(R)}{R} (t_f + t_r) \quad (9)$$

358 The angle  $\Delta\theta$  is in radians (positive clockwise in the Northern hemisphere),  $V_{gr}$  is the tangential  
 359 wind velocity at gradient level (equation (1)),  $t_f \approx 30\text{min}$  is the time needed for rain generating  
 360 features like convective cells to develop (Weisman and Klemp, 1986; Rogers and Yau, 1996)  
 361 and  $t_r$  is the time needed for a raindrop at height  $H$  to reach the ground. A rough estimate of  $t_r$   
 362 comes from assuming an average raindrop velocity of 2-3m/s and a boundary layer depth  $H \approx$   
 363 2.5-3km. This gives  $t_r \approx 25\text{min}$ .

364 Next we use equations (8) and (9) for  $t_f + t_r = 60\text{min}$  to assess the effect of motion on the  
 365 spatial variation of TC rainfall and propose a motion-based, rather than shear-based,  
 366 parameterization of rainfall asymmetry.

### 367 ***5.1. Motion-based versus shear-based parameterization of rainfall asymmetry***

368 MSR is a boundary layer model that generates spatial rainfall without explicitly considering  
 369 vertical shear  $S$ . Rather, rainfall asymmetries are linked to storm motion. Since most of the  
 370 rainfall originates at low altitudes relative to those that define wind shear, one may expect this to  
 371 be a suitable approach.

372 To verify this assertion, Figure 4 compares the shear-aligned rainfall asymmetry from TRMM  
 373 with the motion-aligned rainfall asymmetry from MSR. In both cases, asymmetry is defined as

374 
$$A(R,\theta) = \frac{i(R,\theta) - i_{sym}(R)}{i_{sym}(R)} \quad (10)$$

375 where  $i(R,\theta)$  is rainfall intensity at  $(R,\theta)$  and  $i_{sym}(R)$  is the azimuthal average. More specifically,  
 376 Figure 4.a shows the average of the rainfall asymmetries in Figure 7 of Chen *et al.* (2006) over  
 377 all TC-intensities and shear magnitudes after aligning the shear vector to point North. For shear

378 we have used the distribution in Figure 6 of the same study, whereas for TC intensity we have  
379 used the discrete distribution in Table 1 of Lonfat *et al.* (2004).

380 Similarly, Figure 4.b was generated by averaging rainfall asymmetries from the MSR model  
381 over a range of TC intensities and translation velocities. Storms are assumed to move in the  
382 Northern hemisphere at an angle of  $75^\circ$  west of the shear-direction in Figure 4.a. This is the  
383 average angle between shear and motion from Figures 3 and 12 of Chen *et al.* (2006) and is in  
384 the range reported by Corbosiero and Molinari (2003). For storm intensity we have used the  
385 same discrete distribution as in Figure 4.a, setting  $V_{max} = 30\text{m/s}$  for tropical storms,  $V_{max} = 42\text{m/s}$   
386 for CAT12 and  $V_{max} = 60\text{m/s}$  for CAT35 systems. The distribution of the translation velocity was  
387 taken from Figure 11 of Chen *et al.* (2006). All other storm parameters have been kept constant,  
388 with values  $f = 4.7 \cdot 10^{-5} \text{ sec}^{-1}$ ,  $R_{max} = 40\text{km}$ ,  $B = 1$ ,  $\bar{T} = 22^\circ\text{C}$ ,  $\bar{Q} = 0.8$ ,  $K = 50\text{m}^2/\text{s}$ , and  $C_D = 0.002$ .

389 One sees that the two asymmetries are very similar in both pattern and magnitude, validating  
390 the contention that for rainfall risk one can use the MSR model with motion as the driver of  
391 asymmetry. Differences between Figures 4.a and 4.b occur mainly far away from the core  
392 ( $R > 250\text{km}$ ), but these differences are statistically not significant and inconsequential for risk  
393 analysis.

## 394 **6. Sensitivity analysis**

395 Figures 5 and 6 show the sensitivity of the MSR model results to various tropical cyclone  
396 characteristics: the tangential wind speed under gradient balance (parameterized by  $V_{max}$ ,  $R_{max}$   
397 and  $B$ ; see equation (1)), the vertical diffusion coefficient  $K$ , the surface drag coefficient  $C_D$ , the  
398 depth-averaged temperature  $\bar{T}$  inside the BL and the translation velocity  $V_t$  of the storm. Since  
399 rainfall intensity is proportional to the depth-averaged saturation ratio  $\bar{Q}$  (see equations (4) and  
400 (8)), dependence on  $\bar{Q}$  is not illustrated.

401 Figure 5 shows the sensitivity of the azimuthally averaged rainfall intensity  $i_{sym}$  to  $V_{max}$ ,  $R_{max}$ ,  
402  $B$ ,  $K$ ,  $C_D$  and  $\bar{T}$ . Parameters are varied one at a time around the base-case values  $V_{max} = 50\text{m/s}$ ,  
403  $R_{max} = 40\text{km}$ ,  $B = 1$ ,  $K = 50\text{m}^2/\text{s}$ ,  $C_D = 0.002$ ,  $\bar{T} = 22^\circ\text{C}$  and  $\bar{Q} = 0.8$  (solid lines). The figure  
404 shows that the maximum tangential velocity  $V_{max}$  and the roughness of the surface boundary  
405 (expressed through  $C_D$ ) have significant effects on rainfall intensity and that lower values of  $R_{max}$   
406 produce rain rates that are more peaked and more concentrated near the TC center.

407 Dependence of the azimuthally averaged rainrate  $i_{sym}$  on  $V_{max}$  of the type produced by the  
408 model has been observed in TC rainfall data (Lonfat *et al.*, 2004, Tuleya *et al.*, 2007; see  
409 Introduction). For example, the expressions used by the R-CLIPER parameterization (Tuleya *et*  
410 *al.*, 2007) indicate that when  $V_{max}$  increases from 50 to 70m/s, the maximum rainrate increases by  
411 a factor of about 1.5. This is also what the MSR model predicts. However, to our knowledge the  
412 effect of  $C_D$  and  $R_{max}$  on  $i_{sym}$  have not been isolated from data. The effect of surface roughness  
413 can be qualitatively assessed using the finding in Trenberth *et al.* (2007) that low-level horizontal  
414 wind convergence is by far the dominant factor for TC rainfall. Hence, if one considers that low-  
415 level convergence increases with increasing surface drag (Shapiro, 1983; Kepert, 2001;  
416 Langousis *et al.*, 2008), one concludes that higher surface drag coefficients should cause TC  
417 rainfall to intensify.

418 The  $B$  parameter has a small effect on the peak rainfall intensity, but influences significantly  
419 the rate at which rainfall decays with radial distance (higher values of  $B$  resulting in faster decay).  
420 The azimuthally averaged rainfall intensity  $i_{sym}$  has small sensitivity to temperature  $\bar{T}$  and the  
421 vertical diffusion coefficient  $K$ . Consequently, setting those parameters to constant values (e.g. to  
422  $\bar{T} = 22^\circ\text{C}$  and  $K = 50\text{m}^2/\text{s}$ , as was done in Sections 3-5) does not induce large errors.

423 Figure 6 shows the effect of the drag coefficient  $C_D$  and translation velocity  $V_t$  on rainfall  
424 asymmetry for a TC that translates northward in the Northern hemisphere. All other parameters  
425 are the same as for the base case in Figure 5. As expected and in accordance with findings in  
426 Lonfat *et al.* (2004), the asymmetry increases as  $V_t$  increases. The effect of  $C_D$  is more complex:  
427 at the front of the storm, rainfall asymmetry is insensitive to  $C_D$ , whereas at the rear-right the  
428 rainfall asymmetry increases with decreasing  $C_D$ .

## 429 **7. Conclusions**

430 We have developed a simple theoretical model for the large-scale rainfall intensity field  
431 generated by translating tropical cyclones (TCs). The model assumes that, with corrections for  
432 sloping updrafts and azimuthal redistribution, the upward water vapor flux originated from the  
433 boundary layer is a good predictor of rainfall intensity. Vertical moisture fluxes are calculated  
434 using elementary thermodynamic principles in combination with a boundary layer model that  
435 extends Smith's (1968) analysis to moving storms.

436 The proposed modified-Smith-for-rainfall (MSR) model estimates the rainfall field from a  
437 given radial profile of the tangential wind speed at gradient level, the translation velocity  $V_t$  of  
438 the storm, the surface drag coefficient  $C_D$ , and the average temperature  $\bar{T}$  and saturation ratio  $\bar{Q}$   
439 inside the TC boundary layer. Model predictions are compared to MM5 simulations and R-  
440 CLIPER estimates and validated through precipitation radar (PR) rainfall products from TRMM.  
441 The MSR model displays good skills in reproducing the shape and magnitude of PR rainfall  
442 fields. We have also verified that the asymmetries produced by storm motion are close to those  
443 observed and often parameterized in terms of vertical wind shear. In a parametric analysis, we  
444 have studied how the model predictions depend on various storm characteristics.

445 The combination of a rich parameterization and computational efficiency makes the present  
446 model an attractive instrument for risk applications, where one must assess tropical cyclone  
447 rainfall under many storm and environmental scenarios. For the latter purpose one needs tools  
448 with computational times on the order of minutes. This constraint effectively rules out the use of  
449 full-physics high-resolution numerical weather prediction models. An important limitation of the  
450 MSR model relative to high-resolution schemes is that it does not account for local rainfall  
451 intensifications due to rainbands and local convection. As was explained in the Introduction,  
452 these phenomena contribute to the “residuals” of the present model, which for risk analysis must  
453 be modeled statistically. This is the focus of an upcoming manuscript. Another limitation of the  
454 MSR model is that it does not account for after-landfall conditions and therefore is applicable  
455 only to open-water or near-water sites. Extension of the model to inland conditions should be  
456 pursued in the future.

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605

606 Table 1: Storm characteristics for the PR-TRMM rainfields used in Figure 3. The estimates of  
607  $V_{max}$  and  $R_{max}$  are obtained from the extended best track record (M. DeMaria, 2008; personal  
608 communication).

	Storm center		$V_{max}$ (m/s)	$R_{max}$ (km)	Intensity category
	Lat. (deg)	Lon. (deg)			
Floyd '99	21.7	-61.6	48.8	41	CAT2
	23.5	-68.7	64.0	37	CAT4
	23.7	-70.6	69.3	37	CAT4
Frances '04	12.6	-43.7	23.1	37	TS
	15.7	-49.8	51.4	19	CAT3
	17	-51.3	54.0	28	CAT3
	17.9	-52.6	59.1	28	CAT4
	19	-57.3	51.4	28	CAT3
	21.2	-68.5	61.7	28	CAT4
Ivan '04	8.9	-38.9	25.7	37	TS
	10.7	-50.6	57.5	28	CAT4
	11.2	-53.4	51.4	28	CAT3
	12.3	-64.1	61.7	19	CAT4
	12.7	-66.2	61.7	20	CAT4
	17.4	-77.3	66.8	28	CAT4
	17.7	-78.4	64.3	28	CAT4
	25.6	-87.4	61.7	46	CAT4
Jeanne '04	27.4	-70.6	38.6	42	CAT1
	25.5	-69.5	41.1	37	CAT2
	26.5	-74.3	43.7	60	CAT2
	26.5	-75.6	46.3	46	CAT2
Karl '04	11.5	-35.3	26.7	37	TS
	17.3	-45.5	57.8	32	CAT3
	19.1	-47.4	64.0	32	CAT4
	22.9	-48.6	54.0	28	CAT3
	25.7	-49.5	48.8	28	CAT3
Katrina '05	24.6	-85.6	51.5	56	CAT3
	25	-86.2	56.5	50	CAT3
	26.9	-89	75.0	38	CAT5
Lilli '02	23.6	-87.2	51.5	20	CAT2
	24.4	-88.4	56.5	20	CAT2
	28.4	-91.4	54.0	20	CAT4
	29	-91.9	41.1	20	CAT2
Rita '05	24.3	-85.9	61.7	28	CAT4
	24.9	-88	77.1	19	CAT5
	25.4	-88.7	72.0	19	CAT5
	26.8	-91	59.1	37	CAT4
	27.4	-91.9	59.1	37	CAT4

609

610 Table 2: Number of data shown in Figure 3.a that fall into different ranges of  $R/R_{max}$ .

<b><math>R/R_{max}</math> range</b>	<b><i>No. of data points</i></b>
0-1.5	3586
1.5-3	8772
3-4.5	11025
4.5-6	9250
6-7.5	6626
7.5-9	4027
9-10.5	2272
10.5-12	1273
12-19	1652

### Figure captions

- 611
- 612 Figure 1: (a) Ensemble correlation function of the vertical wind velocity at different elevations  
613 and the surface rainfall intensity from MM5 simulations of Hurricane Frances.  
614 Ensemble averaging is over 12 frames (at 6 hr intervals) during the period Aug. 29-  
615 Sep. 01, 2004. (b) Normalized radial profiles of surface rainfall intensity and vertical  
616 wind velocity on Aug. 29, 2004 at 06:00UTC at 3km elevation.
- 617 Figure 2: Comparison of the ensemble average rainrates for Hurricane Frances 2004 during the  
618 period Aug. 29-Sep. 01, produced by the MSR, MM5 and R-CLIPER rainfall models.
- 619 Figure 3: Comparison of PR, MM5 and MSR point rainfall intensity estimates. (a) Scatterplot of  
620 the ratio between PR and MSR rainfall estimates as a function of the normalized  
621 distance  $R/R_{max}$  from the storm center, for 38 TRMM frames; see Table 1. The number  
622 of data points in different ranges of  $R/R_{max}$  is shown in Table 2. (b) Scatterplot of the  
623 ratio between MM5 and MSR rainfall estimates as a function of  $R/R_{max}$ , for hurricane  
624 Frances 2004 during the period Aug. 29-Sep. 01. (c) Local averages and standard  
625 deviation of the ratios in (a) using a moving window of 2000 points. (d) Same as (c)  
626 but for the ratios in (b).
- 627 Figure 4: Comparison of rainfall asymmetry from TRMM and the MSR model. (a) Ensemble  
628 average of rainfall asymmetries in Figure 7 of Chen *et al.* (2006) over all TC  
629 intensities and shear magnitudes. (b) Ensemble average of rainfall asymmetries from  
630 MSR over all TC intensities and translation velocities. In (b), the TC moves in the  
631 Northern hemisphere at an angle  $75^\circ$  to the west of the shear vector in (a).

632 Figure 5: Sensitivity of the azimuthally averaged MSR rainfall profiles. Solid lines correspond to  
633  $V_{max} = 50\text{m/s}$ ,  $R_{max} = 40\text{km}$ ,  $B = 1$ ,  $C_D = 0.002$ ,  $K = 50\text{m}^2/\text{s}$ ,  $\bar{T} = 22^\circ\text{C}$  and  $\bar{Q} = 0.8$ . Each  
634 panel shows results under perturbation of one parameter.

635 Figure 6: Sensitivity of MSR rainfall asymmetry to the drag coefficient  $C_D$  and the storm  
636 translation velocity  $V_t$  for a tropical cyclone that moves northward. All other  
637 parameters are the same as for the base case in Figure 5.

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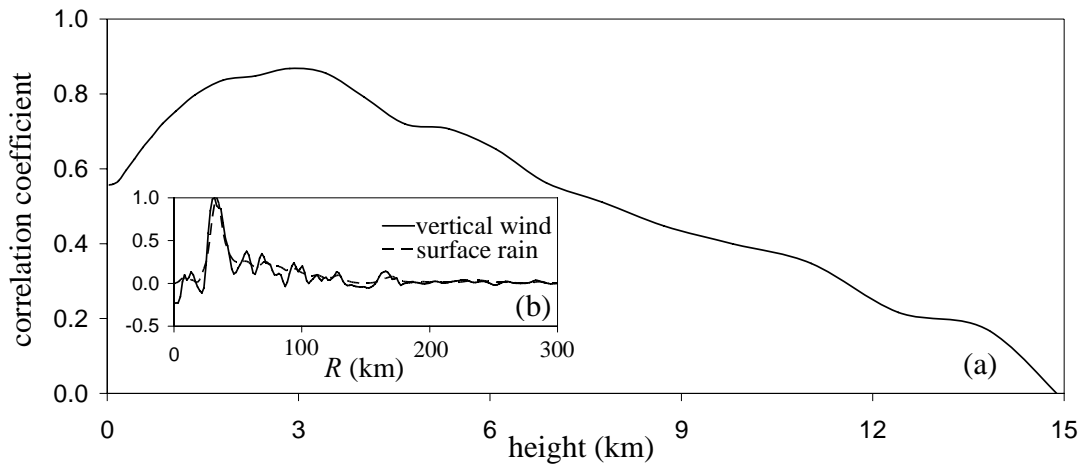


Figure 1: (a) Ensemble correlation function of the vertical wind velocity at different elevations and the surface rainfall intensity from MM5 simulations of Hurricane Frances. Ensemble averaging is over 12 frames (at 6 hr intervals) during the period Aug. 29-Sep. 01, 2004. (b) Normalized radial profiles of surface rainfall intensity and vertical wind velocity on Aug. 29, 2004 at 06:00UTC at 3km elevation.

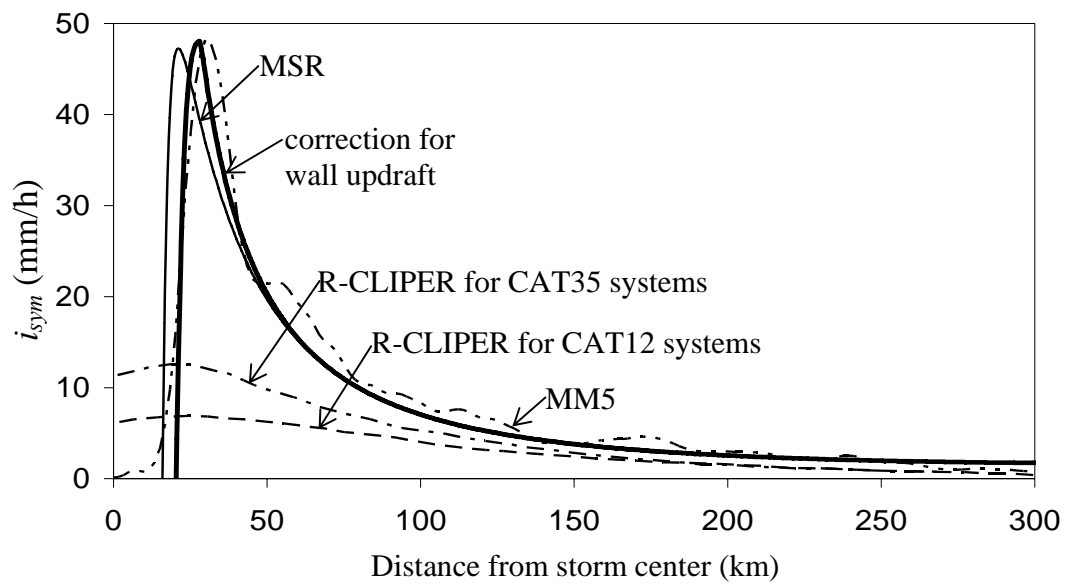


Figure 2: Comparison of the ensemble average rainrates for Hurricane Frances 2004 during the period Aug. 29-Sep. 01, produced by the MSR, MM5 and R-CLIPER rainfall models.

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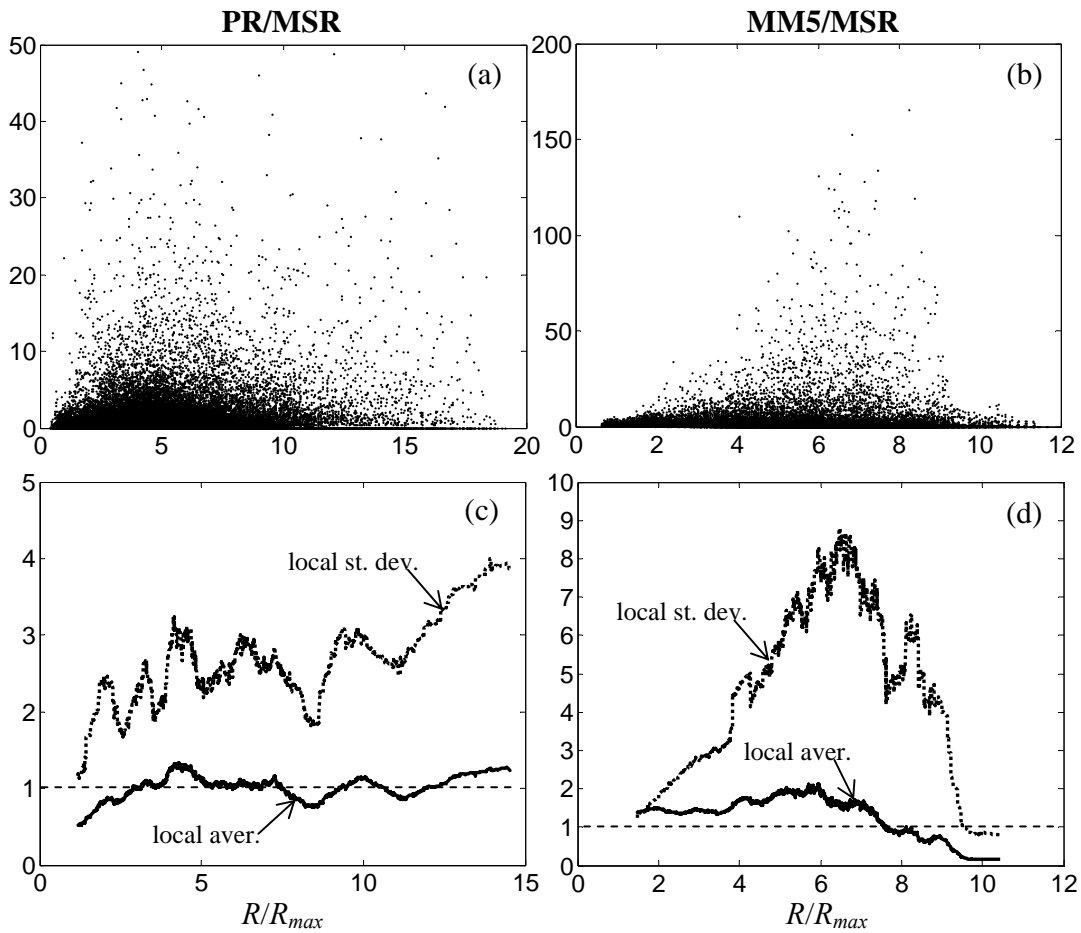


Figure 3: Comparison of PR, MM5 and MSR point rainfall intensity estimates. (a) Scatterplot of the ratio between PR and MSR rainfall estimates as a function of the normalized distance  $R/R_{max}$  from the storm center, for 38 TRMM frames; see Table 1. The number of data points in different ranges of  $R/R_{max}$  is shown in Table 2. (b) Scatterplot of the ratio between MM5 and MSR rainfall estimates as a function of  $R/R_{max}$ , for hurricane Frances 2004 during the period Aug. 29-Sep. 01. (c) Local averages and standard deviation of the ratios in (a) using a moving window of 2000 points. (d) Same as (c) but for the ratios in (b).

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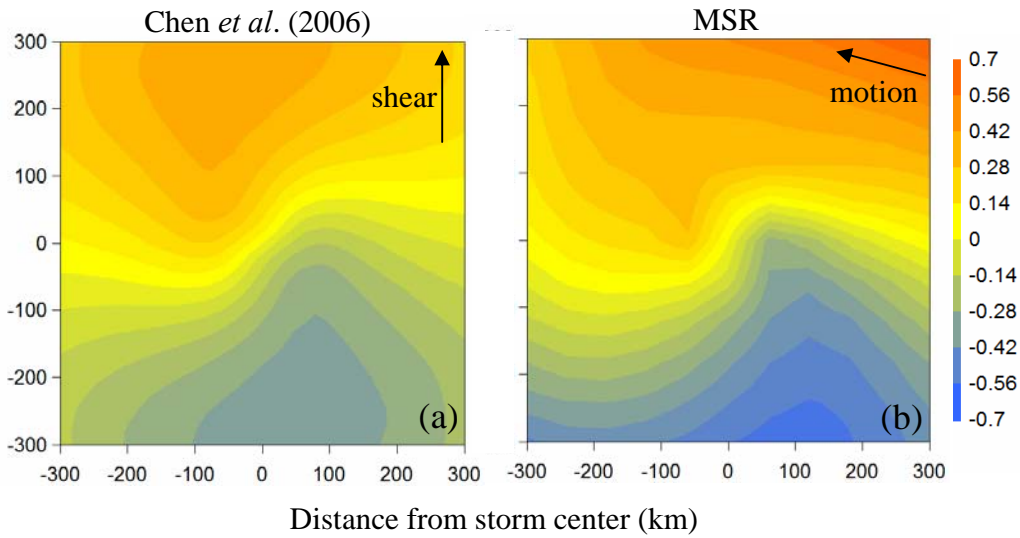


Figure 4: Comparison of rainfall asymmetry from TRMM and the MSR model. (a) Ensemble average of rainfall asymmetries in Figure 7 of Chen *et al.* (2006) over all TC intensities and shear magnitudes. (b) Ensemble average of rainfall asymmetries from MSR over all TC intensities and translation velocities. In (b), the TC moves in the Northern hemisphere at an angle  $75^\circ$  to the west of the shear vector in (a).

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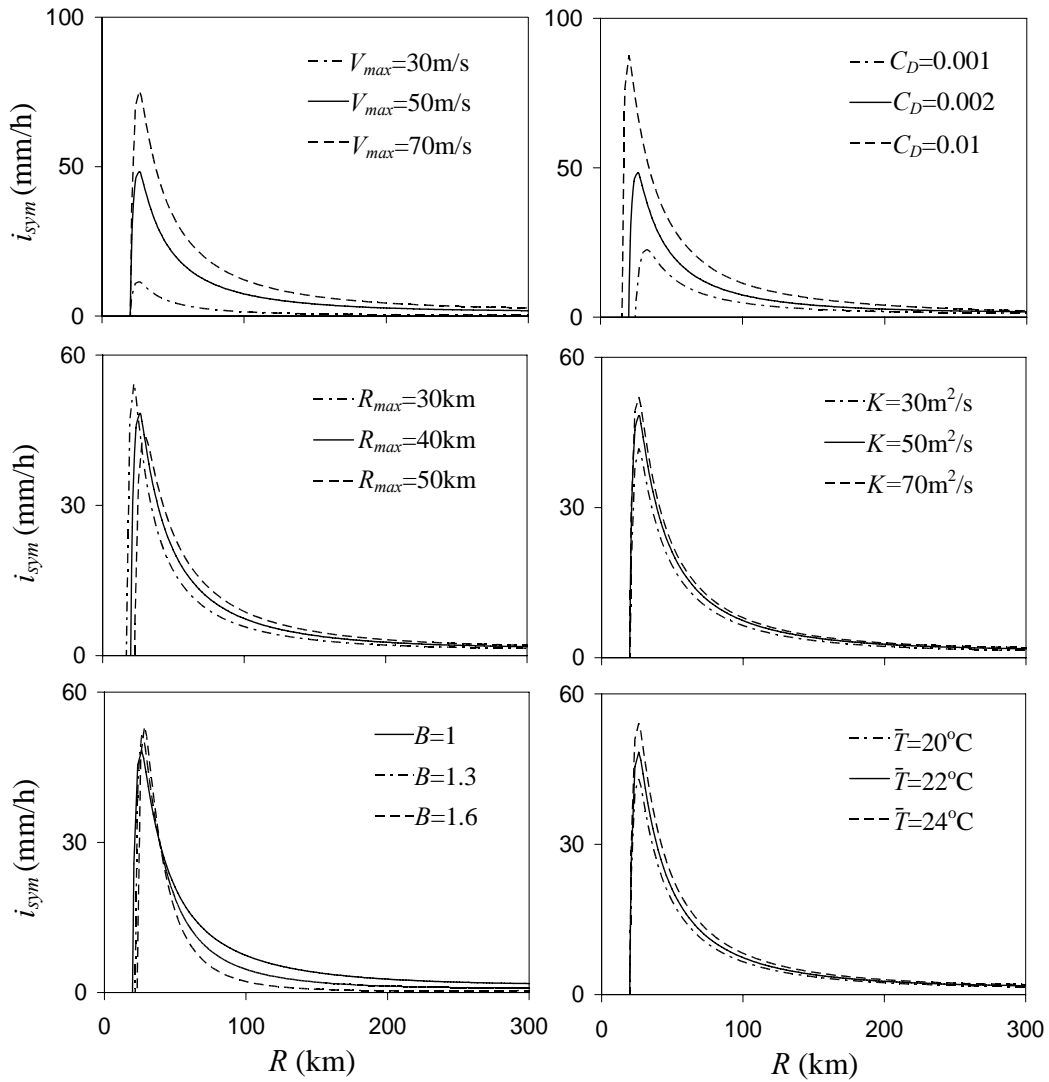
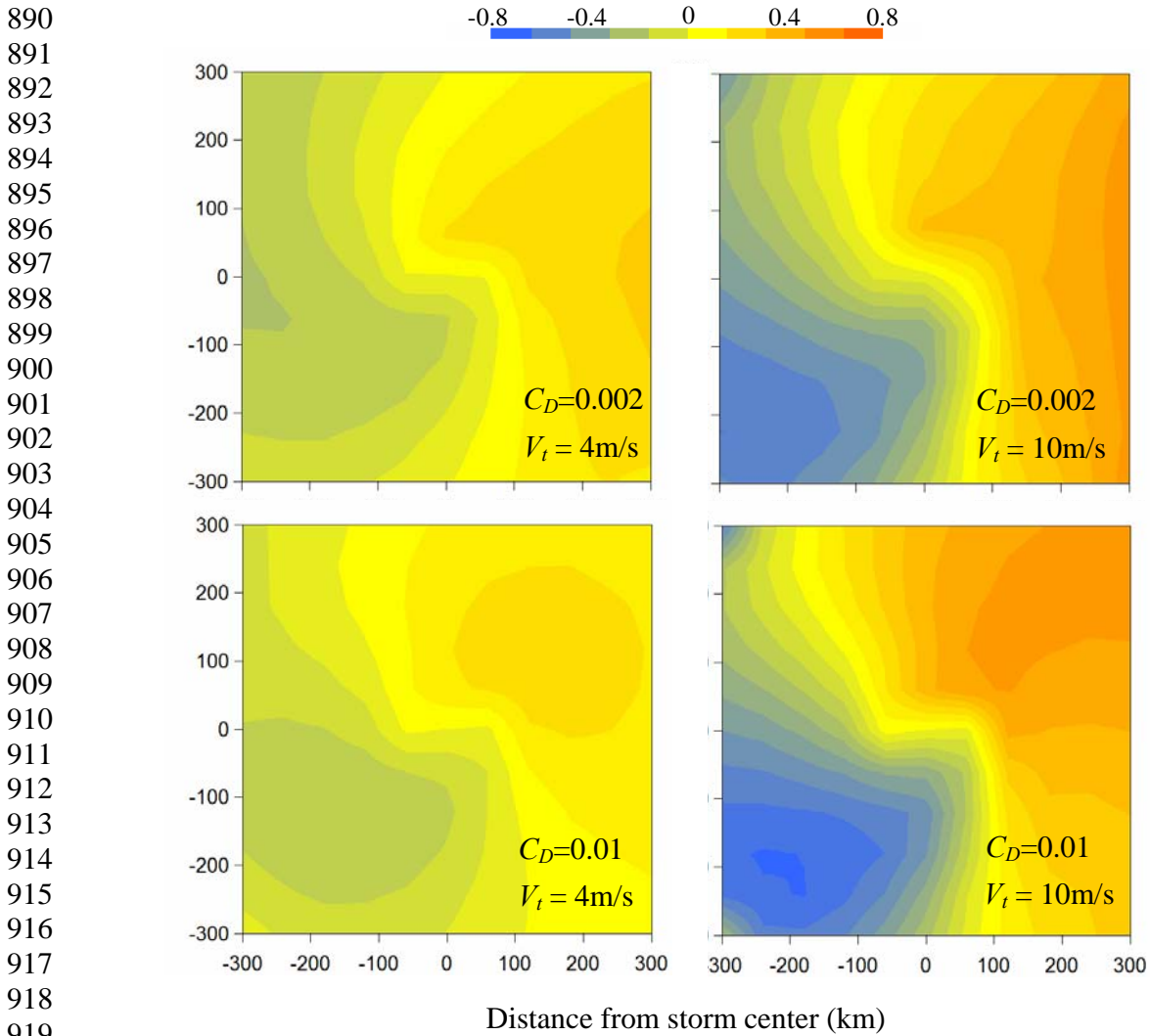


Figure 5: Sensitivity of the azimuthally averaged MSR rainfall profiles. Solid lines correspond to  $V_{max} = 50\text{m/s}$ ,  $R_{max} = 40\text{km}$ ,  $B = 1$ ,  $C_D = 0.002$ ,  $K = 50\text{m}^2/\text{s}$ ,  $T = 22^\circ\text{C}$  and  $Q = 0.8$ . Each panel shows results under perturbation of one parameter.



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