

Improving the Representation of Raindrop Size Distributions Using the In-situ Microphysics Observations Collected in Hurricanes

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Abstract

Raindrop Size Distributions (RSDs) samples from 17 flight missions through 6 hurricanes collected by Precipitation Imaging Probe (PIP) during National Oceanic and Atmospheric Administration's hurricane field program in 2020 are used to study gamma fits of the RSDs in hurricanes. The method of moment (MM) is adopted for solving for the three parameters in gamma distribution. The results show that the usage of lower (higher) moments produces large biases for integral rain variables (IRV) of higher (lower) moments. These biases can be alleviated by extracting the best fits from five groups that use increasing higher orders of moments for MM. An intercept (N_0)—slope (λ) relation identified from the fitted gamma distributions captures 92% of the variance of the data, where the majority of remaining 8% can be further captured by including the impact of liquid water content (LWC), as shown in the results from a random forest regression model.

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1

2 **Improving the Representation of Raindrop Size Distributions Using the In-situ**
3 **Microphysics Observations Collected in Hurricanes**

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7

8 **Key Points:**

- 9 ● Method of moments produces bias when fitting raindrop size distribution (RSDs) but the
10 bias can be alleviated by composite moment fitting.
- 11 ● The identified $N_0 - \lambda$ relation captures 92% of the variance in the fitted RSDs that have
12 correlation coefficients larger than 0.9.
- 13 ● A random forests regression model taking both N_0 and Liquid Water Content as inputs
14 captures most of remaining 8% of variance in the data.

15

16 Abstract

17 Raindrop Size Distributions (RSDs) samples from 17 flight missions though 6 hurricanes
18 collected by Precipitation Imaging Probe (PIP) during National Oceanic and Atmospheric
19 Administration’s hurricane field program in 2020 are used to study gamma fits of the RSDs in
20 hurricanes. The method of moment (MM) is adopted for solving for the three parameters in
21 gamma distribution. The results show that the usage of lower (higher) moments produces large
22 biases for integral rain variables (IRV) of higher (lower) moments. These biases can be
23 alleviated by extracting the best fits from five groups that use increasing higher orders of
24 moments for MM. An intercept (N_0) — slope (λ) relation identified from the fitted gamma
25 distributions captures 92% of the variance of the data, where the majority of remaining 8% can
26 be further captured by including the impact of liquid water content (LWC), as shown in the
27 results from a random forest regression model.

28 Plain Language Summary

29 How well an assumed statistical distribution can represent the number of raindrops in each size
30 bin is crucial to both accurate rainfall estimation from observed radar echo and successful
31 forecasts of numerical weather models. Gamma distribution, one of statistical distributions, is
32 often used and the three parameters (i.e. intercept, slope and shape) of gamma distribution are
33 obtained by solving three equations. Different set of three equations can lead to different
34 solutions, each of which has its advantage and disadvantage. In this study, we explore five
35 different sets of three equations, extract the solutions that have low bias and high correlation
36 coefficient from each set, and develop composite solutions. We investigate the relationships
37 between each pair of the three parameters for the composite solutions and find intercept and
38 slope are closely related. A linear fit that represents intercept-slope relationship very well already
39 is further improved by using a machine learning model that takes into account both intercept and
40 the mass of raindrops.

41

42 **1 Introduction**

43 With the rapid advancement of computational technology, numerical models have become the
 44 most important tool in forecasting hurricane intensity and precipitation. In operational numerical
 45 models, bulk microphysics parameterization schemes are used due to their computational
 46 efficiency. The bulk schemes assume the size distributions of each hydrometeor category to be
 47 certain statistical distribution. The formulations of all the microphysical processes can then be
 48 derived from these assumed statistical distributions and other assumptions made in the scheme.
 49 The microphysical processes play a significant role in the distribution of diabatic heating, which
 50 is one of the primary driving forces of a tropical cyclone's intensity change. The realistic
 51 representation of microphysical processes in numerical models is crucial to simulating the
 52 intensity and structure evolution of hurricanes accurately. Early studies (e.g., Marshall and
 53 Palmer 1948; Mueller and Sims 1966; Sulakvelidze 1969) have proposed many different
 54 statistical distributions representing RSDs. Among them the gamma distribution has been widely
 55 used due to their generalized representation for RSD. The gamma distribution,

$$56 \quad N(D) = N_0 D^\mu e^{-\lambda D} \quad (\text{eq. 1})$$

57 as shown above, with three parameters, intercept N_0 , shape parameter μ , and slope λ , is able to
 58 adequately describe the small spatiotemporal-scale variations of RSDs in most situations
 59 (Ulbrich and Atlas 1998). It reduces to the exponential distribution when the shape parameter μ
 60 is zero. The gamma distribution also makes it particularly easy to calculate the moments and
 61 formulate microphysical processes in the bulk schemes. The original interest of RSD studies is to
 62 estimate IRVs, such as rainfall (e.g., Seliga and Bringi 1976; Gorgucci et al. 1994; Ulbrich and
 63 Atlas 1998). As stated in Kozu and Nakamura (1991), assuming RSDs to be a two- or three-
 64 parameter statistical distribution, measuring two or three IRVs can determine the RSD
 65 parameters, thereby enabling an accurate estimation of other IRVs. For this purpose, the method
 66 of moments (MM) has been widely used. However, studies (Haddad et al. 1996, 1997; Smith and
 67 Kliche 2005; Smith et al. 2009) pointed out MM produced biases. These biases might not have
 68 significant impact on the application of estimating certain IRVs but can drastically change the
 69 outcome of microphysics processes that are formulated based on the fitted RSDs. Therefore, for
 70 modeling purposes, it is crucial to minimize the biases while still maintain the accuracy of the
 71 calculated IRVs.

72 The data used this study is briefly introduced in section 2. The remainder of the paper is
 73 organized as follows. In section 3, the results of the gamma fitting to the RSDs are presented.
 74 The identified $N_0 - \lambda$ relation is presented in section 4. An improved $N_0 - \lambda$ relation using
 75 random forests (RF) regression model is demonstrated in section 5 and followed by a discussion
 76 and conclusion section.

77 **2. Data**

78 The RSD observations are from National Oceanic and Atmospheric Administration's hurricane
 79 field program in 2020. They were collected by the Droplet Measurement Technologies (DMT)
 80 Precipitation Imaging Probe in 6 hurricanes from 17 flights, i.e., 4 flights from Hanna, 3 flights
 81 from Isaias, 2 flights from Laura, 3 flights from Sally, 1 flight from Zeta, and 4 flights from
 82 Delta. Observations taken within the 500-km radius of the storm center are included. The number
 83 of total RSD observations used is 18076 in this study. The detailed description of the data set is
 84 provided in Leighton et al. (2022)

85 **3 Methodology**

86 The moment of a raindrop size distribution is defined as:

$$87 \quad M_m = \int D^m N(D) dD \quad (\text{Eq. 2})$$

88 Where m is the number of moments, $N(D)$ is the raindrop size distribution as the function of
 89 diameter D . Inserting Eq. 1 into Eq.2 above, we arrive at

$$90 \quad M_m = N_0 \frac{\Gamma(m+\mu+1)}{\lambda^{m+\mu+1}} \quad (\text{Eq. 3})$$

91 Given the special property of gamma function,

$$92 \quad \Gamma(\alpha + 1) = \alpha \Gamma(\alpha) \quad (\text{Eq. 4})$$

93 any group of three consecutive moments gives a set of unique solutions of the three parameters
 94 for the gamma distribution. After manipulating Eq.3 for three consecutive moments (e.g. m , $m+1$
 95 and $m+2$), we obtain the solutions as following,

$$96 \quad \mu = \frac{Cm+C-m-2}{1-C} \quad (\text{Eq. 5})$$

$$97 \quad \lambda = B(m + \mu + 1) \quad (\text{Eq. 6})$$

$$98 \quad N_0 = \frac{M_m \lambda^{m+\mu+1}}{\Gamma(m+\mu+1)} \quad (\text{Eq. 7})$$

99 Where C is $\frac{M_m M_{m+2}}{M_{m+1}^2}$ and B is $\frac{M_m}{M_{m+1}}$. M_m , M_{m+1} , and M_{m+2} are three consecutive moments
100 calculated from Eq. 2 where $N(D)$ is the observed RSDs.

101 In this study, we explore five different combinations of three consecutive moments, i.e. moments
102 0, 1, 2 (m012), moments 1, 2, 3 (m123), moments 2, 3, 4 (m234), moments 3, 4, 5 (m345), and
103 moments 4, 5, 6 (m456). It is worth noting that the moments above are calculated directly from
104 the observed RSDs and the calculated moments might not correspond to the IRVs of the same
105 moments. For example, the 3rd moment calculated above is not the same as LWC since the
106 density of water is not taken into account. The performance of gamma fits is evaluated from two
107 aspects: 1) comparing the IRVs calculated from the fitted gamma distributions and that from the
108 observed RSDs, and 2) comparing RSD shapes by calculating the correlation coefficient between
109 the fitted RSD and the observed RSD. The five IRVs used for evaluating the performance of the
110 fitted RSDs are total number of concentrations, mass-weighted-diameter, LWC, radar reflectivity
111 and rainfall rate. The calculations of these IRVs are shown in the following from equations 5-9:

$$112 \quad N_t = \int_0^\infty N(D) dD \quad (\text{Eq. 8})$$

$$113 \quad D_m = \frac{\int_0^\infty D^4 N(D) dD}{\int_0^\infty D^3 N(D) dD} \quad (\text{Eq. 9})$$

$$114 \quad LWC = \frac{\pi}{6} \rho_w \int_0^\infty D^3 N(D) dD \quad (\text{Eq. 10})$$

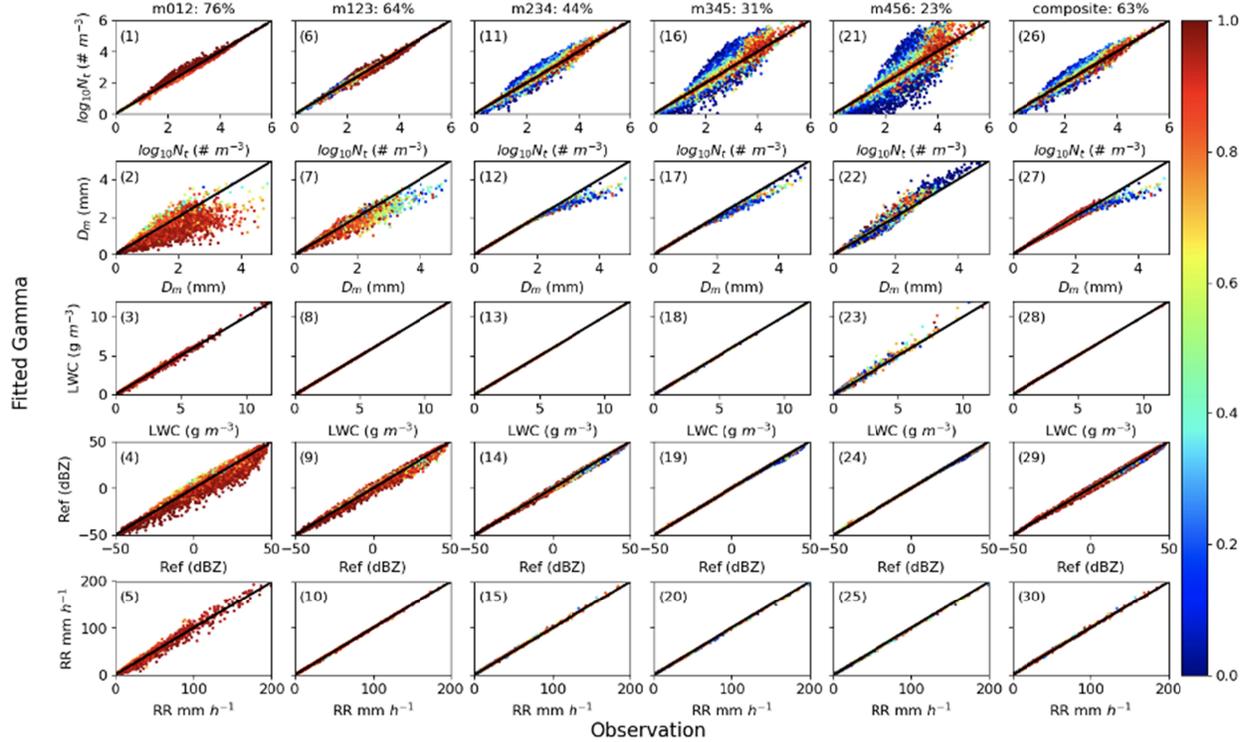
$$115 \quad Ref = 10 \log_{10} \int_0^\infty D^6 N(D) dD \quad (\text{Eq. 11})$$

$$116 \quad RR = \frac{\pi}{6} \rho_w \int_0^\infty D^3 N(D) V_t(D) dD \quad (\text{Eq. 12})$$

117 ρ_w in Eq. (7) and (9) is the density of water, 1000 kg m^{-3} . V_t in Eq. (12) is the terminal velocity
 118 of raindrops and follows Best (1950).

119 4 Results

120 4.1 Gamma fitting of RSDs



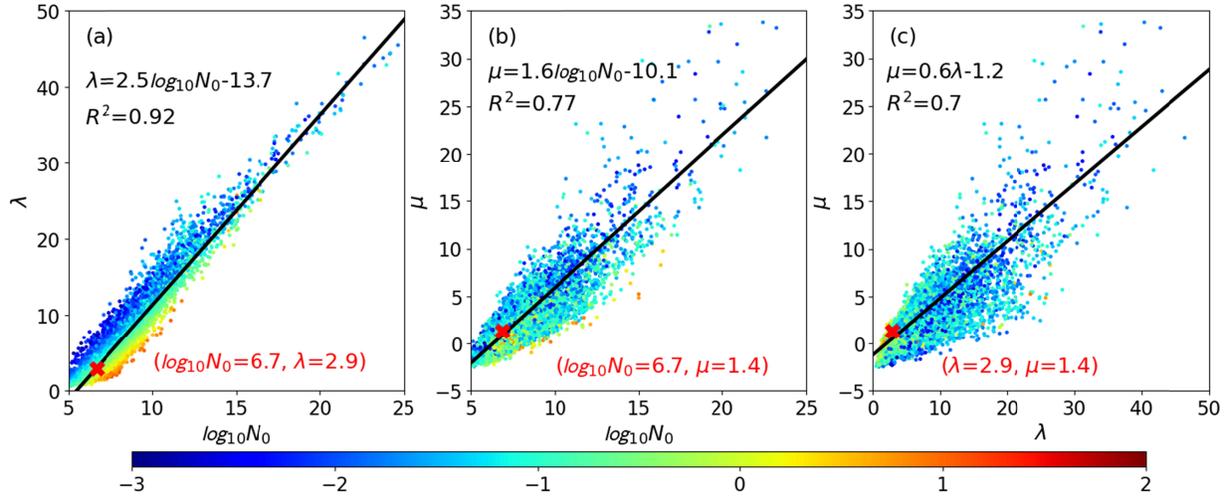
121
 122 Figure 1: Scatter plots of different IRVs (i.e. total number concentration N_t , mass-weighted-
 123 diameter D_m , liquid water content LWC, radar reflectivity Ref, and rainfall rate RR) calculated
 124 from the observed RSDs (abscissa) and the fitted gamma distributions (ordinate). The first five
 125 columns are from moments 0, 1 and 2 (m012), moments 1, 2, and 3 (m123), moments 2, 3 and 4
 126 (m234), moments 3, 4 and 5 (m345) and moments 4, 5 and 6 (m456), respectively. Last column,
 127 termed as composite, are obtained by merging the fitted gamma distribution from all five groups
 128 of three consecutive moments such that the best fits of each group are retained (see text for
 129 details). The corresponding moments and the percentage of fits that have correlation
 130 coefficient >0.9 are shown at the top of each column. The color indicates the correlation
 131 coefficient between the fitted gamma distribution and the observed distribution. The black line in
 132 each plot shows where the IRVs calculated from the fitted gamma distributions equals that
 133 calculated from the observed distributions.

134 As shown in Fig. 1, the IRVs calculated from the gamma fitting that uses three lowest moments
135 (m012) have the highest correlation coefficients, and 76% of fits having correlation
136 coefficients >0.9 . This ratio decreases with the increasing order of moments and is only 23% for
137 m456. This is consistent with Smith and Kliche (2005) and Smith et al. (2009), who showed that
138 errors of the estimates of the RSD parameters using MM are usually larger when higher-order
139 moments are employed and suggested using the lowest-order sample moments. However, when
140 evaluated by the calculated IRVs, the MM using the lowest-order moments has the worst
141 performance for most of the calculated IRVs. Figure 1 (panel 1-5) shows that m012 slightly
142 overestimates the total number concentration but severely underestimates mass-weighted-
143 diameter, especially for the large drops. Consequently, radar reflectivity is drastically
144 underestimated in m012. The rainfall rate is also underestimated for rainfall rates $<100 \text{ mm hr}^{-1}$.
145 The LWC from m012 is in good agreement with the observation. As the order of moments
146 increases to 3, 4 and 5 in Fig 1 (panel 16-20)), the calculation of higher moments reaches the
147 optimum. The LWC, reflectivity and rainfall rate all agree well with the observation. Yet the
148 number concentration degrades significantly, even compared to m234. As the order of moments
149 increases to 4, 5 and 6, mass-weighted-diameter is mostly overestimated and so is the LWC.
150 However, this overestimation is offset by the underestimation of number concentration and
151 consequently both reflectivity and rainfall rate showed good agreement with the observation.
152 This highlights the deficiency of evaluating the fits based on only one IRV. For example, Tokay
153 and Short (1996) showed that calculated rainfall rates from fitted distributions are in excellent
154 agreement with rainfall rates obtained from observed RSDs in their Fig. 1. However, the
155 excellent agreement for rainfall rates alone does not guarantee that fitted distributions represent
156 the observed RSDs well. As seen in Fig. 1, lower order moments produce good agreement with
157 the observations for IRVs such as total number concentration, and higher order moments produce
158 good agreement with the observations for IRVs such as reflectivity and rainfall rate. Middle
159 moments, such as m234, show a good balance that generates overall good agreement for the
160 calculated IRVs. Therefore, our approach is to composite the moment fits from all five groups so
161 that best fits of each group can be utilized. The composite is compiled according to the following
162 approach. First, the fits from M456 are selected if their correlation coefficient is >0.9 and the
163 error of total number concentration is $<10 \text{ m}^{-3}$. The same selection criteria are applied to the
164 remaining samples (total samples minus selected samples from M456), but the fits are selected

165 from M345. Next, for the updated remaining samples (total samples minus the selected samples
166 from M456 and minus the selected samples from M345), the fits from M234 are selected if their
167 correlation coefficient is >0.9 . For the new remaining samples (total samples - selected samples
168 from M456 - selected samples from M345 - selected samples from M234), the fits from M123
169 are selected if their correlation coefficient is >0.9 and the error of D_m is $<10\%$. The same
170 screening process is performed for the remaining samples, but the fits are selected from M012.
171 The rest of the fits come from M234. The overall pattern of this composite MM fitting will
172 resemble M234 but the correlation coefficient is expected to improve. As shown in the last
173 column of Fig. 1 (panel 26-30), the calculated IRVs agree well with the observation in general,
174 as in M234. Yet the ratio of fits that have correlation coefficients >0.9 increases from 44% from
175 M234 to 63% in the composite MM. The distributions of the three parameters for the fits with
176 correlation coefficient >0.9 from the composite MM are shown in Fig. 2.

177 **4.2 $N_0 - \lambda$ relationship from fitted gamma distributions**

178 Many studies (e.g. Ulbrich 1983; Zhang et al. 2001, 2003; Brandes et al. 2003, 2004;
179 Vivekanandan et al. 2004; Ulbrich and Atlas 2007) have explored the relationships among the
180 three parameters in the fitted gamma distributions of RSDs. Ulbrich (1983) showed the
181 relationship between N_0 and μ that is deduced from empirical relations between IRVs, such as Z-
182 R relationship, from early studies. Other studies (Zhang et al. 2001, 2003; Brandes et al. 2003,
183 2004; Vivekanandan et al. 2004; Ulbrich and Atlas 2007, Chang et al. 2009) deduced $\mu - \lambda$
184 relationships based on fitted RSDs from different data sources. They show that this relationship
185 provides useful information to describe RSDs and improves the accuracy of the retrieved RSDs
186 from polarimetric radar measurements. The relationship between any pair of parameters can also
187 be used in microphysics parameterization schemes. For a one-moment scheme that uses the
188 gamma distribution for RSDs, when one parameter is prescribed, the second parameter can be
189 calculated from the relationship between this pair, and the third parameter can be diagnosed from
190 the prognostic variable LWC and the two known parameters. For a two-moment scheme, two
191 prognostic variables (e.g. LWC and the number concentration) and the relationship can fully
192 determine the RSDs.



193

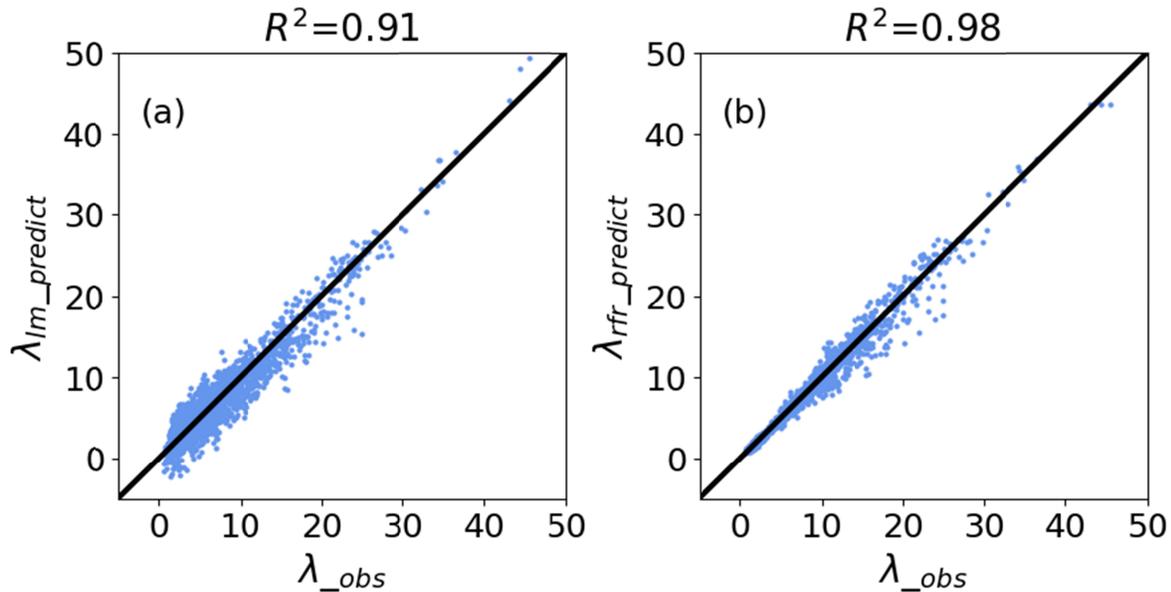
194 Figure 2: Scatter plots of a) Slope λ vs. $\log_{10}N_0$ b) Shape μ vs. $\log_{10}N_0$, and c) Shape μ vs.
 195 Slope λ . The data points are colored by \log_{10} (LWC). The red cross indicates the mode for the
 196 pair of parameters and the corresponding mode values are denoted in the red text at the bottom of
 197 each figure. The black line in each plot indicates the best fitted line and the corresponding
 198 equation is shown above the line. R^2 for the fit is shown below the equation.

199 Despite the $N_0 - \mu$ relation and $\mu - \lambda$ relation identified in the literature, Fig.2 shows that both
 200 the $N_0 - \mu$ (Fig. 2b) distribution and the $\mu - \lambda$ distribution (Fig. 2c) have large scatter, which
 201 makes empirical relationships for these two pairs less representative. In contrast, the scatter for
 202 the $N_0 - \lambda$ distribution (Fig. 2a) is much smaller. The linear fit (the black line in Fig. 2a) captures
 203 92% of variance of the samples. Most of the remaining variance can be further captured by
 204 including the impact of LWC. As seen in Fig. 2a, for a given λ , N_0 increases with LWC. LWC is
 205 a prognostic variable in all bulk microphysics schemes, providing a dynamic relationship that
 206 can be used to improve the performance of the bulk microphysics schemes.

207 **5 Improved $N_0 - \lambda$ relationship using a random forest regression model**

208 Over the last few years, applications of machine learning in weather and climate fields have
 209 grown exponentially (e.g. Gagne II et al. 2017, McGovern et al. 2019). Random Forests
 210 (Breiman 2001) is a simple but powerful machine learning application (Gagne II et al.
 211 2014; Herman and Schumacher 2018). RFs learn an ensemble of decision trees, each of which is

212 trained on a separate bootstrap resampled dataset and using a different subset of the attributes. In
 213 this study, we use two attributes, $\log_{10}N_0$ and LWC, for the RFs input. Output is slope λ . One
 214 common problem in machine learning application is overfitting. In order to objectively evaluate
 215 the performance of a machine learning model, the data are always split into training data and
 216 testing data. We use 70% of data for training and 30% for testing. The performance of both
 217 linear regression and RFs regression is evaluated. As shown in Fig. 3a, R^2 of linear regression
 218 model for testing data is 0.91, similar to that in Figure 2a. R^2 of RF regression model for testing
 219 data is 0.98, 7% increased on R^2 obtained from the linear regression model.



220
 221 Figure 3: Scatter plots of a) Slope λ from composite MM fitting vs. slope λ predicted from linear
 222 regression model (input: $\log_{10}N_0$ from composite MM fitting), and b) Slope λ from composite
 223 MM fitting vs. slope λ predicted from random forests regression model (input: $\log_{10}N_0$ from
 224 composite MM fitting and LWC)

225 **6 Discussion and Conclusions**

226 Raindrop Size Distributions collected by PIP from 17 flights through 6 hurricanes during
 227 hurricane field program in 2020 are used to study gamma fits in hurricanes. The results from
 228 gamma fitting using MM showed that using the lowest orders of moments produces the best fits
 229 when evaluated by the correlation coefficient between the fitted and the observed RSDs. Yet, the
 230 IRVs, especially radar reflectivity and rainfall rate, are significantly underestimated due to the

231 underestimated mass-weighted-diameter. In contrast, radar reflectivity and rainfall rate
232 calculated from high order MM fits are in excellent agreement with the observations. This
233 excellent agreement is the result of overestimated mass-weighted-diameter and underestimated
234 total number concentration, especially for large drops. The correlation coefficient is much lower
235 for high order MM fits. The central moments, M_{234} , shows overall good performance, yet only
236 44% of fits represent the observed RSD well, evaluated by the correlation coefficient between
237 the fitted and the observed RSDs. By compiling composite MM fits to extract best fits in each
238 group, the ratio of fits with correlation coefficient larger than 0.9 increased from 44% to 63%
239 without compromising the calculated IRVs.

240 The distribution of the intercept N_0 and slope λ showed a strong correlation. A linear empirical
241 relationship that is obtained by fitting the entire dataset captures 92% of the variance of the data.
242 The remaining 8% of variance is shown to be closely related to LWC. A RF regression model is
243 able to capture 98% of the variance of the data if inputs include both N_0 and LWC. The
244 distributions of $\mu - N_0$ and $\mu - \lambda$ also show correlation in each pair (Fig. 2b and Fig. 2c) but
245 the scatter is significantly larger than that in $N_0 - \lambda$, making a fitted empirical relationship less
246 representative.

247 The identified $N_0 - \lambda$ relationship obtained from the RF regression model can not only improve
248 the accuracy of the retrieved RSDs from polarimetric radar measurements by providing useful
249 information to describe RSDs but also reduce the uncertainties and increase the accuracy of bulk
250 microphysics parameterization schemes in numerical models. For a one-moment scheme that
251 uses gamma distribution for RSDs, if N_0 is provided, then λ can be calculated from this $N_0 - \lambda$
252 relationship with high confidence and the shape parameter μ can be diagnosed from N_0 , λ , and
253 the prognostic variable LWC. For a two-moment scheme, the $N_0 - \lambda$ relationship along with two
254 prognostic variables, LWC and total number concentration, can fully determine the RSD. The
255 accuracy of the microphysics processes in the bulk scheme can therefore be better formulated
256 and so potentially improves the overall performance of the microphysical parameterization
257 schemes.

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265 **Data Availability Statement**

266 The authors express thanks to NOAA/HRD Data Support for providing the microphysics
267 observation data (<https://www.aoml.noaa.gov/ftp/hrd/data/cloudphysics/2020/>)

268

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