# A Simple Model for Tropical Convective Cloud Shield Area Time Tendencies Informed by Geostationary IR, GPM, and Aqua/AIRS Satellite Data

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#### Abstract

Deep convective system maximum areal extent is driven by the stratiform anvil area since system convective area fractions are much less than unity when systems reach peak size. It is important to understand the processes that drive system size given the impact large systems have on rainfall and since anvils may strongly impact high cloud feedbacks. Using satellite diabatic heating and convective-stratiform information mapped to convective systems, composite analyses suggest that system maximum sizes occur at the temporal mid-point of system lifecycles with both maximum size and duration correlating with peak heating above the melting level. However, variations in system growth rates exist, with the overall smooth composites emerging as the average of highly variable system trajectories. Thus, this study focuses on understanding convective system area changes. Growth occurs when detrained convective mass (inferred from the vertical gradient of diabatic heating and temperature lapse rates) and/or generation of convective area exceeds a sink term whose magnitude is proportional to the current cloud shield size. The model works well for systems over land and ocean, and for systems characterized by varying degrees of convective organization and duration (1.5 - 35 hr, with correlations often > 0.8 across lifetime bins). The model may serve as a useful foundation for improved understanding of processes driving changes in tropics-wide convective system cloud shields, and further supports conceptual development and evaluation of prognostic climate model stratiform anvil area parameterizations.

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3	Informed by Geostationary IR, GPM, and Aqua/AIRS Satellite Data	
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20	Key Points:	
21 22	• A simple analytical model for cloud area growth and decay rates is developed, with a source term driven by convective cell diabatic heating.	
23 24	• The model works equally well for convective systems of varying duration and degrees of convective organization over both land and ocean.	
25 26	• The model suggests that a convective area fraction of ~ 0.2 is needed for stratiform cloud area maintenance.	

#### 27 Abstract

28 Deep convective system maximum areal extent is driven by the stratiform anvil area since 29 convective area fractions are much less than unity when systems reach peak size. It is important 30 to understand the processes that drive system size given the impact large systems have on rainfall 31 and that of anvils on high cloud feedbacks. Using satellite diabatic heating and convective-32 stratiform information mapped to convective systems, composite analyses suggest that system 33 maximum sizes occur at the temporal mid-point of system lifecycles with both maximum size and 34 duration correlating with peak heating above the melting level. However, variations in system 35 growth rates exist, with the overall smooth composites emerging as the average of highly variable 36 system trajectories. Thus, this study focuses on understanding convective system growth rates on 37 short (30-minute) timescales via development of a simple analytical source – sink model that 38 predicts system area changes. Growth occurs when detrained convective mass (inferred from the 39 vertical gradient of diabatic heating and temperature lapse rates) and/or generation of convective 40 area exceeds a sink term whose magnitude is proportional to the current cloud shield size. The 41 model works well for systems over land and ocean, and for systems characterized by varying 42 degrees of convective organization and duration (1.5-35 hr, with correlations often >0.8 across)43 lifetime bins). The model may serve as a useful foundation for improved understanding of 44 processes driving changes in tropics-wide convective system cloud shields, and further supports 45 conceptual development and evaluation of prognostic climate model stratiform anvil area 46 parameterizations.

#### 47 1 Introduction

48 Mesoscale convective systems (MCSs) are the dominant sources of rainfall in the tropics 49 (Tao and Moncrieff, 2009; Roca et al., 2014; Moncrieff, 2019). MCS cloud shields comprise 50 convective regions whose spatial aggregation may be quantified via "organization metrics" (Parker 51 and Johnson, 2000; Tobin et al., 2012; Tobin et al., 2013; Holloway et al., 2017; Retsch et al., 2020) 52 such that increased organization may be associated with larger cloud shields, longer lifetimes and 53 substantial rainfall accumulation (Liu et al., 2008; Liu, 2011; Roca and Fiolleau, 2020; Schiro et al., 54 2020). High resolution model simulations over domains populated by MCSs are frequent sources 55 for deriving MCS radiation, cloud, and rainfall lifecycle evolutions (Hagos et al., 2013; Feng et al., 56 2018; Feng et al., 2021). Observational composite MCS evolutions can be derived by mapping 57 orbital-level satellite-estimated radiation, cloud, rainfall, and environment characteristics to the life stages of IR-tracked MCSs (as in Machado et al., 1998; Machado and Laurent, 2004; Futyan and 58 59 Del Genio, 2007; Feng et al., 2012; Fiolleau and Roca, 2013b; Bouniol et al., 2016; Vant-Hull et al., 60 2016; Roca et al., 2017; Roca et al., 2020), or by mapping in situ environmental data to scanning 61 radar-identified MCSs (e.g., Wang et al., 2019; Wang et al., 2020). One such compositing analysis 62 has revealed that MCSs over the open ocean cool the sea surface temperature (SST), a signature that 63 lasts for days (Duncan et al., 2014) and is likely to affect the subsequent development of convection.

64 MCS convective regions are characterized by diabatic heating profiles whose magnitudes are 65 positive throughout most of the troposphere, though spread over a smaller area, while the extensive moderately raining stratiform anyil region is characterized by widespread positive heating that peaks 66 above the melting level with diabatic cooling below (Elsaesser et al., 2010; Liu et al., 2015; Feng et 67 68 al., 2018) attributed to melting snow and precipitation evaporation below cloud base. The heating 69 profiles combine to yield top-heavy system-average heating profiles (Houze, 1989; Houze, 2004; 70 Elsaesser et al., 2010; Hannah et al., 2016; Feng et al., 2018) that tightly couple to large-scale tropical 71 circulations (Hartmann et al., 1984; Schumacher et al., 2004; Inoue and Back, 2015). Ice particles, 72 laterally detrained by convection, contribute to the growth of the raining stratiform anvil region. 73 Both the rate at which ice particles are detrained and particle fall speeds impact the areal extent of 74 the stratiform area. General circulation models (GCMs) are typically crude in their parameterization 75 of detrained ice (Elsaesser et al., 2017; Lin et al., 2021), and thus, have trouble simulating the growth 76 of stratiform area, let alone parameterizing MCSs (Moncrieff et al., 2017; Moncrieff, 2019).

77 However, GCMs may still simulate relatively unbiased global rainfall and diabatic heating 78 climatologies in the absence of successful MCS simulation, given that GCM tuning procedures focus 79 on improving mean states (Mauritsen et al., 2012; Schmidt et al., 2017) with little or no penalty for 80 discrepancies cancelling at the cloud-system scale. Structural parameterization errors are rarely 81 tuned away, and they manifest themselves in biased regional rainfall rate distributions, large-scale 82 modes of tropical variability, and cloud feedbacks. Accurate simulation of cloud feedbacks is 83 important, and since tropical high cloud fields are largely the product of convective detrainment 84 (Bony et al., 2016; Seeley et al., 2019) and residual MCS cloud shields, the contribution of tropical 85 high clouds to total cloud feedbacks may be quite related to how well MCSs are simulated in the 86 parent GCM. These complicated modes of convection are certainly one reason moist convection is 87 a large source of uncertainty in our ability to project climate change (e.g., Bony et al., 2015; 88 Schneider et al., 2017). Improved projections of regional rainfall distributions, more accurate 89 simulation of cloud feedbacks and equilibrium climate sensitivity, and improved understanding of 90 MCS trends emerging from high resolution simulations (Prein et al., 2017) and observations (Tan et 91 al., 2015) requires continued work on determining the dominant drivers of system evolutions and 92 their extensive cloud shields.

93 To this end, we perform new MCS observational analyses that build on previous MCS 94 lifecycle compositing studies (section 3.1) and then turn our attention to the often-variable MCS 95 cloud shield growth and decay rates, with a goal of understanding how these growth and decay rates 96 relate to diabatic heating profiles (section 3.2 and 3.3). Since the vertical derivative of diabatic 97 heating in convection ties to mass divergence, and mass divergence influences cloud shield changes, 98 we contribute to research aiming to determine the factors that drive changes in stratiform anvils (e.g., 99 Seeley et al., 2019; Hagos et al., 2020) with a focus on the development of a simple analytical source-100 sink model for cloud shield area changes informed by satellite data aggregated over the global tropics. 101 These analyses will serve as a conceptual framework for continued development of organized 102 convection parameterization in the GISS model, and can inform GCM convective parameterization 103 development more broadly.

#### 104 2 Data Sources

#### 105 2.1 Satellite Observational Products

106 Aqua AIRS/AMSU (Chahine et al., 2006) version 6 data for temperature (available for the 107 entire tropospheric column) and water vapor (for pressure levels > 300 hPa), along with Microwave 108 Limb Sounder (MLS; Waters et al., 2006) version 3 data for water vapor profiles at pressure levels 109 < 300 hPa, serve as the observed thermodynamic data sources in this work. Convective and 110 stratiform pixel identification (Level 2 data) derived from the Global Precipitation Measurement 111 (GPM; Skofronick-Jackson et al., 2017) mission Dual-frequency Precipitation Radar (DPR; Iguchi 112 et al., 2012) product, rainfall from the Level 2 combined (DPR+GMI; Grecu et al., 2016) product, 113 and diabatic heating (often denoted as  $Q_{1}$ - $Q_{R}$  hereafter, or a heating term defined here that includes 114 all components except horizontal eddy flux convergence and radiative heating) from the Level 2 115 Convective-Stratiform Heating (CSH; Lang and Tao, 2018) and Spectral Latent Heating (SLH; 116 Shige et al., 2009) products serve as the observed convective and stratiform precipitation and heating 117 sources. AIRS/MLS and GPM orbital-level data are mapped to the MCS cloud shield provided by 118 the TOOCAN convective system tracking algorithm (Fiolleau and Roca, 2013a,b). For compositing 119 results shown in section 3, at least 1/3 of the system cloud shield must be sampled by GPM in order 120 for measurements to be included in averaging. In order for GPM overpass data to be used in the 121 analytical model development and associated coefficient estimation, at least 2/3 of the cloud shield 122 must be sampled by GPM. Sensitivity of some results to this coverage threshold is discussed in 123 section 3.4.

#### 124 2.2 TOOCAN Convective System Tracking Database

125 The Tracking Of Organized Convection Algorithm through a 3-D segmentatioN (TOOCAN; 126 Fiolleau and Roca, 2013a) methodology, applied to infrared (IR) brightness temperature (BT) data 127 observed from a fleet of geostationary platforms, serve as our source of MCSs (defined here as 128 precipitating cloud systems, of spatial scale O(100 km), that occur in connection with thunderstorms). 129 The TOOCAN approach aims to retain the spatial association between the convective region of 130 MCSs and their attendant stratiform anvil component. The algorithm operates within a space-time 131 volume of IR images, and applies a 3-D image processing technique to decompose the cold cloud 132 shield (delineated by a 235K threshold) in the spatio-temporal domain into component MCSs. The 133 algorithm is based on an iterative process of detection and dilation of convective seeds in the spatio-134 temporal domain. Individual convective seeds are first detected in 3D by applying a given BT 135 threshold in the volume of IR images. Convective seeds with a minimum lifetime duration of 1.5h 136 and exceeding 625km<sup>2</sup> per frame are extracted. Each detected convective seed is spread in the spatio-

137 temporal domain until it reaches the intermediate cold cloud shield boundaries identified at a 5K 138 warmer BT threshold. This step consists in adding edge pixels belonging to the intermediate cold 139 cloud shield to all already detected seeds. The dilation of the convective seeds is performed by using 140 a 10-connected spatiotemporal neighborhood (8-connected spatial neighborhood and 2-connected 141 temporal neighborhood) to favor spatial dilation rather than the temporal dilation. Note that the pixel 142 aggregation process is constrained by a BT difference between the edge and current pixel, which has 143 to be greater than -1K to minimize the effects of local minima. The iterative process starts with a 144 detection of the convective seeds set at a 190K BT threshold, works with a 5K detection step, and is 145 stopped when the 235K threshold is reached. The TOOCAN algorithm is unique in that it avoids 146 the convective system split and merge artifacts associated with traditional tracking algorithms, thus 147 enabling MCSs and their attendant cloud shield sizes to be accurately tracked along their entire life 148 cycles from early initiation stages to the later dissipation stages.

149 For this study, IR from MSG-3, GOES-13 and 15, METEOSAT-7, and MTSAT-2 are used, 150 and MCSs within the tropical belt (30°S-30°N) from Mar – Dec 2014 are tracked. The IR sensors 151 hosted on geostationary platforms exhibit instrument and engineering differences (e.g., different 152 spatial and temporal resolutions, observation frequencies, spectral responses, calibrations). All IR 153 data have been remapped to a common 0.04° equal angle grid while the temporal resolution has been 154 unified to 30 minutes across all geostationary platforms to avoid an over-segmentation of the MCSs 155 detected (Fiolleau et al., 2020). Additionally, there has been an effort to inter-calibrate IR data across 156 sensors prior to ingestion into TOOCAN. The scanning schedule of MTSAT-2 does not provide a 157 half-hourly sampling of the Southern Hemisphere region at the time of this analysis; therefore, this 158 region is not considered in this study. Additionally, we only analyze convective systems if they are 159 separated from tropical cyclones, mid-latitude cyclones, and fronts. The IBTrACS database (Knapp 160 et al., 2010) and mid-latitude system databases (Naud et al., 2010; Naud et al., 2016) serve as the 161 sources for selecting which MCSs to remove, with roughly 40,000 GPM-intersected systems 162 remaining for analyses.

#### 163 **3 Results**

164 3.1 Composite Convective System Diabatic Heating Lifecycles and System Durations

Several snapshots of convective systems are shown in Fig. 1. These examples suggest system
 sizes are predominantly driven by changing stratiform areal extent, and to a much lesser extent,



Figure 1. (Left) From top to bottom, a snapshot (03:30 UTC, 2014 Aug 27) of IR brightness
temperatures, observed convective systems (distinct systems are color-coded), GPM rain
classification (stratiform, convective, no-surface-rain), and GPM surface rainfall. (Right) as to
the left, but for a different geographic location and time (05:00 UTC).

173 varying convective extent. Close visual inspection of Fig. 1 shows that convective areas may be 174 clustered on the edges of system shields or dispersed throughout, similar to Yuter and Houze (1998) 175 and Fridlind et al. (2012), while anvil cloud shields extend beyond raining stratiform regions. For 176 systems of varying durations, Fig. 2 shows the composite  $Q_1 - Q_R$ , convective area fractions and 177 system sizes as a function of system lifecycle stage. Most convective systems are irregularly shaped, 178 and the "system size" computed (and often referred to hereafter) is the diameter of a circle whose 179 area is equivalent to the TOOCAN-identified cloud shield area. At and shortly after initiation (i.e., 180 hr-0 life stage), convective area fractions and system sizes are similar regardless of system duration





Figure 2. (a - d) For convective systems of different durations (3-, 7-, 11- and 15-hr), the 182 183 composite CSH and SLH  $O_{I}$ - $O_{R}$ , convective area fractions, and system sizes (distributions are 184 shown for the latter two variables to illustrate variability; solid lines denote average) as a function 185 of system life stage. (e - l) The composite CSH and SLH  $Q_1$ - $Q_R$  averaged over the early (initiation -0.45), mature (0.45 - 0.55) and late (0.55 - termination) stages of the system lifecycles, color 186 187 coded so that longer-lived systems are shaded darker (duration bins 3-, 5-, 7-, 9-, 11-, 13-, 15-, 19-, 25-, and 31-hr, respectively). For the mature-stage panels (f, j), horizontal lines denote the  $1\sigma$ 188 189 range in  $O_1$ - $O_R$  at 7 km (also color coded by same duration bins).

191 (Figs. 2a-d, third and fourth row), with SLH  $Q_1$ - $Q_R$  being of comparable magnitude for all system 192 durations (Fig. 2i), while CSH  $Q_1$ - $Q_R$  is weaker in longer-lived vs shorter-lived systems (Fig. 2e).

193 The SLH product is developed using diabatic heating from Tropical Ocean Global 194 Atmosphere-Coupled Ocean-Atmosphere Response Experient (TOGA COARE) field campaign 195 simulations while the CSH product is developed using 10 tropical land and ocean field campaign 196 simulations, as discussed in Tao et al. (2016), so it is possible that similarity in SLH profiles during 197 early stage convection (Fig. 2i) may reflect the use of  $Q_{I}$ - $Q_{R}$  informed by one convection regime. TOGA COARE convection was also characterized by larger stratiform rainfall fractions (Tao et al., 198 199 2016) and further exhibited a very clear shallow – deep – stratiform transition (Lin et al., 2004; 200 Kiladis et al. 2005). This may explain why, relative to CSH, the altitude of peak SLH  $O_1$ - $O_R$  (Figs. 201 2a-d, second rows) shifts upward as MCS life stages advance and why SLH  $Q_1$ - $Q_R$  is more top heavy 202 relative to CSH in overall composites (compare Figs. 2i-l to Figs. 2f-h).

203 For the purposes of conveniently quantifying  $Q_{I}$ - $Q_{R}$  at system peak, we define a "maturity" 204 metric as the time at which a system reaches maximum size. At maturity, aside from longer-lived 205 systems achieving a larger-size (evident from the system size PDFs), longer-lived systems are 206 characterized by increased maximum  $Q_1 - Q_R$  (typically near 7-km; Figs. 2f, j), with the 1 $\sigma$  range in 207 peak heating for each system duration suggesting this is a robust result. Secondly, maturity marks 208 the onset of near negligible  $Q_{I}$ - $Q_{R}$  heating that begins in the boundary layer but gradually extends 209 vertically to the melting level (~5-km) as the system ages and dissipates (Figs. 2f-g, and Figs. 2j-k). 210 Since convective area fractions reach their minimum near maturity and are nearly invariant thereafter 211 (Figs. 2a-d, third rows), this implies that system vertical heating structures and convective-stratiform 212 fractions do not uniquely map to each other. Furthermore, it is very clear that convective area 213 fractions do not map uniquely to duration, either.





Figure 3. For convective systems of 3 and 15-hr duration (over land and ocean separately), the CSH and SLH  $Q_{I}$ - $Q_{R}$  as a function of system life stage (a – h). Composites are also partitioned into convective region-average (i – p) and stratiform region-average  $Q_{I}$ - $Q_{R}$  (q – x) components. As in Fig. 2a-d, the plus symbols in each panel denote the altitude of peak heating as a function of life stage. Note the difference in  $Q_{I}$ - $Q_{R}$  magnitude range and color scales across each panel, and

220 *relative to Fig. 2 ranges.* 

221 Fig. 3 shows  $Q_{I}$ - $Q_{R}$  averaged over the convective and stratiform portions of the cloud shield 222 (in addition to system-average  $O_1$ - $O_R$  composites in the top rows [Figs. 3a-g], as in Fig. 2). Fig. 3 223 suggests that CSH convective Q1-QR is larger over land (Figs. 3i-j) than ocean (Figs. 3k-l), consistent 224 with studies documenting that convection over land is more intense (e.g., Zipser and Lemone, 1980; 225 Lucas et al., 1994; Takahashi et al., 2017; Takahashi et al., 2021). SLH shows the opposite behavior 226 in convective  $Q_1$ - $Q_R$  (Figs. 3m-p), which again may be reflective of CSH retrievals being informed 227 by both land and ocean field campaigns, whereas SLH is informed solely by the TOGA COARE 228 oceanic convection environment. Both CSH and SLH yield similar stratiform heating composites 229 (Figs. 3q-x), perhaps a result of less innate variability in stratiform rain vertical structures (Houze, 230 1989; Schumacher and Houze, 2006) thus implying less dependence on CSH or SLH look-up tables 231 and algorithms. Since convective heating begins rapidly dissipating shortly before mid-lifecycle 232 stages (Figs. 3i-p), the weaker convective heating in the lower troposphere is eventually 233 overwhelmed by the nearly lifecycle-independent stratiform anvil cooling signature (Figs. 3q-x) 234 which results in system-average cooling below the melting level later in later life stages (Fig. 2 and 235 Figs. 3a-h). Despite the stratiform heating not varying substantially as a given system progresses, it 236 varies from one system duration to another, with longer-lived systems exhibiting slightly larger 237 amplitude stratiform heating-cooling signatures (Figs. 3q-x).

238 Are the composites shown in Figs. 2 and 3 representative of most convective systems? 239 Focusing on the middle lifecycle stages of convection systems, one interpretation of the system size 240 PDF variability (Figs. 2a-d, last row) is that systems hobble along, growing and decaying randomly, 241 with the time of maximum system size deviating from the temporal mid-point but with system 242 longevity mapping strongly to maximum size. Quantitatively, this would be reflected in a smaller 243 correlation between individual system size temporal evolutions and the composite system size 244 evolutions shown in Fig. 2. An alternate interpretation is that there is simply variability in the 245 maximum system size for a system of a given lifetime (with the maximum occurring at the temporal 246 mid-point), but with consistent increases in system size from initiation up to that point, and consistent 247 decay toward termination, thus implying high correlation between the composite evolution and 248 individual system evolutions. Fig. 4 sheds light on these questions. There is a clear relationship 249 between system size and lifetime (Fig. 4a; quantitatively, the percent variance explained between 250 maximum area and lifetime is > 50%), similar to Feng et al. (2012) and shown in Roca et al. (2017). 251 There is, however, little relationship between growth at the early stages of convection and lifetime



Figure 4. (a) Convective system maximum size as a function of lifetime, with the composite relationship overplotted as a solid line; (f) Early growth scatterplot (and solid line composite) as a function of lifetime. The remaining 8 panels show the composite system size evolution as a function of time for convective systems of varying lifetimes (solid black), with a random selection of 10 individual system evolutions overplotted for each lifetime panel (thin grey lines).

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259 across durations (Fig. 4f; also similar to Feng et al., 2012), somewhat in contrast to Machado and 260 Laurent (2004), though that study was limited to one regime and mostly focused on shorter-lived 261 system relationships. This suggests that there is variability in the system size temporal evolution. A 262 comparison of composite system evolutions and randomly-selected individual systems show that 263 systems take different evolution trajectories (e.g., Figs. 4b-e, and g-j). While many systems reach 264 their maximum at the temporal middle point of their lifecycle (as in Roca et al. (2017) and Feng et 265 al. (2019)), the evolutions shown here suggest that some may grow slowly, then more quickly, or 266 vice versa.

How should we understand the system trajectories? Regardless of whether cloud shield sizes systematically increase toward a maximum and decrease after, or whether the path toward and beyond a maximum is characterized by many ups and downs, both trajectories suggest substantial variability in actual cloud shield growth rates. Thus, we consider individual system trajectories as an accumulation of substantially varying instantaneous growth and decay sequences and aim to better understand the instantaneous growth rates themselves, assuming that the overall smooth composites emerge as the average of all individual trajectories.



274 3.2 Development of source – sink model for convective system cloud shield areas.

275 Figure 5. (left column) From top to bottom, bin counts, composite total, CSH convective and 276 stratiform  $Q_{I}$ - $Q_{R}$  profiles and surface rainfall rate histograms as a function of the cloud shield size 277 rate of change. Total heating is averaged over the raining region, convective and stratiform heating 278 profiles are averaged over their respective cloud type areas as in Fig. 3, and rainfall rate is a system 279 average. (middle column) Various parameter histograms plotted as a function of the cloud shield 280 size rate of change. (right column) As in the center column, but for Aqua/AIRS retrieved relative humidity (RH) for three different levels, and integrated water vapor in the lower troposphere. As 281 282 in Fig. 2a-d, the plus symbols in the heating panels denote the altitude of peak heating. The white vertical lines denote the zero cloud shield size rate of change bin, and horizontal white lines in 283 284 right column are added to aid in visual interpretation.

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287 Fig. 5 shows MCS characteristics as a function of system growth and decay rates. Cloud 288 shield size time tendency bin widths are objectively chosen so that approximately the same number 289 of samples occur within each bin (symmetric about zero). It is clear that an asymmetry in growth 290 and decay rates exists in Fig. 5a with the largest growth rate magnitudes exceeding the largest decay 291 rate magnitudes. Because decay rates on average are much slower, a short-lived sequence of rapid 292 growth has a large potential to extend the duration of a system cloud shield area. While difficult to infer from the composite lifecycle perspectives (Figs. 2 and 3), Fig. 5 suggests that growth in 293 294 convective systems is strongly proportional to the convective area fraction (Fig. 5g) and convective area  $Q_{I}$ - $Q_{R}$  (or the vertical derivative of  $Q_{I}$ - $Q_{R}$  above the melting level, since  $Q_{I}$ - $Q_{R}$  tends toward zero above 15 km). For simplicity, only CSH  $Q_{I}$ - $Q_{R}$  is shown in Fig. 5; a repeat of analyses using the SLH product yields similar interpretations. Is the state of convective cores themselves ( $Q_{I}$ - $Q_{R}$ structure, and size) during growth the dominant factor in growth rates and ultimately, duration? Growth and decay broadly map to the first and last half of the lifecycles, respectively, but, consistent with the individual system evolutions in Fig. 4, there is no one-to-one correspondence with life stage.

301 Nearly all of the largest system-average rainfall rates are found during system growth stages 302 (Fig. 5e). Since average rainfall peaks early in lifecycle composites (Fiolleau and Roca, 2013b; Feng 303 et al., 2019; Feng et al., 2021) and longer-lived systems contribute more to extreme precipitation 304 (Feng et al., 2018; Roca and Fiolleau, 2020), this may imply that rainfall extremes specifically occur 305 during growth periods of the early lifecycle stages. There is little relationship between growth and 306 decay rates, life stage (Fig. 5f), and moisture (Figs. 5k-n). PDFs of heating, sizes and durations, if 307 sorted according to the relative humidity (RH) at any level, also show little variation, so the 308 interpretation is consistent. It is worth noting that all of these RH values are much wetter than the 309 tropics-wide average implying that the existence of tropical MCSs (and their expansive raining cloud 310 shields) depends on humid conditions though actual system growth rates do not. Growth and decay 311 rates are inevitably tied to system duration (Fig. 5j), and a lack of relationship with moisture is 312 consistent with the weak role that saturation fraction plays in driving the specific onset time and 313 duration of heavy rainfall (Elsaesser et al., 2013).

314 What is the cause of system cloud shield decay? It is less surprising that no relationship 315 between growth rates and moisture exists, particularly if cold pool – local environment interactions 316 (e.g., storm relative shear), gravity waves, sea breezes, or other small-scale factors are drivers of 317 upscale growth, though some studies suggest a moistening driven by previous convection (Rapp et 318 al., 2009; Mapes and Neale, 2011) may favor subsequent convection (which, in a Lagrangian 319 tracking sense, implies > 0 growth rates). For the decay portion of the spectrum, when convection 320 is absent or weak, if systems are not running into a drier environment, how do we determine why 321 systems decay? Among the clear signals that do manifest during decay: convective area is often 322 absent (Fig. 5h), or, if present, convective area fractions are often small (Fig. 5g), and decay rates 323 themselves are proportional to system size (Fig. 5i).

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Figure 7. Schematic of distributed convective cores in tracked convective systems, where to the left, convection is aggregated into one cell of area  $A_c$  and cell perimeter  $P_c$ , and to the right, the same total convective area is observed, but is split across two convective cells of differing areas ( $A_{c1}$ ,  $A_{c2}$ ) and cell perimeters ( $P_{c1}$ ,  $P_{c2}$ ). Since  $P_{c1} + P_{c2} > P_c$ , the ratio of the sum of convective cell perimeters to total convective area (i.e., referred to as  $R_{PA}$  in the text) increases as convective aggregation decreases (i.e.,  $R_{PA}$  is larger for less convectively-aggregated system in right panel).

341 If system growth rates are related to the vertical derivative of convective  $Q_{I}-Q_{R}$ , then we can apply 342 the concept of vertical convective mass flux convergence as a source for cloud shield area time 343 tendencies (and thus, the magnitudes of growth rates), terms quantifiable using data from the current 344 combination of satellite sensors in orbit. Fig. 6 shows two cases of rapidly growing cloud shields 345 (top two rows) for systems characterized by strongly-heating convective regions and a third system, 346 characterized by weaker convective  $Q_{I}$ - $Q_{R}$ , whose shield is growing more slowly. The bottom two 347 rows of Fig. 6 are examples of systems whose cloud shields are decaying. The decaying systems 348 have little convection observed by GPM, and there is a sense that shield decay is slow and somewhat diffuse. These examples reflect the statistics shown in Fig. 5: growth can be rapid, and is likely 349 350 associated with convection and a large vertical derivative of convective  $O_1$ - $O_R$ . Decay is slower and 351 occurs with a weakened convection area, or in many cases, occurs in the absence of a convective 352 source, while being proportional to system size. Other interesting features in Fig. 6 include 353 differences in the spatial aggregation of convective cells. For example, in the second row, convective 354 area is very aggregated, while in the third row, the total convective area is nearly equivalent, though 355 the area is now dispersed across numerous cells spanning the cloud shield. Cell aggregation can be 356 quantified by computing the ratio of the sum of convective perimeters to total convective area 357 (referred to as *R<sub>PA</sub>* hereafter). *R<sub>PA</sub>* is provided for each system example in the first column of Fig. 6.

The sum of convective perimeters was computed by adding up all edge 4-km GPM DPR pixels surrounding the GPM identified convective regions of the tracked convective system. As  $R_{PA}$ increases, convection becomes dispersed, i.e., more cells for a given area (see Fig.7 schematic for an illustration of systems with the same total cell area but different  $R_{PA}$ ). How does  $R_{PA}$  relate to system growth rates?

Supported by the results thus far, and building on the conceptual MCS sustainability ideas previously proposed (e.g., Yuter and Houze, 1998; Schumacher and Houze, 2007; Futyan and Del Genio, 2007), an analytical model of the system cloud shield time tendency, with source terms driven by a temporal generation-of-convective-area term, vertical convective and stratiform mass flux convergence terms forcing lateral cloud shield expansion, and a sink term proportional to the cloud area, can be structured as follows:

369 
$$\frac{dA}{dt} \approx A_{c, \,\text{SRC}} - \frac{1}{\rho} \frac{dM_c}{dz} - \frac{1}{\rho} \frac{dM_s}{dz} - \frac{A}{\tau},\tag{1}$$

370 where A is the cloud shield area,  $A_c$  is the convective area (with the subscript 'SRC' indicating this 371 term represents the temporal generation of new convective area),  $M_c$  is the convective mass flux, 372  $M_s$  is the stratiform mass flux,  $\rho$  is the atmospheric density, and  $\tau$  is a cloud shield area decay 373 timescale. For comparison purposes, after moving the first term on the rhs of Eq. (1) to the lhs, 374 the equation becomes one for the stratiform area time tendency, with the convective mass flux 375 convergence term following Tiedtke (1993), Teixeira (2001) and follow-ons, and the decay term 376 mimicking Hagos et al. (2020), although it is important to note that these terms were used in studies 377 that were prognosing grid-box or fixed-domain stratiform *cloud fraction* or area changes whereas 378 Eq. (1) prognoses *cloud physical area* changes following Lagrangian-tracked MCSs. Hagos et al. 379 (2020) is further similar in that radar data (off the coast of Darwin, Australia) are used to develop 380 a simple analytical model of stratiform area, though individual MCSs were not explicitly tracked 381 in that analysis and the source terms vary in structure.

### 382 3.2.1 Constraining the Eq. (1) source term for convective area ( $A_{c, SRC}$ )

 $A_c$  at any given time is estimated by GPM though the time tendency is not, owing to the long GPM orbit re-visit period. However, it is likely unreasonable to assume that  $A_c$  is constant over the 30-minute TOOCAN database time step. Our goal is not to develop a new  $A_c$ parameterization (a topic worthy of a separate manuscript); we are merely aiming to isolate and



quantify the contribution to total cloud area by new convection area so that we can better describe the growth and decay rates of the stratiform cloud shield given the current state of convective towers. We proceed with a compositing technique to determine  $A_{c,SRC}$ . Analogous to the development of cloud area source – sink model, we assume the time tendency of  $A_c$  following the track of an MCS can be approximated as follows:

$$\frac{dA_c}{dt} \approx A_{c,\,\text{SRC}} - \frac{A_c}{\tau_{\text{cs}}},\tag{2}$$

where  $\tau_{cs}$  is the timescale for transition of convective cells to stratiform cells. A term representing evaporation of convective cells without a transition to stratiform is considered negligible within the moist MCS cloud envelope, though such a process could be inevitably wrapped into the computation of  $\tau_{cs}$ . The average GPM  $A_c$ , plotted as a function of normalized life stage, is shown in Fig. 8a for varying system duration bins. From this, we can easily compute the composite  $dA_c/dt$  (solid lines of Fig. 8b) where dt is computed by multiplying the increment in normalized life stage by the system duration in seconds. We use a beta distribution to represent  $A_{c, SRC}$ , a function conveniently defined on the [0, 1]

**Figure 8.** (a) Composite GPM convective area  $A_c$  as a function of system life stage (normalized by dividing system life stage hour by total duration). The  $A_c$  evolution is shown for different system durations (panel c shows duration legend). (b) Composite  $dA_c / dt$  as a function of normalized life stage (solid), with fits overplotted (dashed lines). The fit coefficients for the  $dA_c / dt$  model are color-coded by duration and provided in the following order:  $\gamma$  (km<sup>2</sup>s<sup>-1</sup>),  $\alpha$  (unitless),  $\beta$  (unitless), and  $\tau_{cs}$  (s). (c) The  $A_c$ , sRC function used in the growth – decay rate model (see manuscript for discussion).

406 interval that characterizes the normalized life stage range.  $dA_c/dt$  can now be written as follows:

407 
$$\frac{dA_c}{dt} \approx \frac{\gamma}{B(\alpha,\beta)} x^{\alpha-1} (1-x)^{\beta-1} - \frac{A_c}{\tau_{\rm cs}}, \qquad (3)$$

408 where  $\gamma$  is a scaling factor,  $B(\alpha, \beta)$  is the beta function with shape parameters  $(\alpha, \beta > 0)$ , and x is 409 the normalized life stage. With  $A_c$ ,  $dA_c/dt$  and x being provided from our composite analyses (Fig. 410 8), we use a Levenberg-Marquardt algorithm to solve for the unknown coefficients ( $\gamma$ ,  $\alpha$ ,  $\beta$ ,  $\tau_{cs}$ ). 411 The fits to  $dA_c/dt$  are shown in Fig. 8b (dashed lines), with the coefficients also provided. The fits 412 fully reproduce the observed composite  $dA_c/dt$ . Interestingly,  $\tau_{cs}$  is nearly invariant across duration 413 bins, with the timescale for conversion of convective cells to stratiform area being ~2.75 hr 414 (coincidentally, this value falls within the deep-to-stratiform timescale range [0.5 - 3 hr]415 considered in Khouider et al., 2010). System durations of 6 - 10 hr are most common in the 416 TOOCAN database, and for these systems,  $A_{c, SRC}$  predicts that convective area is newly generated, 417 early in the lifecycle (Fig. 8c), at a maximum rate of ~  $0.5 \text{ km}^2 \text{ s}^{-1}$ . Over the IR 30-min time step, 418 this implies a generation of new convective area equivalent to a circle of diameter  $\sim 30$  km.

419 Currently existing convective area  $A_c$  is assumed to transition to stratiform area, and a 420 change in the cloud "type" does not result in a change in *A*. Thus, we must only account for 421 generation of new convective area in Eq. (1), with no need for the second term of Eq. (2), and 422 hence we substitute the computed  $A_{c, SRC}$  functions (plotted in Fig. 8c) directly into the first term 423 on the rhs of Eq. (1) to constrain convective area generation over the 30-min time step.

424 3.2.2 Reformulating and constraining the Eq. (1) vertical mass flux convergence terms

425 Bony et al. (2016) and Seeley et al. (2019) explored the convective mass flux 426 convergence term (equivalent to net detrainment) as it relates to understanding tropical cloud 427 fraction sources. Using Weather Research and Forecasting (WRF) simulations, Seeley et al. 428 (2019) found that net detrainment did not explain the altitude of peak cloud fraction. However, it is also evident in Seeley et al. (2019) that for cloud fraction profiles above ~10 km, where 429 430 entrainment is minimal, convective source formulations represented as net or gross detrainment 431 yield similar results. Such altitudes are closer to the IR-observed MCS cloud tops, and thus, a net 432 detrainment formulation for the convective source term in our analysis is reasonable. The detrainment term can be re-cast in terms of  $Q_I$ - $Q_R$ , allowing us to assess this formulation globally 433 434 across the tropics using GPM  $Q_1$ - $Q_R$  mapped to MCS shields. For any system,  $M_c$  is equivalent to 435  $\rho A_c w$  (where w is the vertical wind speed averaged over  $A_c$ ); but,  $M_c$  is not observable from GPM 436 since vertical motion is not among those parameters retrieved. From the budget equation for dry 437 static energy ( $s = c_p T + gz$ , where  $c_p$  is the specific heat at constant pressure, T is the temperature,

438 and gz is the geopotential), if we assume small temporal changes in dry static energy (Sobel et al., 439 2001) across  $A_c$ , a small horizontal advection term, and assume convective  $Q_I - Q_R$  dominates over 440 radiative heating within the convective cells, we can approximate *w* as follows:

441 
$$w \approx \left(\frac{1}{c_p} \frac{ds}{dz}\right)^{-1} (Q_l - Q_{R_{\text{CONV}}}) = \left(\frac{1}{\Gamma - \Gamma_d}\right) (Q_l - Q_{R_{\text{CONV}}}), \tag{4}$$

442 where  $\Gamma$  is the average temperature lapse rate across  $A_c$  (and subscript d on  $\Gamma$  denotes the dry adiabatic lapse rate) and  $Q_{I}$  is in units of K s<sup>-1</sup>.  $A_c$  profiles are not provided by GPM (i.e., 443 444 convective classification is independent of height) yet a spectrum of convective cells of varying 445 vertical depths likely exists across  $A_c$ . Thus, as altitude increases and convective area fraction 446 systematically decreases (Kumar et al., 2015; Giangrande et al., 2016), w computed here might 447 best be thought of as an approximate vertical motion across  $A_c$  that likely includes increasing 448 contribution from non-convective motions above the tops of shallower or upward growing 449 convective towers (as opposed to w representing convective core vertical updraft speeds at all 450 altitudes, specifically). With Eq. (4), the second term on the rhs of Eq. (1) can now be 451 approximated as follows:

452 
$$-\frac{1}{\rho}\frac{dM_c}{dz} \approx -\frac{A_c}{\rho}\frac{d}{dz}\left(\rho\frac{Q_l-Q_{R_{\text{Conv}}}}{\Gamma-\Gamma_d}\right).$$
(5)

The third term on the rhs of Eq. (1) can be written like Eq. (5), except with  $A_c$  and convective  $Q_{I}$ -454  $Q_R$  being swapped for the stratiform counterparts. We explore inclusion of this third term in Eq. 455 (1) since the mesoscale divergence near the tops of well-developed precipitating stratiform regions 456 might be significant enough to force an observable lateral expansion of the entire cloud shield.

457 We use the satellite retrievals discussed in section 2 to populate the two source terms and 458 plot statistics in Fig. 9. The satellite sounder retrievals of temperature are characteristic of non-459 cloudy unsaturated tropical environments outside of the tracked systems. Thus, to define  $\Gamma$  at all 460 altitudes within any system cloud shield, we assume the atmosphere is saturated and assume a 461 moist adiabatic lapse rate (hereafter,  $\Gamma_m$ ) whose magnitude is set to the climatological AIRS grid box  $\Gamma_m$  closest to the tracked system. Since  $\Gamma_m$  varies strongly with temperature, this gives 462 463 regionally varying lapse rates. For both the CSH (Fig. 9a,b) and SLH (Fig. 9c,d). products, the 464 convective source terms maximize  $\sim 1 - 2$  km above the stratiform sources. Because of this, the



Figure 9. For the CSH product, (a) the height distribution of the maximum value of the cloud area tendency convective source term, and (b) the composite-average source term profile (horizontal lines depict the  $\pm/-1\sigma$  range). (c and d): as in a and b, but for the SLH product.

469 stratiform source terms at lower altitudes would influence the vertical cloud extent and 470 cloud area tendency profile below the cloud top. Thus, the downward-looking two-dimensional 471 GEO-IR satellite perspective will yield a cloud shield tendency largely driven by the convective 472 mass flux term, and so we simplify Eq. (1) further by neglecting the stratiform source term. Fig. 473 9 suggests large differences in the altitudes of peak cloud area tendencies derived from CSH and 474 SLH. The altitude of the peak source is > 1 km higher in SLH than that inferred from the CSH 475 product. For SLH, the convective and stratiform terms combined suggest a cloud fraction profile 476 that would peak from 16 - 17 km (Fig. 9c,d), which is 1 - 2 km higher than observed (see Seeley 477 et al., 2019). Therefore, in addition to neglecting the stratiform mass flux term, we use the CSH 478 heating product for the remainder of the paper to quantify the magnitude of the convective source 479 term. Additionally, the magnitude of this convective mass flux term is set to the profile maximum 480 above 9 km (i.e., at or above the IR-identified altitude for cold "cloud shield" coverage) in the 481 following analyses.

482 3.2.3 Final discretized equation for predicting the cloud shield area growth and decay rates.

Regarding the final term of Eq. (1) (the sink term, the last term on the rhs), dissipation of cloud area *A* depends on total ice condensate within cloud. GPM products do not provide all ice condensate species (not to mention the difficulty that exists in retrieving cloud ice accurately (Duncan and Eriksson, 2018)). Sources of ice include convective ice detrainment and saturated ascent in the stratiform/anvil region, with sinks being driven by precipitation. Convective and stratiform latent heating and precipitation terms could be used to partially infer ice condensate if the evolution of these terms along system paths were known; however, GPM provides these 490 estimates at one instant, and though GPM estimates could constrain the current perturbation to 491 total ice condensate within cloud, total ice condensate itself is not. Additionally, since evaporation 492 is slow and inefficient in the cold upper troposphere (Seeley et al., 2019), mixing near cloud edges 493 may actually act to increase cloud area if the ice condensate amount near cloud edges is large 494 enough. These processes are all wrapped into the decay timescale  $\tau$  of the Eq. (1) sink term.

495 With  $A_{c,SRC}$  now constrained (section 3.2.1) and with reformulation of the convective mass 496 flux term (section 3.2.2), we re-cast the cloud shield area time tendency Eq. (1) as a regression 497 equation with the terms discretized as follows:

498 
$$\frac{\Delta A}{\Delta t} = A_{c, \text{ SRC}} - C_I A_c \times max \left[\frac{1}{\rho} \frac{\Delta}{\Delta z} \left(\rho \frac{Q_I - Q_{R_{\text{CONV}}}}{\Gamma_m - \Gamma_d}\right)\right] - C_2 A, \tag{6}$$

499 where  $\Delta A/\Delta t$  is explicitly provided by TOOCAN ( $\Delta t = 30$  min),  $C_1$  accounts for possible satellite 500 retrieval limitations in quantifying the vertical profile of convective area and in-cloud lapse rates, 501  $C_2$  is equal to  $\tau^{-1}$ , and max[...] refers to a search of the maximum of the enclosed term above 9km, 502 as discussed in 3.2.2. We apply Eq. (6) to MCS data binned by convective system duration and A 503 time tendencies, solve for  $C_1$  and  $C_2$ , and evaluate the model A time tendencies. The A time 504 tendency bin widths (~  $0.15 \text{ km}^2 \text{ s}^{-1}$ ) are chosen so that compositing artifacts are minimized while 505 ensuring each bin has at least one GPM sample. We apply the model to all data combined, and to 506 data in different duration bins separately (using the same bins shown in Fig. 8c) in large part to 507 test the robustness of the model across different system types and subsets of data.

508 3.3 Growth and decay rates stratified by surface type, system duration and convective organization

509 The observed and model-predicted dA/dt are shown in Fig. 10 for storms of varying 510 durations (the results for all data combined, independent of duration, is shown in Fig. 12a). Fig. 511 10 points are coded according to whether the system was over ocean (circles) or land (pluses) and 512 colored according to  $R_{PA}$ . The fact that most points fall close to the 1:1 line suggests that the 513 functional form of the cloud shield model is skillful across the spectrum of convective system 514 duration bins and aggregation states. Interestingly, the computed regression coefficients ( $C_1$  and C<sub>2</sub>) are largely duration independent, with  $C_1 \sim 1$  and  $C_2 \sim 0.00018$  s<sup>-1</sup>. That  $C_1$  is nearly unity for 515 516 each duration bin suggests that the mass flux convergence source term formulated in terms of 517 diabatic heating and moist adiabatic lapse rates is a good approximation, with  $C_1$  not needed. With 518  $C_2$  having units of s<sup>-1</sup>, this implies that the IR cloud shield decay timescale is 1 - 2 hr. Seeley et



al. (2019) using model simulation experiments derived global ice cloud lifetimes of ~ 5 - 10 hr at 10 - 15 km, with a decrease in the lifetime as altitude increases further, while Hagos et al. (2020) derived a decay timescale of 7 hr for stratiform areas. These decay timescales were computed for convection in aggregate or global cloud analyses as opposed to tracked MCS, and thus the timescale are not apples-to-apples comparable. Since the MCS cloud shields tracked in TOOCAN are likely raining at rates larger than average convective scenes, one might expect that the decay timescales are shorter since precipitation could be a stronger sink of stratiform cloud area.

Fig. 10 does not suggest a larger systematic deviation from the 1:1 line in the predictions for systems over land relative to those over ocean. As mentioned in section 3.1, convection is known to be more intense over land than ocean. The Eq. (5) convective source term yields a source magnitude that peaks near 16.5 km over land and 15.5 km over ocean,

**Figure 10.** Predicted dA/dt versus satellite estimated dA/dt for different convective system duration bins, with the plot symbol denoting surface type (ocean = circles, land = plus signs) and symbol color denoting the  $R_{PA}$  magnitudes. Correlation coefficients for the prediction vs. observation are shown at the bottom of each panel. The last duration range panel shows all points combined for additional visual comparison across all duration bins.

with the source itself a factor of ~2.5 stronger over land than ocean on average (0.8 km<sup>2</sup> s<sup>-1</sup> and 2.0 km<sup>2</sup> s<sup>-1</sup> for ocean and land, respectively). These results are consistent with land – ocean differences in convection, with the increased land source attributed to stronger diabatic heating and a larger vertical gradient in diabatic heating instead of being attributed to moist adiabatic lapse rate differences (not shown). Additionally, departures in the prediction from the 1:1 line do not seem to be dependent on cell aggregation (i.e., *R*<sub>PA</sub>). This result is interesting, particularly in light of Hagos et al. (2020) where it was found that if there were more convective cells for a given convective area,

544 growth of the stratiform area was larger. The Hagos et al. (2020) result was interpreted within the 545 context of the "particle fountain" idea proposed by Yuter and Houze (1995), where if convective 546 cells were more scattered like trees in a forest, their ice particles were more likely to fall outside of 547 the existing convective area, thus favoring growth of stratiform cloud regions. For a given 548 convective area, as the number of convective cells increases, the sum of the perimeters surrounding 549 convective cells increases (Fig. 7); therefore, growth of the stratiform region (or cloud shield area in 550 this study, given the correlation with stratiform area) should be larger as  $R_{PA}$  increases. Since the 551 source – sink model does not specifically consider convective perimeters, the lack of outliers in the



prediction might be surprising.

We investigate this further in Fig. 11a, where the convective source term (i.e., Eq. 5) is plotted as a joint function of convective area  $A_c$  and  $R_{PA}$ .  $R_{PA}$  is one way to quantify convective aggregation, but this metric is also strongly correlated with an independent convective "organization" metric (i.e., the Radar Organization Metric or ROME; Fig. 11f) following Retsch et al. (2020)which specifically defines organization based on the size and proximity of convective cells. As defined here, organization increases as ROME

**Figure 11.** (Left column) From top to bottom, the average convective source term (Eq. 3 in manuscript), average convective system IR-estimated cloud shield area, and average organization of convective cells (defined using the Radar Organization Metric, or ROME, as in Retsch et al. 2020) as a joint function of total convective area ( $A_c$ ) and the ratio of the sum of convective cell perimeters divided by total convective area ( $R_{PA}$ ). (Right column) As in left, but for (b) satellite estimated system area time tendency (dA/dt) and (d) number of samples contributing to composites. Panel f illustrates the relationship between  $R_{PA}$  and a convective organization diagnostic (ROME).

569 increases, with the upper limit of organization being equivalent to the mean convective cell area 570 multiplied by 2. Fig. 11e shows how ROME increases as  $R_{PA}$  decreases for the same convective 571 area. As expected, Fig. 11a shows that the convective source term increases as  $A_c$  increases (and, 572 indeed, the total satellite cloud shield time tendency in Fig. 11b follows this pattern). Additionally, 573 there is a very clear pattern showing an increase in the convective source term as  $R_{PA}$  decreases. 574 Interestingly, this tendency reverses when the cloud shield area is undergoing decay on average. In 575 this state, as  $R_{PA}$  increases (i.e., organization decreases), the source term also increases (top left 576 portion of Fig. 11a). The latter result is similar to the findings of Hagos et al. (2020). Might this 577 imply that less organized convection during the later decaying stages of system lifecycles favors 578 cloud shield sustenance and increased longevity? At first glance, this seems to be a small portion of 579 the data state space; however, this region of the state space comprises large cloud shield areas and 580 system counts (roughly 20-25% of the data lie above the white-outlined area in the top left panel of 581 In summary, even though Eq. (6) does not specifically consider convective cell Fig. 11). 582 aggregation, there is a signal in the vertical (associated with the convective cell-ensemble  $Q_1 - Q_R$ 583 height derivative) that is serving as a strong enough proxy to modulate variations in the cloud area 584 source as convective cell organization changes, which is probably why Fig. 10 shows no clear biases 585 in the prediction as cell aggregation varies.

586 With  $A_{c,SRC}$  moved to the lhs of Eq. (6), an anvil cloud shield growth rate equation can be 587 developed (the full anvil is not captured, of course, since the thinner parts of the anvil are likely not 588 detected in the TOOCAN database). Though necessary for development here, in a climate model, 589  $A_{c,SRC}$  would be irrelevant, with convective area being determined by the model's own convective 590 parameterization. Thus, in a model, anvil area growth rate could be predicted based on the 591 convective diabatic heating structure, model  $A_c$ , temperature lapse rates, and use of  $C_2$  as derived 592 here (where  $C_2$  can be a fixed, based on results presented, though the processes that govern its 593 magnitude requires additional investigation). It is obvious that in order for the anvil growth rate to 594 be  $\ge 0$  (i.e, the stratiform/anvil area is sustained or growing), term 2 must be  $\ge$  term 3 on the rhs of 595 Eq. (6). If we re-arrange these terms, set  $C_l$  to unity (as discussed), and solve for the convective area 596 fraction necessary for stratiform anvil sustenance, we arrive at the following equation:

597 
$$\frac{A_c}{A} \ge C_2 / max \left[ \frac{1}{\rho} \frac{\Delta}{\Delta z} \left( \rho \frac{Q_l - Q_{R_{\text{Conv}}}}{\Gamma - \Gamma_d} \right) \right], \tag{7}$$

598 where all parameters have been previously introduced. With  $C_2$  fixed at 0.00018 s<sup>-1</sup>, an analysis of

the max[...] term (considering all data combined across durations) suggests the convective area

- 600 fraction must exceed ~ 0.2 in order for the stratiform component of the shield to grow, with the
- 601 growth rate magnitude itself dependent on  $A_c$  and the vertical gradient of diabatic heating and lapse
- rates.

603 3.4 Sensitivity of source – sink model to structure and assumptions

604 Developing a suitable equation for  $A_{c,SRC}$  is necessary for determining the structure and 605 coefficients that drive cloud area expansion, though  $A_{c,SRC}$  itself, by design, is largely empirical. This 606 is because our focus is on how stratiform anvil areas change given the current structure of convection 607 in a given system, and not on what drives changes in the convective cores themselves. We have 608 tested different functions for deriving  $A_{c,SRC}$ . Most perform poorly when compared to the GPM  $A_c$ 609 composites (Fig. 8a), and that is because few functions can reproduce the beta distribution shape that 610 allows for capturing the sharp increase in  $A_c$  production during system growth, quick decay toward 611 the middle life stages, and no production of  $A_c$  during later life stages. Originally, we did assume a 612 constant (or 'average')  $A_{c,SRC}$ , but this led to  $C_1$  and  $C_2$  varying with system duration (though the 613 averages of those two coefficients across all durations were close to the estimates found here). We 614 attribute the variation due to systematic differences in sampling of life stages across system durations. 615 For the shorter-lived (smaller) systems, the GPM swath width often permits a view of systems at 616 random life stages; for the longer-lived (larger) systems, there is a skewing towards earlier life stages 617 since the largest systems reach peak size later, and their expansive cloud shields by then are under 618 sampled by GPM (and not included in our analyses). Since  $A_{c,SRC}$  peaks during early stages (Fig. 619 8c), assuming a constant  $A_{c,SRC}$  across the entire lifecycle underestimates the production occurring 620 during early stages often-sampled for longer-lived systems, whereas for the shorter systems, 621 assuming a constant  $A_{c,SRC}$  leads to a better result since the underestimation of  $A_c$  production earlier 622 is cancelled by the overestimation later. This systematic shift in  $A_{c,SRC}$  estimation is compensated by 623 a corresponding systematic change in  $C_1$  and  $C_2$  as system duration increases.

The above discussion motivates the following question: how do our GPM sampling requirements influence our quantitative results? Over 90% of the time when the predicted minus satellite estimated differences exceed 1 km<sup>2</sup> s<sup>-1</sup>, the MCS cloud shield area was under-sampled by GPM. As mentioned in section 2.1, at least 2/3 of the convective system cloud shield area must be

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628 sampled by GPM in order for the data point to be included in development and analysis of the 629 analytical model. Convection occupies a small fraction of a cloud shield, and therefore, it is easy for 630 GPM to completely miss convective cores. This limitation is not resolved by simply increasing the 631 size of our database. Instead, this is the result of system sizes often exceeding the swath width of 632 the GPM DPR orbit, and no sample size will ever permit 2/3 sampling of large MCS shields (Nesbitt 633 et al., 2006; Fiolleau and Roca, 2013b).

634 While decreasing the 2/3 coverage threshold drastically increases the sample count, there is 635 a price to pay. If convection is missed too often, the convective mass flux source term is artificially 636 zero too frequently. This issue does not simply lead to more scatter in any one duration bin. Instead, 637 with a weaker (or zero) source term, a weaker sink term would also be computed to achieve the best 638 fit to the ensemble of points, and subsequently, the sensitivity of the prediction is lower. This is 639 depicted as a "flattening" in the prediction. Conversely, a more conservative threshold (e.g., 90% 640 coverage), while increasing the probability that convective cores are sampled, results in almost no 641 data being available no matter the record length (and for systems that are sampled, their sizes are 642 often small, since smaller shields are the ones entirely viewable by GPM). Thus, the 2/3 threshold 643 strikes a balance between data samples and system sizes, and the necessity of sampling the 644 convective source. To assess the under-sampling issue further, one fit is re-computed independent 645 of duration bin (Fig. 12a), which clearly resembles all results in the Fig. 10 panels, while another fit



646 Figure 12. Like Fig. 10, except with varying thresholds used for constraining the convective 647 source term in the cloud shield area time tendency equation and no coding of points based on 648 surface type (land, ocean) or convective organization. From L to R: (a) fits calculated independent 649 of duration bin; (b) calculations performed with less stringent GPM coverage required (>25% of 650 the system shield must be sampled); (c) calculations performed while fixing the convective area 651 to the average across all systems; (d) calculations performed while fixing the convective heating 652 profile to the average across all systems; and, (e) calculations performed while fixing both 653 convective area and convective heating profiles to the average across all systems. For each panel, 654 the  $C_1$  and  $C_2$  coefficients determined from the model fitting are plotted (see manuscript for further 655 discussion).

is recomputed after requiring only 25% of the area to be covered by GPM (Fig. 12b). Clearly, the
relationship is not as strong with less sampling of the convective structures, and both growth and
decay rates are further underestimated, with a flattening in the prediction observed.

659 Is the vertical convective heating structure or convective area the key component driving the 660 convective mass flux source term? As a test for system convective core similarity, we swap the 661 mean convective area across all systems for the actual observed convective area and re-compute the 662 fit. Note the poorer fit for this experiment in Fig.12c, particularly when the satellite data indicates 663 the systems are growing. In Fig. 12d, the all-system-average convective heating profile is substituted 664 in, and Fig. 12e shows the results when there is no variation in convection across systems (i.e., mean 665 convective area and mean heating profile are used). That Fig. 12d looks like Fig. 12a suggests that 666 capturing the convective area, via sampling of a large-enough fraction of the system, is most 667 important. In the Fig. 12d experiment,  $C_1$  (though previously equal to 1) becomes a scale factor on 668 convective area (whose magnitude was already influenced by the average vertical derivative of  $Q_{1}$ - $Q_R$  and temperature lapse rates in this experiment). Importantly, Fig. 12d suggests that one could 669 670 simply use some constant times  $A_c$  as the source term of the model, and never consider information 671 about  $Q_{I}$ - $Q_{R}$  nor temperature lapse rates as we have. In such a case, the computed  $C_{I}$  coefficient 672 would be ~ $0.0008 \text{ s}^{-1}$ . Of course, the following question would then arise: where does the arbitrary 673 0.0008 s<sup>-1</sup> derive from? Clearly then, the advantage of using the convective mass flux source term 674 (Eq (6), second term on rhs) as we have formulated it, instead of some constant multiplied by  $A_c$  in 675 a new source term, is that it provides an understanding of the source term physics that clearly tie to 676 the vertical gradient of convective diabatic heating in systems, co-incident with an increasingly stable 677 upper troposphere, which act as pre-factor for determining the quantitative role that convective area 678 plays in cloud shield growth rates.

#### 679 **4 Conclusion**

How tropical anvil areal extent will change and modulate radiation as the climate warms is one of the largest uncertainties in recent cloud feedback assessments (e.g., Sherwood et al., 2020), and improved understanding of the spectrum of deep convective system areal extents, how system areas couple with convective and stratiform diabatic heating, and the construction of simple models that can inform GCM convective parameterization is needed. In this work, we specifically focused on increasing our understanding of MCS cloud shield area time tendencies and relationship withconvective heating.

687 Composite analyses show that longer-lived (and larger) deep convective system cloud shields 688 are associated with increased diabatic heating above the melting level (Figs. 2 and 3), largely due to 689 stratiform region heating. The system evolution composites are not necessarily representative of 690 individual system evolutions, though (e.g., Fig. 4). Instead, evolutions may be best thought of as 691 collections of instantaneous bursts in growth mixed with sequences of decay, such that a longer-692 lived duration may arise from a fortunate series of growth sequences. Results suggest that the growth 693 of a convective system shield is strongly related to generation of convective area and a strong vertical 694 gradient of convective-region heating (computed from its peak above the melting level to the cloud 695 top) forcing lateral cloud growth (Fig. 5). Decay rates are strongly related to the instantaneous size 696 of the cloud shield itself, but exhibit no clear dependence on relative humidity.

697 A simple convective-source, slow-decay model (Eqs. 1 and 6) informed by the observational 698 results is developed. Since satellite-estimated vertical winds in convection are not available for 699 developing the cloud shield model source term, the model is re-formulated in terms of diabatic 700 heating, an advantage that permits analyses via use of GPM retrieved diabatic heating mapped to 701 MCSs (and which has an analog in GCM output since most convective parameterizations yield 702 diabatic heating profiles). The remaining model terms are quantified using satellite retrievals from 703 GEO-IR, AIRS/MLS and convective area estimates from GPM, and uncertain or unknown 704 coefficients are derived by applying the model to all tropical (land and ocean) scenes and duration 705 bins. The simple cloud shield model often explains over 60% of the 30-min changes in cloud shield 706 areas across the global tropics (with comparable skill across MCS duration bins, and no clear biases 707 for land or ocean systems nor convective cell aggregation). There is a rich structure in the cloud area 708 source term that varies as a function of convective cell organization, with overall, the source term 709 increasing with convective organization, while for decaying shields characterized by smaller 710 convective area overall, the source term sometimes increases as organization decreases. Results 711 further suggest that convective and stratiform rainfall and associated diabatic heating are often 712 coupled, stratiform heating is present at all system life stages past initiation (Fig. 3), and stratiform 713 area is continually produced along the path of the MCS (Eq. 1). Thus, the "convective to stratiform" 714 transition" onset period might also be considered an emergent property, useful for evaluating output from a GCM at the grid box and timestep-scales during parameterization development, as opposedto a process that happens abruptly or at a fixed life stage.

717 Toward understanding the distribution of convective system durations, work is underway to 718 understand factors favoring convective area maintenance and/or re-generation following the path of 719 a system so as to understand the functional form of  $A_{c,SRC}$  and to understand its variation across 720 systems of varying duration. Extending the Lagrangian analyses to three-dimensional MCS cloud 721 volumes via analyses of height-resolved cloud fractions alongside the stratiform area source term, 722 exploring the role of radiative heating (Gasparini et al., 2019) in cloud shield time tendencies, and 723 understanding how stratiform precipitation sinks, vertical wind shear, and organization metrics 724 conspire to set the magnitude of the cloud shield decay term timescale  $\tau$  are other avenues being 725 pursued. An overall objective is to provide improved process-level understanding and useful 726 observational depictions for improving the representation of convection in parameterized GCMs 727 tasked with providing projections of 21st century climate, the reliability of which depends on 728 accurately representing the spectrum of cloud feedbacks (Hartmann and Larson, 2002; Zelinka and 729 Hartmann, 2010, 2011; Bony et al., 2015), including the role of organized convection (Moncrieff, 730 2019) and convection-driven high cloudiness.

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### manuscript submitted to Journal of Geophysical Research – Atmospheres

745	https://disc.gsfc.nasa.gov/datasets/AIRS2RET_006/summary/. AIRS V6 and MLS V3 gridded
746	(Level 3) datasets used for computation of climatological moist adiabatic lapse rates are available
747	from the Observations for Model Intercomparison Project (Obs4MIPS) archive hosted on the Earth
748	System Grid Federation at <u>https://esgf-node.llnl.gov/projects/obs4mips/SatelliteDataProducts</u> .
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