

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*
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 δ (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 δ as functions of radius R and azimuth θ 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 ψ_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 ΔR 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° 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°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 θ 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,θ) 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° 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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463 anonymous reviewers for their constructive comments.

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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

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

R/R_{max} range	<i>No. of data points</i>
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

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Figure captions

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.

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).

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° 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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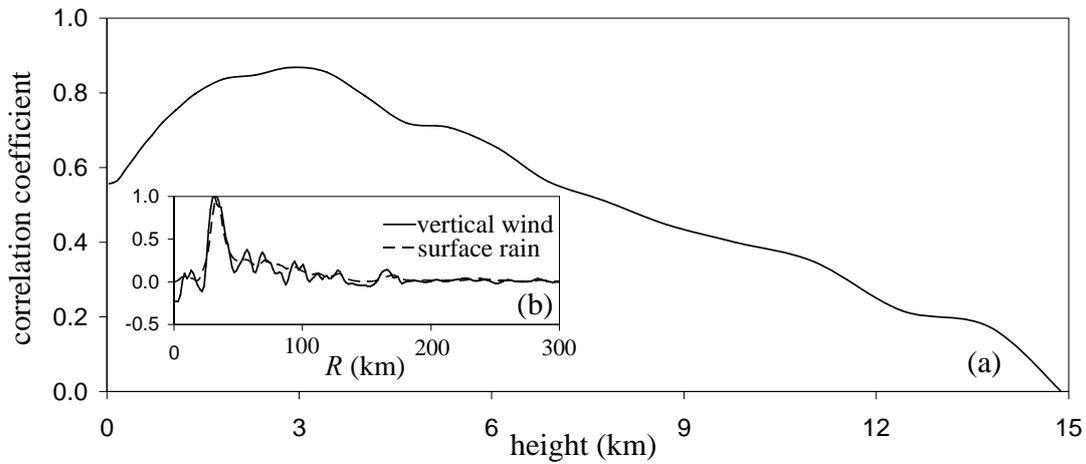


Figure 1: (a) Ensemble correlation function of the vertical wind velocity at different elevations and the surface rainfall intensity from MM5 simulations of Hurricane Frances. Ensemble averaging is over 12 frames (at 6 hr intervals) during the period Aug. 29-Sep. 01, 2004. (b) Normalized radial profiles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

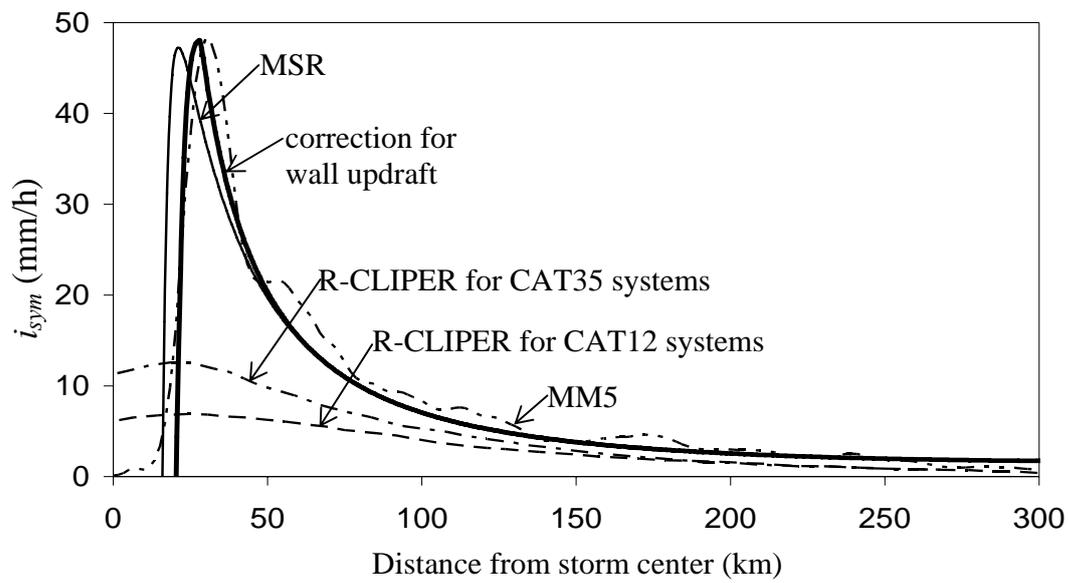


Figure 2: Comparison of the ensemble average rainrates for Hurricane Frances 2004 during the period Aug. 29-Sep. 01, produced by the MSR, MM5 and R-CLIPER rainfall models.

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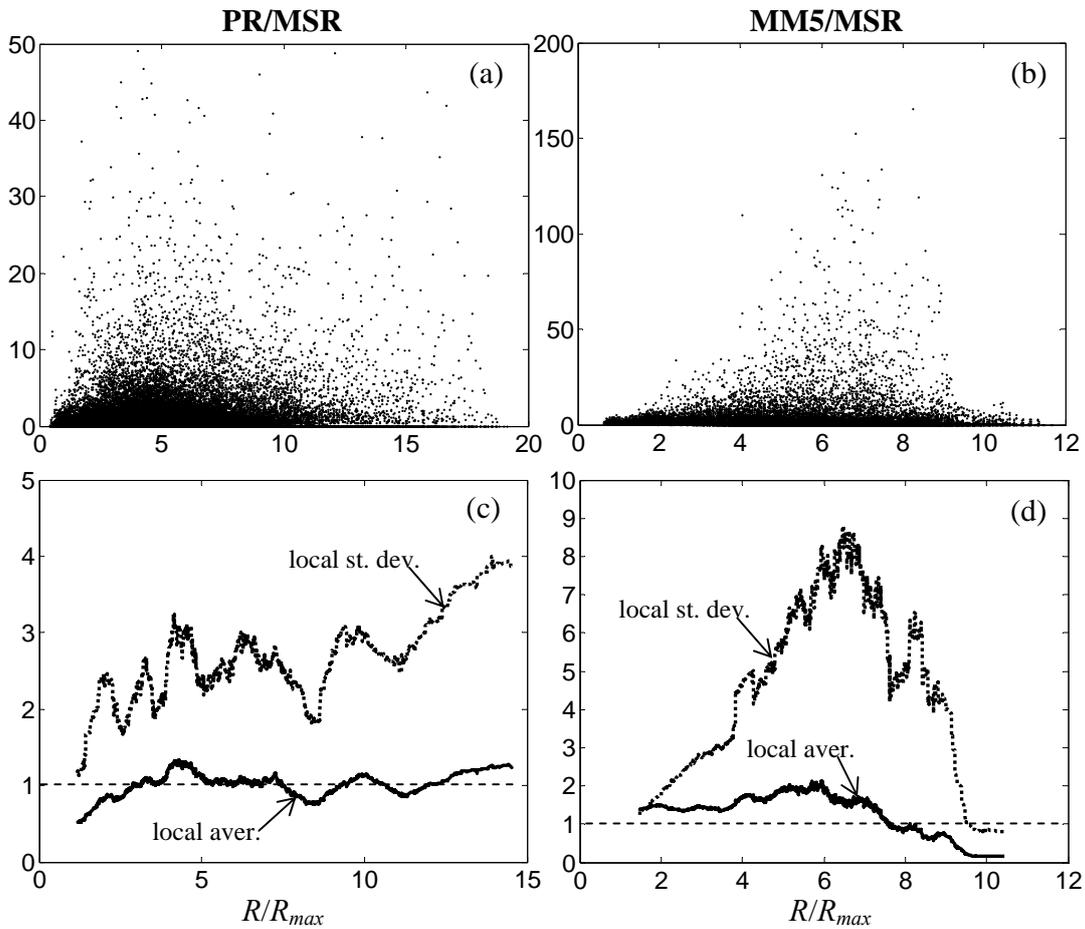


Figure 3: Comparison of PR, MM5 and MSR point rainfall intensity estimates. (a) Scatterplot of the ratio between PR and MSR rainfall estimates as a function of the normalized distance R/R_{max} from the storm center, for 38 TRMM frames; see Table 1. The number of data points in different ranges of R/R_{max} 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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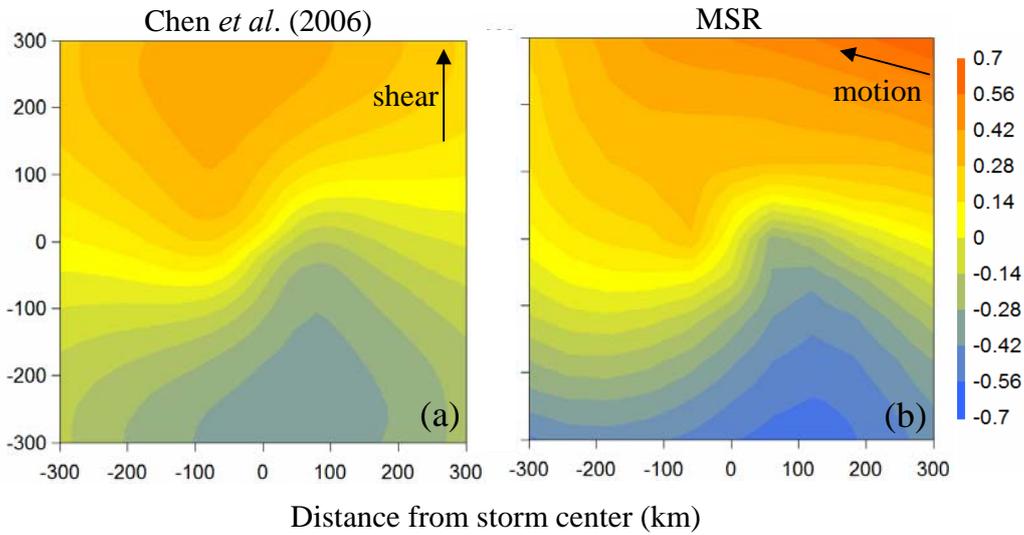


Figure 4: Comparison of rainfall asymmetry from TRMM and the MSR model. (a) Ensemble average of rainfall asymmetries in Figure 7 of Chen *et al.* (2006) over all TC intensities and shear magnitudes. (b) Ensemble average of rainfall asymmetries from MSR over all TC intensities and translation velocities.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

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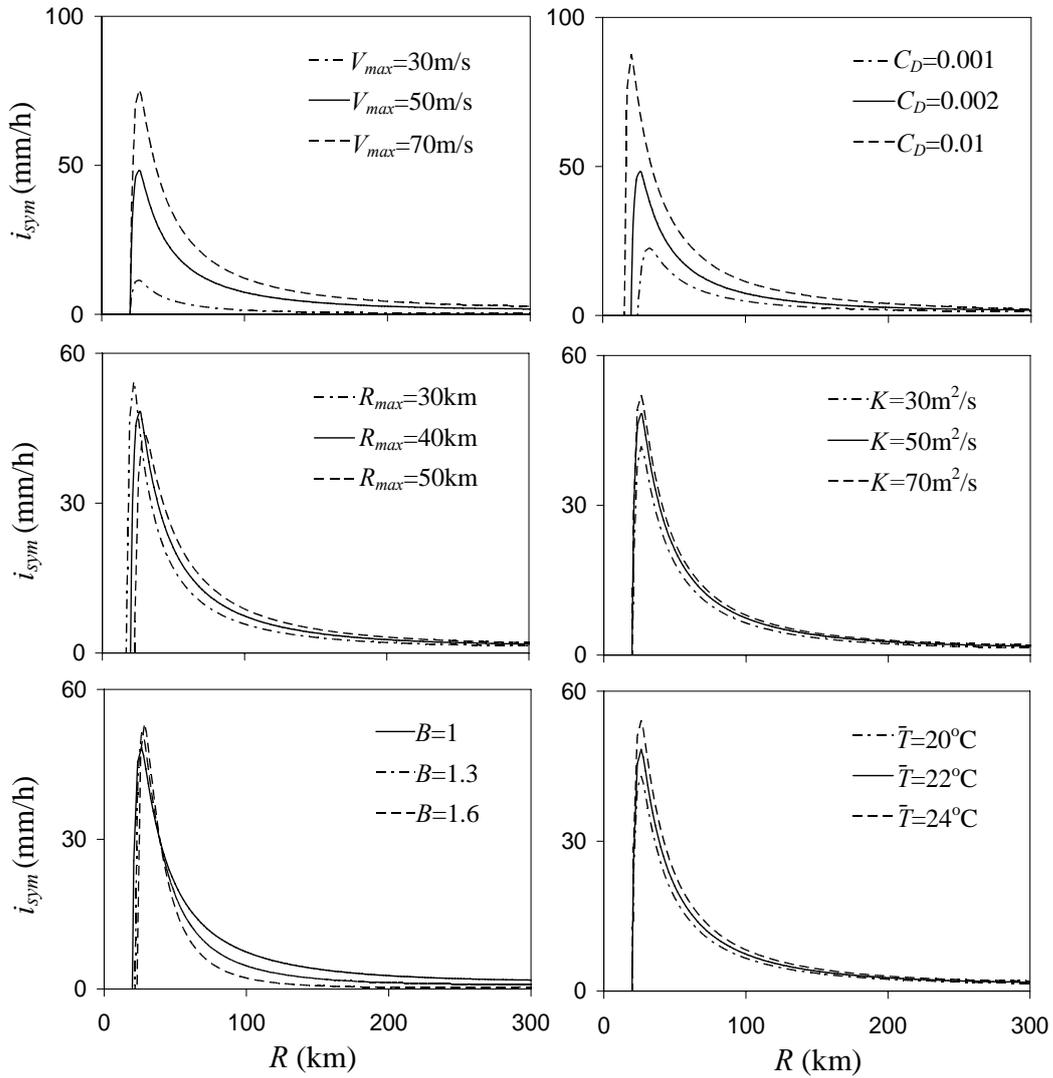
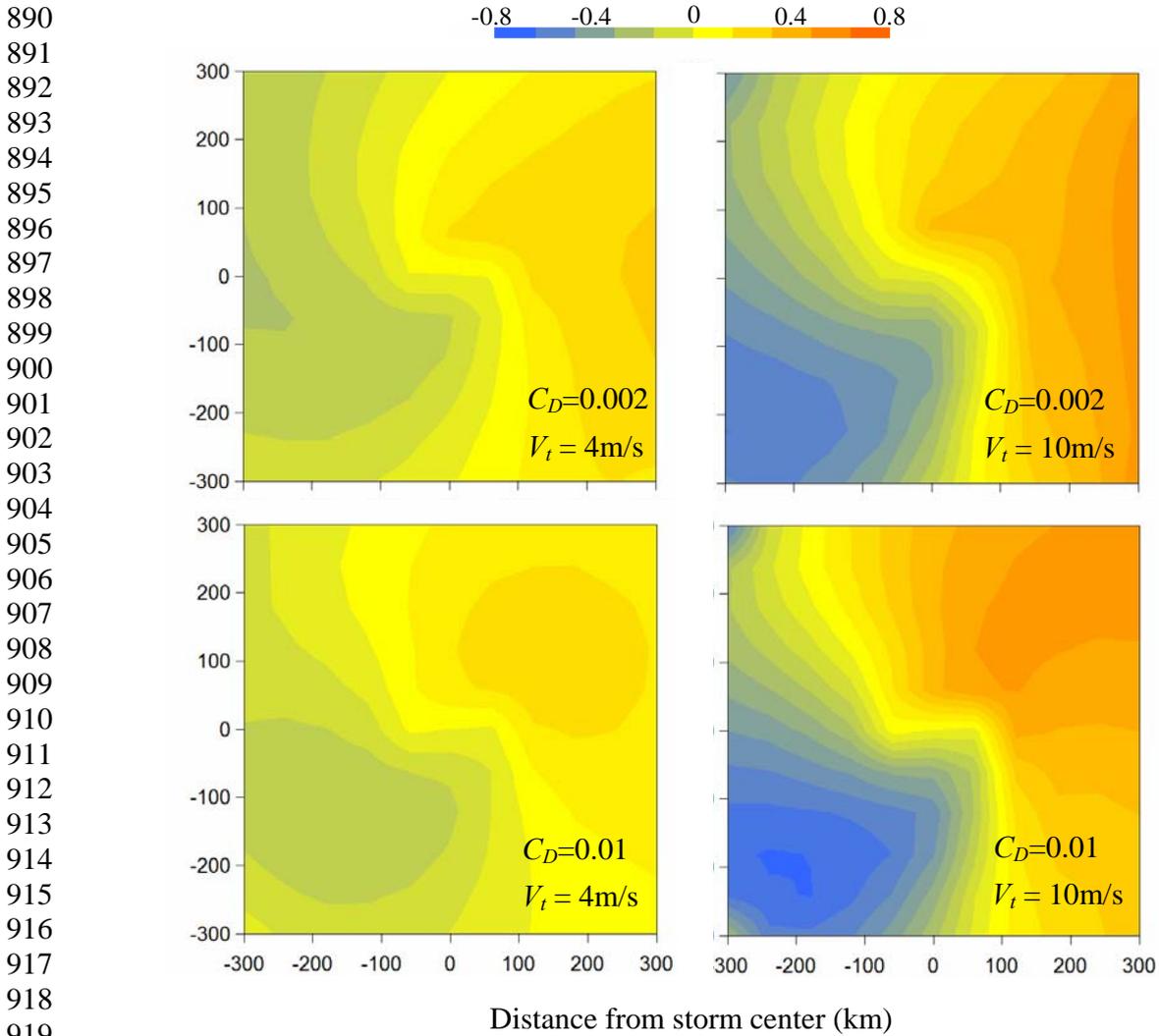


Figure 5: Sensitivity of the azimuthally averaged MSR rainfall profiles. Solid lines correspond to $V_{max} = 50\text{m/s}$, $R_{max} = 40\text{km}$, $B = 1$, $C_D = 0.002$, $K = 50\text{m}^2/\text{s}$, $T = 22^\circ\text{C}$ and $Q = 0.8$. Each panel shows results under perturbation of one parameter.



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