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1     **Dynamical and physical processes leading to tropical cyclone**  
2             **intensification under upper-level trough forcing**

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## ABSTRACT

The rapid intensification of tropical cyclone (TC) Dora (2007, southwest Indian ocean) under upper-level trough forcing is investigated. TC-trough interaction is simulated using a limited-area operational numerical weather prediction model. The interaction between the storm and the trough involves a coupled evolution of vertical wind shear and binary vortex interaction in the horizontal and vertical dimensions. The three-dimensional potential vorticity structure associated with the trough undergoes strong deformation as it approaches the storm. Potential vorticity (PV) is advected toward the tropical cyclone core over a thick layer from 200 to 500 hPa while the TC upper-level flow turns cyclonic from the continuous import of angular momentum.

It is found that vortex intensification first occurs inside the eyewall and results from PV superposition in the thick aforementioned layer. The main pathway to further storm intensification is associated with secondary eyewall formation triggered by external forcing. Eddy angular momentum convergence and eddy PV fluxes are responsible for spinning up an outer eyewall over the entire troposphere, while spin-down is observed within the primary eyewall. The 8-km resolution model is able to reproduce the main features of the eyewall replacement cycle observed for TC Dora. The outer eyewall intensifies further through mean vertical advection under dynamically-forced upward motion. The processes are illustrated and quantified using various diagnostics.

## 1. Introduction

Molinari et al. (1998) closed their study by saying: “A great need exists for systematic study of hurricane-trough interactions with a hierarchy of numerical models that isolate the various mechanisms and for observation of the upper troposphere during such interactions.” It is obvious that the “bad trough/good trough” (Hanley et al. 2001) issue is still nowadays one of the biggest challenges facing forecasters in the context of tropical cyclone (TC) rapid

32 intensification prediction. Will an approaching upper-tropospheric synoptic-scale trough  
33 produce the intensification or decay of a given TC? This is a critical question that the  
34 scientific community needs to address further.

35 Rapid Intensification (RI) is defined for a system beyond the depression stage, when  
36 its maximum sustained surface winds increase by 30 kt ( $15.4 \text{ m s}^{-1}$ ) or more in the course  
37 of 24 hours (Kaplan and DeMaria 2003). The main factors influencing TC intensification  
38 are known to be ocean heat fluxes (Emanuel 1986; Shay et al. 2000; Lin et al. 2005) and  
39 environmental forcing (e.g., Molinari and Vollaro 1989; Hanley et al. 2001; Ritchie and Els-  
40 berry 2007; Davidson et al. 2008; Hendricks et al. 2010). Internal processes and asymmetries  
41 that modify the vortex structure have also been documented to explain TC intensity changes.  
42 They include concentric eyewall cycles (Willoughby et al. 1982), vortex Rossby waves (Mont-  
43 gomery and Kallenbach 1997; Wang 2002), the dynamics of eyewall mesovortices and the  
44 mixing of potential vorticity in the TC core (Schubert et al. 1999; Kossin and Schubert 2001;  
45 Hendricks et al. 2009), as well as vortical hot towers (Hendricks et al. 2004; Montgomery  
46 et al. 2006).

47 Upper-level troughs (or cutoff lows) that interact with tropical cyclones usually result  
48 from the breaking of a planetary Rossby wave train originating from the mid-latitudes that  
49 propagates equatorward into the subtropical latitudes. Such events are associated with an  
50 Ertel potential vorticity (PV) coherent structure at upper levels (Plu et al. 2008), also fre-  
51 quently referred to as a “negative PV anomaly” (Hoskins et al. 1985). As the upper-level  
52 geopotential low (trough) and associated jet-stream (Thorncroft et al. 1993) approach the  
53 tropics, vertical motion and convection may be triggered by stronger upper-level divergence  
54 located in the jet entrance and exit regions. A motivation for the present work is that  
55 synoptic-scale Rossby waves frequently break in the southwest Indian Ocean (Ndarana and  
56 Waugh 2011), providing PV coherent structures that sometimes interact with tropical cy-  
57 clones.

58 Some observational studies (DeMaria et al. 1993; Hanley et al. 2001) and numerical mod-

59 eling of idealized vortices (Montgomery and Farrell 1993) or studies of real storms (Molinari  
60 and Vollaro 1989, 1990; Molinari et al. 1995, 1998; Bosart et al. 2000) have documented  
61 TC-trough interaction. An interaction is generally said to occur when the relative eddy  
62 momentum flux convergence (REFC, Molinari and Vollaro 1989) calculated at 200 hPa over  
63 a 300 – 600-km radial range around the TC center exceeds  $10 \text{ m s}^{-1} \text{ day}^{-1}$  for at least two  
64 consecutive 12-hourly time periods (DeMaria et al. 1993; Hanley et al. 2001). This parameter  
65 acts as a measure of the outflow layer spin-up of the TC as a trough comes into the afore-  
66 mentioned annulus. It also characterizes the strength of a given interaction. Hanley et al.  
67 (2001) described 4 categories of interaction and introduced the “good trough/bad trough”  
68 terminology to sort troughs according to TC intensification. They found that external forc-  
69 ing from troughs is a favorable factor for a minority of RI cases since, statistically, RI is  
70 more likely to occur when there is no interaction between a TC and an upper-level trough.  
71 However, they confirmed that favorable interactions with troughs can occur when a storm  
72 is far from its maximum potential intensity (DeMaria et al. 1993; Bosart et al. 2000).

73 An approaching trough may have opposing effects on the environmental factors that  
74 are crucial for TC intensification. On the one hand, it can induce significant vertical wind  
75 shear which is usually detrimental to TC intensity (Kaplan and DeMaria 2003). Vertical  
76 shear is known to induce wavenumber-1 asymmetries with convection concentrated in the  
77 downshear quadrant, on the left side of the shear vector for TCs in the northern hemisphere  
78 (Frank and Ritchie 2001). On the other hand, an approaching trough may increase upper-  
79 level divergence and enhance outflow poleward of the storm (Ritchie and Elsberry 2007), as  
80 well as advect cyclonic Potential Vorticity (PV) toward the TC core (Molinari et al. 1995,  
81 1998; Bosart et al. 2000) which is beneficial below the level of the outflow anticyclone (“PV  
82 superposition principle”, Molinari et al. 1998).

83 So far, the proposed mechanisms for the intensification of a TC interacting with an  
84 upper tropospheric trough are: the import of cyclonic eddy angular momentum at upper  
85 levels (Molinari and Vollaro 1989, 1990), surface spin-up resulting from enhanced conver-

86 gence and vortex stretching in the low static stability inner core (Montgomery and Far-  
87 rell 1993), a constructive interference of two cyclonic PV anomalies (Molinari et al. 1995,  
88 1998), and the excitation of an evaporation-wind feedback (“WISHE mode”) by the en-  
89 hanced surface circulation associated with the upper PV anomaly (Molinari et al. 1995).  
90 Under strong vertical wind shear conditions, the possible downshear reformation of a TC  
91 caused by the approaching-trough-induced vertical motion has also been described (Molinari  
92 et al. 2004). Observational studies of rapid intensification in vertical wind shear exceeding  
93  $10 \text{ m s}^{-1}$  (Shelton and Molinari 2009; Molinari and Vollaro 2010; Nguyen and Molinari 2012)  
94 related strongly asymmetric structures with intense convection (vortical hot towers) devel-  
95 oping downshear in the high-inertial-stability region inside the radius of maximum wind.  
96 RI was suggested to result from enhanced diabatic heating in that region of highly efficient  
97 kinetic energy production, following the theories of Nolan et al. (2007) and Vigh and Schu-  
98 bert (2009). Dry air intrusion from the lower stratosphere or the triggering of convection by  
99 upward velocities associated with PV anomalies (Hoskins et al. 1985) in the vicinity of the  
100 inner-core are other interesting processes that might play a role in TC-trough interactions.

101 Molinari and Vollaro (1989, 1990) also hypothesized that an outer wind maximum could  
102 develop through mid-level spin-up forcing associated with eddy momentum source in the  
103 outflow layer, but did not demonstrate it. This assumption was supported by Nong and  
104 Emanuel (2003) using an axisymmetric non-hydrostatic model forced by idealized external  
105 eddy angular momentum fluxes. The disturbance triggered an “eyewall replacement cycle”  
106 (ERC, Willoughby et al. 1982) and the surface circulation amplified through the WISHE  
107 mechanism. An ERC was also observed using a simple axisymmetric model, provided that  
108 the lower troposphere was sufficiently moist. More recently, improved resolution and full-  
109 physics TC simulations have resulted in a renewed interest for understanding Secondary  
110 Eyewall Formation (SEF) and ERCs that affect hurricane structure and therefore intensity  
111 (Abarca and Corbosiero 2011; Sitkowski et al. 2012; Rozoff et al. 2012). Results indicated  
112 that any forcing mechanism that produces sufficiently strong and sustained latent heating

113 outside of the primary eyewall will promote SEF and that an increased radial extension of  
114 strong winds makes the vortex spin-up associated with latent heating more efficient (Rozoff  
115 et al. 2012). The role of vortex Rossby waves (VRWs) in the dynamics of SEF has also been  
116 emphasized (Qiu et al. 2010; Abarca and Corbosiero 2011; Corbosiero et al. 2012). Recent  
117 simulations of the eyewall replacement cycle of Hurricane Wilma (2005) with the WRF high-  
118 resolution model indicated that VRW propagation is sensitive to horizontal grid resolution  
119 and that a minimum 2-km horizontal grid spacing is required to forecast secondary eyewall  
120 formation with a full-physics model (Gadoury and Yau 2012).

121 No conclusion was reached toward a unified theory or conceptual model for TC-trough  
122 interaction, which could provide the forecasters with suitable signatures to follow in the  
123 various fields produced by a numerical weather prediction system. Also, the various possible  
124 pathways to intensification associated with trough forcing may not have all been solved  
125 yet or demonstrated to occur for a real storm. With 2.5° analyses to study the life cycle of  
126 Hurricane Elena (1985), Molinari and Vollaro (1989, 1990) could only speculate on the actual  
127 process by which external forcing might have excited internal processes within 200 km of the  
128 hurricane core. In addition, the modeling results of Nong and Emanuel (2003) are based  
129 on an idealized framework. This underscores the need for a three-dimensional mesoscale  
130 numerical modeling of a real TC-trough interaction case to confirm and extend the hypothesis  
131 of Molinari and Vollaro (1989) and the results of Nong and Emanuel (2003). The present  
132 paper is the first attempt of that kind and also the first article to document and to analyze  
133 a case of TC rapid intensification under upper-level trough forcing in the southwest Indian  
134 Ocean. An operational 8-km resolution hydrostatic full-physics model will allow diagnoses  
135 of trough impacts in the TC core. However, investigations of internal core rearrangements  
136 due to vortex Rossby waves cannot be resolved with this model. The European Center for  
137 Medium-Range Weather Forecasts (ECMWF) 25-km resolution analyses will also provide  
138 improved resolution compared to previous large-scale studies.

139 In section 2, TC Dora (2007) is presented along with the numerical tools used for this

140 study. Sections 3 and 4 both quantify the TC-trough interaction: section 3 uses a PV  
141 approach and analyzes the synoptic dynamical interaction of the two cyclonic circulations  
142 (associated with the TC and the approaching trough); while section 4 uses eddy-mean flow  
143 diagnostics to further understand the pathway to TC intensification under such upper-level  
144 forcing. A summary and discussion follow in section 5.

## 145 2. Data and tools

### 146 a. *Tropical cyclone Dora*

147 TC Dora developed from a low pressure system that was spawned on the equatorial side  
148 of the monsoon trough in the southwest Indian Ocean on 26 January 2007. The storm rapidly  
149 intensified two days after it was named. The pressure fell from 975 hPa at 1800 UTC 31  
150 January to a minimum of 925 hPa at 0000 UTC 3 February 2007 (Fig. 1, solid curve). During  
151 this 54-h interval, the storm motion recurved from southeastward to southwestward with an  
152 average speed of  $2.5 \text{ m s}^{-1}$  while the system underwent distinct periods of intensity change  
153 (Fig. 1, dotted curve): (S1) from 1800 UTC 31 January to 1800 UTC 01 February, 10-min  
154 maximum winds increased from  $30.9 \text{ m s}^{-1}$  (60 kt, severe tropical storm stage) to  $43.7 \text{ m s}^{-1}$   
155 (85 kt); (S2) from 1800 UTC 01 February to 0600 UTC 02 February, the intensification was  
156 temporarily slowed by an ERC (Fig. 1) clearly identified on passive microwave imagery (not  
157 shown<sup>1</sup>); (S3) from 0600 UTC 02 February to 0000 UTC 03 February, winds peaked from  
158  $41.2 \text{ m s}^{-1}$  (80 kt) to  $54 \text{ m s}^{-1}$  (105 kt, intense tropical cyclone stage). The 30-kt per 24  
159 h threshold characterizing rapid intensifications in the Atlantic and eastern North Pacific  
160 basins (Kaplan and DeMaria 2003; Kaplan et al. 2010) was met (or nearly met) during the  
161 two periods S1 and S3.

162 During the first intensification stage (S1), an upper-level PV coherent structure originat-

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<sup>1</sup>available from the Naval Research Laboratory ([http://www.nrlmry.navy.mil/tc\\\_pages/tc\\\_home.html](http://www.nrlmry.navy.mil/tc\_pages/tc\_home.html))



163 ing from a Rossby wave breaking event was starting to interact closely with TC Dora (Fig. 2,  
164 upper panels). ECMWF operational analyses at 25-km resolution indicate that the cyclonic  
165 PV anomaly (negative values in the southern hemisphere) was initially located in the south-  
166 ern side of Dora, down to the 330 K isentropic level (about 500 hPa). The PV anomaly was  
167 subsequently pulled toward and merged with the high cyclonic PV values associated with  
168 the TC circulation at mid levels. The ambient southwesterly vertical wind shear rapidly  
169 increased on 31 January as the trough got closer, reaching 20 to 30 kt ( $10$  to  $15$   $\text{m s}^{-1}$ ) early  
170 on 01 February (not shown<sup>2</sup>). As a result, a cirrus bow formed in the southwestern side of  
171 the storm exposed to the environmental upper flow (satellite images, not shown).

172 Oceanic conditions were hardly conducive for intensification. After 1200 UTC 29 January,  
173 ocean heat content estimates along the storm track<sup>3</sup> were below the  $50$   $\text{kJ cm}^{-2}$  threshold  
174 that has been shown to promote high rates of intensity change (Shay et al. 2000) for tropical  
175 cyclones in favorable environmental conditions (i.e., vertical wind shear less than 15 kt,  
176 mid-level relative humidity greater than 50% and SSTs warmer than  $28.5^\circ$  C). Values even  
177 decreased below  $35$   $\text{kJ cm}^{-2}$  after 1200 UTC 1 February. Sea surface temperatures, almost  
178 constant along the storm path, were colder than  $28.5^\circ$  C during RI and not warm enough to  
179 explain the sudden intensification of the storm.

180 This makes Dora an interesting case to study rapid intensification under “good trough”  
181 forcing. It is worth noting that the stratospheric intrusion was associated with a large zone of  
182 dry air that gradually encircled the western side of Dora, according to the Meteosat-7 water-  
183 vapor channel imagery (Fig. 3a). Unlike Hurricane Claudette (2003) (Shelton and Molinari  
184 2009), Dora was able to remain at hurricane strength despite the detrimental influence of  
185 dry air. Also, an Aeroclipper, a low-level balloon-borne instrumented platform (Duvel et al.  
186 2008), measured the radius of maximum wind (30 km) at 2200 UTC 31 January 2007.

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<sup>2</sup>provided by the Cooperative Institute for Meteorological Satellite Studies (CIMSS, University of Wisconsin) at <http://tropic.ssec.wisc.edu/tropic.php>

<sup>3</sup>estimates are provided by the Regional and Mesoscale Meteorology Branch of NOAA/NESDIS at [http://rammb.cira.colostate.edu/products/tc\\_realtime/storm.asp?storm\\_identifier=WP152008](http://rammb.cira.colostate.edu/products/tc_realtime/storm.asp?storm_identifier=WP152008)

188 A 60-h forecast starting at 0600 UTC 31 January 2007 (12 hours prior to the onset of RI)  
189 has been carried out using the limited-area model Aladin-Reunion in its 2011 operational  
190 version (hydrostatic, 70 vertical levels, 8-km horizontal resolution, Montrotty et al. 2008).  
191 The domain extends from  $0^\circ$  to  $32^\circ\text{S}$ , and from  $31.5^\circ$  to  $88.5^\circ\text{E}$ , which is much larger than  
192 the region displayed in Fig. 2. The initial and lateral boundary conditions are provided  
193 by the ECMWF Integrated Forecast System (IFS) global analyses. In order to obtain a  
194 realistic vortex structure and position at the initial time of the forecast, the Aladin’s 3D-Var  
195 assimilation of cyclone wind bogus (Montrotty et al. 2008) is employed. Pseudo-observations  
196 are extracted at different radii from a three-dimensional vortex constructed following Holland  
197 (1980)’s analytical wind profile using intensity and structure estimates from the best track  
198 data. Four radii (30, 50, 100, and 200 km) are used in order to obtain a good representation  
199 of the inner storm structure. These pseudo-observations are assimilated at 0600 UTC 31  
200 January 2007 in the Aladin 6-h forecast based on an interpolation of the 25-km resolution  
201 ECMWF analysis at 0000 UTC 31 January 2007.

202 The simulation adequately captures the TC-trough interaction in terms of Ertel’s po-  
203 tential vorticity fields when compared to 6-hourly IFS analyses (Fig. 2). Inter-comparison  
204 of real and synthetic satellite images in the water-vapor channel (Figs. 3a,b) confirms that  
205 the Aladin model is able to reproduce a key aspect of the interaction, that is the tongue of  
206 dry air that gradually encircles the western side of TC Dora in association with the strato-  
207 spheric intrusion. The ability of the model to properly resolve convection is assessed through  
208 comparisons with the TRMM 3-hourly TMPA-3B42 product with horizontal resolution of  
209  $0.25^\circ \times 0.25^\circ$  and maximum precipitation rate of  $30 \text{ mm h}^{-1}$  (Huffman and Coauthors 2007).  
210 Rain rates are similar with maxima localized in the same quadrant of the storm (Figs. 3c,d).  
211 Overall, the model correctly captures different aspects of Dora’s development and interaction.

212 Moreover, the evolution of the minimum surface pressure in the model resembles the  
213 intensity trend from the best track (Fig. 4), albeit a positive 15-hPa bias from the initial

214 time. The model is skillful in predicting the two periods of rapid intensification with a 12-h  
215 interval during which winds do not intensify much. Prediction of track is successful with  
216 errors less than 100 km during the 60-h forecast, which is quite competitive by international  
217 standards (Franklin 2008). Aladin-Reunion is thus believed to provide reliable information  
218 on the response of the vortex to the external forcing.

219 *c. Data processing*

220 Various diagnostic quantities are considered, either on isobaric or isentropic surfaces, to  
221 examine the interaction between the TC and the trough, and elucidate the dynamical and  
222 thermodynamical effects that are responsible for Dora’s rapid intensification in relation with  
223 upper-level forcing. A cylindrical framework centered on the TC is chosen to highlight the  
224 asymmetric effects of the trough on the TC symmetric circulation; azimuthal means and  
225 deviations from those means are computed. Horizontal bilinear interpolation from a uniform  
226 (latitude, longitude) grid to cylindrical coordinates (radius  $r$ , azimuth  $\lambda$ ) is performed with  
227 radial resolution of 10 km and azimuthal resolution of  $1^\circ$ . Azimuth  $0^\circ$  is north,  $90^\circ$  east,  
228  $180^\circ$  south,  $270^\circ$  west. Radial and tangential velocity components are  $u$  and  $v$ , respectively.  
229 Since TC Dora occurred in the Southern Hemisphere, cyclonic tangential winds, as well as  
230 cyclonic relative or potential vorticity, are negative.

231 The vortex center is defined as the local extremum in the relative vorticity field at 800  
232 hPa (or 310 K when isentropic coordinates are used). The use of mass-weighted average of  
233 the vorticity centers at different levels, local minimum in the mass field, or local maximum  
234 in the wind speed, give consistent results. The use of  $0.1^\circ$ -resolution outputs prevented any  
235 mislocation of the TC center due to (a) possible mesovortices with relatively high vorticity in  
236 the eyewall region or (b) high vorticity associated with cyclonic shear away from the storm  
237 center. For diagnostics computed in a storm-relative flow, the vortex motion is subtracted  
238 from the absolute wind at all grid points prior to cylindrical conversion.

### 239 3. Synoptic interaction with PV advection

#### 240 a. Amplitude and duration of the interaction

241 There are different but complementary ways to characterize the interaction of Dora with  
242 the approaching trough, both in magnitude and duration. First, the 20-48-h period during  
243 which the relative eddy momentum flux convergence (REFC) magnitude at 200 hPa ex-  
244 ceeds  $10 \text{ m s}^{-1} \text{ day}^{-1}$  (Fig. 5) defines the duration of the interaction. Values greater than  
245  $20 \text{ m s}^{-1} \text{ day}^{-1}$  between 38 and 46 h indicate that the trough is almost entirely contained  
246 in the 300-600-km radial range and that convergence of angular momentum by azimuthal  
247 eddies induce strong cyclonic spin-up in the TC's outflow layer. When the trough penetrates  
248 inside 300 km, its contribution to the calculated REFC decreases by definition. Values reach  
249  $32.5 \text{ m s}^{-1} \text{ day}^{-1}$ , compared to  $26.5 \text{ m s}^{-1} \text{ day}^{-1}$  found for Hurricane Elena at the 650-km  
250 radius (Molinari and Vollaro 1989).

251 An interesting aspect of the interaction is related to the azimuthal circulation at upper  
252 levels. As the trough enters the domain and moves toward the TC, a cyclonic circulation  
253 builds over the whole domain at 200 hPa after 27 h (Fig. 6a, shaded contours). Between  
254 26 and 33 h, noticeably strong tangential winds are found about 600 km from the storm  
255 center on average (Fig. 6a, black solid line). They materialize the trough and its associated  
256 jet streak located in the southeastern quadrant of the storm. The anticyclonic circulation  
257 initially present aloft the storm (Fig. 6a, dotted contours) decreases in response to eddy  
258 cyclonic spin-up exceeding  $10 \text{ m s}^{-1} \text{ day}^{-1}$  ( $-\text{REFC}$ ) after 20 h (Fig. 5). The TC circulation  
259 and associated convection increase and induce an outflow at 200 hPa after about 37 h of  
260 simulation (e.g., Figs. 6b and 7e). An anticyclonic circulation with a more pronounced  
261 outflow can be seen higher, at 100 hPa (not shown).

262 Secondly, the vertical wind shear in the 850-200-hPa layer is closely tied to the evolution  
263 of the upper trough as it interacts with the storm. The shear is averaged over the 200-800-km  
264 annulus range to virtually extract the storm vortex (Kaplan and DeMaria 2003). Figure 5

265 indicates that Dora is constrained by a strong southwesterly environmental wind shear that  
266 peaks at  $12 \text{ m s}^{-1}$  around 24 h (solid curve). The weakening of the anticyclonic circulation  
267 at upper levels may explain why the environmental shear decreases beyond 24 hours. Shear  
268 vectors averaged over the southeastern quadrant of the storm show the trough progression  
269 with a shift in shear direction (from southwesterly to northwesterly) at about 30 h (Fig. 5,  
270 arrows). The direction, magnitude and duration of the simulated shear are consistent with  
271 the southwesterly deep-layer wind shear of  $10\text{-}15 \text{ m s}^{-1}$  deduced from satellite images early  
272 on 01 February (at about 24 h in the simulation). The shear strength largely exceeds the  
273  $4.9 \text{ m s}^{-1}$  climatological threshold for RI determined by Kaplan and DeMaria (2003) for  
274 tropical cyclones in the Atlantic basin (Fig. 5). Dora therefore joins the other few cases  
275 documented in the literature that rapidly intensified even though ambient vertical wind  
276 shear was above  $10 \text{ m s}^{-1}$ .

277 *b. Trough-induced asymmetric secondary circulation*

278 A three-dimensional description of inflow and outflow in the tropical cyclone is provided  
279 by Figs. 7, 8, and 9. From 18 to 40 h, the approaching trough induces a strong southwesterly  
280 cross-storm flow at 200 hPa (Fig. 7, arrows). There is an inflow through the southwest  
281 quadrant from  $150$  to  $270^\circ$  (Fig. 8, arrows) and an outflow in the east-southeastern quadrant  
282 out to 1200 km (Fig. 9, arrows). Note that unlike previous studies, the asymmetric radial  
283 circulation across the storm affects a deep layer and is found down to 500 hPa (Figs. 8 and  
284 9). The strong northwesterly winds driven by the upper jet-stream located in the northern  
285 periphery of the trough (Figs. 7a,c) facilitate the poleward evacuation of Dora's outflow.  
286 After 24 h, the outflow exceeds  $20 \text{ m s}^{-1}$  in the downshear right quadrant (at southeast)  
287 near the 500-km radius. Upper-level divergence over the storm region consequently increases  
288 (not shown), which contributes in outbalancing the detrimental effect of the large ambient  
289 shear.

290 When the trough is at the closest distance from the TC, during the 30-37 h interval

291 (Fig. 7), unusual mean radial inflow can be found out to 250 km from the storm center at  
292 200 hPa (Fig. 6b, shaded contours). After 37 h, further inflow from the trough is prevented  
293 by enhanced upward motion in the TC core (Fig. 9b) that induces strong divergent storm  
294 flow at 200 hPa (Fig. 6b, dotted contours). As expected (Frank and Ritchie 2001) for the  
295 Southern hemisphere where downshear right is equivalent to downshear left in the Northern  
296 hemisphere, large areas of upward motion (and associated convection) are found in the  
297 downshear right quadrant of the storm; they are further enhanced under the left entrance  
298 region of the jet-stream (Fig. 9). Conversely, subsidence is found in the southern quadrant  
299 (170-230°, not shown).

300 *c. Evidence and quantification of PV superposition*

301 The trough-induced flow enables PV advection from the trough directly into the TC core  
302 within a deep tropospheric layer. PV advection results from two tropopause folds. On the  
303 northern periphery of the main trough, a first thin and shallow stratospheric intrusion of  
304 negative (cyclonic) PV starts penetrating into the troposphere at 8 h (not shown). At 24 h,  
305 it can be seen as a spiral-like filament (Wirth et al. 1997) on the 200-hPa PV map (Fig. 7a,  
306 label “A”). Advection toward the TC core first occurs between 26 and 33 h at 300 hPa  
307 (Figs. 8a,b), then between 32 and 37 h at 200 hPa (Fig. 7c). Negative PV is also advected  
308 downshear away from the TC core (Fig. 7).

309 The second and major PV advection is associated with the main tropopause fold and  
310 extends down to 500 hPa (Figs. 7, 8, label “B”). At 24 h, the trough or cutoff low core is  
311 located about 1000 km south-southeast of the TC center (Figs. 7a,b). While the strongest  
312 PV values associated with B do not progress much further toward the TC core at upper levels  
313 (Fig. 7a vs Fig. 7c), the folding below reaches the storm center (Fig. 7b vs 7d). Inspection  
314 of azimuthal cross sections allows a better understanding of the timing and localization of  
315 the PV coherent structure associated with the trough: It is highly tilted toward the equator  
316 (Figs. 8b,d). A PV anomaly of smaller size and amplitude detaches from the main trough

317 at mid levels and is advected toward the storm, feeding its core with cyclonic PV between  
 318 33 and 40 h (Figs. 8c,d).

319 The interactions between the trough and the storm PV structures can be quantified by a  
 320 PV budget in a cylinder that bounds the tropical cyclone. The lateral surface of the cylinder  
 321 is at a fixed radius from the TC center and the upper and lower surfaces are isentropic levels,  
 322 which allows us to write the conservative PV budget equation in isentropic and cylindrical  
 323 coordinates (Haynes and McIntyre 1987):

$$\frac{\partial(\zeta_{a\theta})}{\partial t} + \nabla \cdot \mathbf{J} = 0 \quad (1)$$

324 where  $\nabla$  is the divergence operator in cylindrical and isentropic coordinates;  $\theta$  is the poten-  
 325 tial temperature;  $\zeta_{a\theta} = f + \zeta_{\theta}$  is the absolute “isentropic vorticity” (Rossby 1940), which  
 326 corresponds to the Ertel PV per unit of volume;  $f$  is the Coriolis parameter.

327 Using Eq. (1) and Stokes’s divergence theorem, the volume-integrated PV tendency re-  
 328 duces to the surface integral of the flux terms normal to the volume of interest. The flux of  
 329 PV ( $\mathbf{J}$ ) has three components (Haynes and McIntyre 1987):

$$\mathbf{J} = (u, v, 0) \zeta_{a\theta} + \mathbf{J}_{\dot{\theta}} + \mathbf{J}_{\mathbf{F}} \quad (2)$$

330 The first term on the right-hand side of Eq. (2) is a purely advective flux (horizontal advection  
 331 and convergence along isentropic surfaces) while the last two contributions are from the local  
 332 rate of diabatic heating ( $\mathbf{J}_{\dot{\theta}}$ ) and from the local frictional force ( $\mathbf{J}_{\mathbf{F}}$ ) per unit mass. Under  
 333 adiabatic and frictionless approximations ( $\mathbf{J}_{\dot{\theta}}$  and  $\mathbf{J}_{\mathbf{F}}$  are both zero), equations 1 and 2 show  
 334 that PV is materially conserved along isentropic surfaces.

335 Figure 10 shows the radial flux  $u \zeta_{a\theta}$  across a 300-km-radius cylinder bounded by two  
 336 isentropes at 305 K and 350 K (grey solid line). Low-level 305 K is chosen high enough to  
 337 minimize the influence of surface friction. The advective flux is integrated over the cylinder’s  
 338 lateral surface (the base and top of the cylinder do not contribute) and is divided into 4  
 339 components to separate (a) the negative (cyclonic) PV anomalies that are brought into the  
 340 cylinder (“NI” curve), (b) the positive PV anomalies that are removed (“PO” curve), which

341 both contribute to a negative PV tendency and a spin-up of the vortex, as well as (c) the  
 342 positive PV anomalies that are brought into the cylinder (“PI” curve), and (d) the negative  
 343 PV anomalies that are removed (“NO” curve), which both contribute to a positive PV  
 344 tendency and a spin-down of the vortex. The volume-integrated PV tendency is calculated  
 345 using centered differences on the model 1-h-outputs (black solid line).  $\mathbf{J}_F$  and  $\mathbf{J}_{\dot{\Theta}}$  are not  
 346 easy to compute directly; these terms can however be diagnosed as the difference between  
 347 the PV tendency and the sum of the advective terms.

348 Fluxes of negative PV are prevalent in the budget while positive PV fluxes (“PI” and  
 349 “PO” curves) may be neglected (Fig. 10). The first 12-h PV budget can be considered as  
 350 model spin-up. Afterwards, negative PV values are advected into the 300-km radius cylinder  
 351 with a flux that increases between 18 and 36 hours (“NI” curve). A budget conducted in  
 352 the 305-335-K layer (not shown) indicates that levels above 335 K are primarily responsible  
 353 for this “NI” trend, with contributions that vary with time depending on the vertical level.  
 354 This is consistent with cyclonic PV advection from south-southeast to west (Figs. 7, 8)  
 355 in relation with the trough approaching the TC center. However, negative (cyclonic) PV  
 356 is also exported (“NO” line), mostly due to outward advection of the TC vorticity in the  
 357 direction of the vertical shear vector (Fig. 7). The fact that levels below 335 K contribute  
 358 to that PV export (not shown) suggests possible outward-propagating vortex Rossby waves  
 359 during TC intensification. Such waves theoretically propagate radially downgradient along  
 360 the azimuthally-mean PV distribution of the inner-core vortex (Montgomery and Kallenbach  
 361 1997).

362 The two major fluxes evolve quite symmetrically (“NI” and “NO” curves) but the total  
 363 lateral PV flux and the PV tendency overall decrease (Fig. 10). A strong response of the  
 364 PV tendency is apparent between 38 and 40 h, two hours after inward negative PV flux  
 365 maximum. The clear difference between the PV tendency and the total lateral PV flux prior  
 366 to 42 h suggests the presence of nonconservative processes (the  $\nabla \cdot \mathbf{J}_{\dot{\Theta}}$  and  $\nabla \cdot \mathbf{J}_F$  fluxes)  
 367 resulting from diabatic heating and from vertical eddy transport of heat and momentum by



368 unresolved convection (as suggested by Molinari et al. 1998, based on previous studies). The  
369 presence of convective processes is consistent with the trough-induced strong upward motion  
370 depicted until 38 h in the downshear quadrant of the storm at such radii (Fig. 9).

371 *d. Summary of the interaction*

372 It has been shown that the trough approaching TC Dora gradually deforms and tilts  
373 toward the equator at mid levels, allowing cyclonic PV advection toward the TC core in the  
374 500-200 hPa layer, mostly between 24 and 40 h. The TC upper-level anticyclone turns into  
375 a cyclonic circulation, and strong upward motion occurs before 42 h outside of the radius of  
376 maximum wind.

377 Tilting of the coherent structure toward the equator at mid levels is beneficial to the  
378 interaction for several reasons. First, the two cyclonic circulations get closer at mid levels  
379 where they have equivalent scale and strength (they almost merge at 36 hours, Fig. 7d), al-  
380 lowing direct advection of comparable PV values from the trough into the TC core (Fig. 8d).  
381 Secondly, the main trough and associated jet stay at a distance greater than 500 km from  
382 the TC core at upper levels, so that the interaction benefits from large upper-level diver-  
383 gence with fewer vertical wind shear at upper levels, where it has been shown to be the  
384 most detrimental (Wang 2012). Once the TC cyclonic circulation and associated convection  
385 strengthens, the induced outflow at upper levels prevents further PV advection toward the  
386 center (cyclonic PV values spiral at the outskirts of the TC core, Fig. 7e) and the trough  
387 goes away rapidly. Though such “PV superposition” was also depicted for Hurricane Elena  
388 and Tropical Storm Danny (1985) with large-scale operational analyses (Molinari et al. 1995,  
389 1998), these processes were confined in the upper troposphere. The specificity of Dora is the  
390 downward extension of similar phenomena down to 500-hPa level. A question follows: How  
391 can such environmental PV distribution influence the TC circulation and lead to intensifi-  
392 cation?

## 4. A pathway to intensification under upper-level forcing

### *a. Horizontal and vertical eddy transport of heat and momentum*

A trough wave activity can be viewed as large-scale eddy transport of angular momentum, heat (Molinari and Vollaro 1989, 1990) and potential vorticity (Molinari et al. 1995, 1998) that may vary in connection with the previously discussed PV structure evolution. Its impact on the mean tangential flow acceleration can be assessed with Eliassen-Palm (E-P) fluxes (Hartmann et al. 1984).

E-P fluxes are computed in a storm-following cylindrical and isentropic framework for an adiabatic frictionless f-plane, following Molinari et al. (1995). The E-P flux vector and its divergence are given respectively by:

$$\mathbf{F}_L \equiv [-r \overline{(\sigma u_L)' v_L'}, \overline{p' \Psi'_\lambda}] \quad (3)$$

$$\nabla \cdot \mathbf{F}_L = -r^{-1} (r^2 \overline{(\sigma u_L)' v_L'})_r + \overline{(p' \Psi'_\lambda)_\theta} \quad (4)$$

where subscripts L indicate storm-relative flow; all other subscripts represent derivatives; u and v are the radial and tangential velocity components respectively,  $\Psi$  is the Montgomery streamfunction ( $\Psi = \Phi + C_p T$  where  $\Phi$  is the geopotential),  $\sigma \equiv -p_\theta$  is the pseudo-density; an overbar represents azimuthal average; a prime indicates a deviation from the azimuthal average;  $\nabla$  is the two-dimensional (radial and vertical) derivative operator.

The first (radial) component of the E-P vector, noted  $\mathbf{F}_r$ , is the angular momentum flux, the second (vertical) vector, noted  $\mathbf{F}_v$ , is the eddy heat flux. For E-P flux diagrams in the Southern Hemisphere, an inward-pointing vector ( $\mathbf{F}_r < 0$ ) represents an inward eddy flux of cyclonic angular momentum. A downward-pointing vector ( $\mathbf{F}_v < 0$ ) represents a source of eddy heat flux. The E-P flux divergence  $\nabla \cdot \mathbf{F}_L$  (scalar contours) summarizes the impact of both eddy angular momentum and eddy heat fluxes on the mean (pseudo-density-weighted) relative angular momentum (equation (1) of Molinari et al. 1995). In short, the mean

417 azimuthal flow adjusts to the total eddy forcing. When  $\nabla \cdot \mathbf{F}_L < 0$  (E-P flux convergence),  
418 eddy activity is increasing cyclonic mean angular momentum, which spins up a cyclonic  
419 circulation but spins down an anticyclonic circulation with mean-to-eddy transfer of energy  
420 (Molinari et al. 1995). On the contrary, E-P flux divergence ( $\nabla \cdot \mathbf{F}_L > 0$ ) is associated with  
421 the spin-up of a pre-existent upper-level anticyclonic circulation.

422 E-P flux diagrams integrated over 5-h intervals clearly show the progression of the trough  
423 and its impact on Dora’s circulation (Fig. 11). The dynamic tropopause, defined as the  
424  $-1.5$  PVU surface, is generally located at 150 hPa (about 360 K). At the beginning of the  
425 simulation (Fig. 11a), the trough imports cyclonic eddy angular momentum (inward arrows  
426 with convergence) over a thick layer (315-370 K) outside the 700-km radius. Upward eddy  
427 heat fluxes located just below the trough (from 325 K to 335 K) are associated with residual  
428 baroclinic instability within the synoptic wave from the mid-latitudes. Ahead of the trough,  
429 acceleration of the mean outflow anticyclone is visible (dotted contours) with outward fluxes  
430 of angular momentum between 330 K and 365 K. Fluxes penetrate inside 400 km after 24  
431 h (Fig. 11b), as Dora and the trough begin to interact (section 3). They produce increasing  
432 cyclonic mean tangential wind and can explain the decay of the mean outflow anticyclone.  
433 Although the trough signature has suffered vertical splitting due to tropopause folding and  
434 PV stretching at mid levels (section 3), inward fluxes of angular momentum are still observed  
435 down to 320 K. A strip of convergence can be seen at the leading edge of the main convergence  
436 zone; it is tilted toward the trough and contributes to angular momentum spin-up over the  
437 radial range 250–350 km. It is part of the trough forcing and is materialized by an outward-  
438 tilted asymmetric convective band located downshear, associated with the strong upward  
439 motion previously depicted in the downshear right quadrant of the storm (Fig. 9).

440 After 36 h (Fig. 11c), the TC core cyclonic circulation has extended to upper levels as  
441 a consequence of the continuous import of cyclonic angular momentum after 24 h. Wave  
442 activity is now located within 100-km radius of the storm center at upper levels where the  
443 TC inertial stability is the lowest. Eddy heat fluxes remain small at all levels, suggesting

444 that barotropic processes prevail. Between 36 and 41 h, cyclonic forcing is found outside the  
445 eyewall at 100 to 200-km radii (Fig. 11c, shaded strip), with weakening inside an averaged  
446 100-km radius (dotted contours) – note that from 36 to 39 h, the weakening occurs near  
447 50-km radius. Cyclonic spin-up extends throughout the entire troposphere, from the trough  
448 down to the lowest level, which differs from the results of previous studies (e.g., Molinari  
449 et al. 1995). The trough leads to the intensification of the outer part of the storm, while  
450 the inner eyewall is forced to spin down. In addition, radius-time series of eddy PV fluxes  
451 (right-hand side term of Eq. (2b) in Molinari et al. 1995) confirm the role of eddy vorticity  
452 fluxes in increasing the tangential wind speed at the 335-K and 355-K theta levels (not  
453 shown) during the 36-42-h period, in connection with maximum PV tendency and lateral  
454 PV flux (Fig. 10).

455 After 44 h (Fig. 11d), trough interaction is over in terms of wave forcing. The strongest  
456 eddy activity is propagating outward and lessens as the distance between Dora and the  
457 trough increases. The cyclonic circulation increases inside 100 km for a few more hours, in  
458 association with main eyewall intensification.

#### 459 *b. Eyewall replacement cycle*

460 E-P flux analysis suggests that, by intensifying eddy momentum flux convergence and  
461 eddy PV fluxes in the vicinity of the storm, the trough might have forced an eyewall re-  
462 placement cycle between 36 and 41 h. The evolution of the radius of maximum winds at  
463 850 hPa (not shown) and aloft (Figs. 12a,b) confirms the signature of an ERC. A first inten-  
464 sification period occurs between 33 and 36 h (Figs. 4, 12a) while the inner eyewall contracts  
465 from about 50 to 40 km at 850 hPa. At 36 h, the azimuthal-mean tangential wind shows  
466 an inner maximum over a deep layer with mean upward velocities starting to tilt outward  
467 under upper-level trough forcing (Fig. 13a). The outward expansion of the wind field that is  
468 visible in Figs. 12a and 13a should increase the efficiency of tangential wind spin-up in any  
469 outer region with latent heating (Rozoff et al. 2012).

470 A secondary wind maximum then develops in the low to mid troposphere between 36  
471 and 40 h around 80 km (Fig. 13b). At 850 hPa, contraction of this outer eyewall from 80 to  
472 50 km between 41 and 44 h is associated with a rapid intensification of the maximum mean  
473 tangential wind (Fig. 4). Symmetric intensification associated with eyewall contraction is  
474 found throughout the troposphere up to 300 hPa (e.g., Fig. 12a at 700 hPa). Between the  
475 occurrences of the primary inner wind maximum and the secondary outer wind maximum  
476 (from 36 to 41 h), the maximum mean wind decreases or stagnates (Figs. 4 and 12a). Such  
477 a signature is characteristic of an eyewall replacement cycle (ERC, Shapiro and Willoughby  
478 1982; Willoughby et al. 1982). It is correlated with an outward shift of the maximum upward  
479 velocities and associated convection (Fig. 12b): At 36 h, a primary region of strong upward  
480 motion is visible inside of the primary eyewall, while a second convective region is intensifying  
481 100 to 150 km away from the vortex center. Afterwards, subsidence appears again in the  
482 inner-core region and outer convection moves inwards toward the radius of maximum wind  
483 (Figs. 9b, 12b, 13c), resembling the contraction of the secondary eyewall in ERCs.

484 While the diagnosed eyewall replacement cycle is consistent with angular momentum  
485 import and vertical velocity forcing from the trough, the interpretation of E-P fluxes under  
486 the adiabatic assumption can be questioned in the TC inner-core region where diabatic pro-  
487 cesses are involved. The purpose of the following section is therefore to use a complementary  
488 method without adiabatic approximation in order to confirm the trough contribution to TC  
489 intensification.

490 *c. Tangential wind budget*

491 A tangential wind budget is computed in a storm-following cylindrical framework on  
492 pressure coordinates following Persing et al. (2002):

$$\frac{\partial \bar{v}_L}{\partial t} = (-\bar{u}_L \bar{\zeta}_a) + (-\overline{u'_L \zeta'_a}) + (-\bar{\omega} \frac{\partial \bar{v}_L}{\partial p}) + (-\overline{\omega' \frac{\partial v'_L}{\partial p}}) + \text{Friction} \quad (5)$$

493 where  $\omega$  is the vertical pressure velocity and  $\zeta_a$  the vertical absolute vorticity. Friction is not  
494 taken into account here.

495 The first four terms on the right-hand side of Eq. (5) are, from left to right : the horizontal  
496 vorticity fluxes by the mean flow (MVF) and by the eddies (EVF), and the vertical advection  
497 of the tangential wind by the mean flow (MVA) and by the eddies (EVA). Vertical cross  
498 sections of these four terms, integrated over 4-h intervals, are displayed at 26–30 h and  
499 37–41 h (Figs. 14, 15). Although local tendencies of the mean tangential wind estimated  
500 from the model output using central differences (e.g., Fig. 14f) are affected by numerical  
501 filtering and other numerical procedures, they compare well with the sum of the four terms  
502 of the budget equation without friction (e.g., Fig. 14c). Contributions from the mean flow  
503 (MVA and MVF terms) have about the same magnitude but opposite signs before the trough  
504 moves into the volume (Fig. 14). Overall, the MVF tends to slow down the mean cyclonic  
505 circulation of the eyewall region above the boundary layer (panel a), whereas the MVA  
506 acts to accelerate it (panel b). The eddy terms EVF and EVA (panels d,e) are of smaller  
507 amplitude. Considerable differences appear however once the trough penetrates within a  
508 radius of 300 km.

509 The wind starts to increase at the periphery of the TC (200-300 km) after 26 h (Figs. 14c,f)  
510 in correlation with eddy vorticity fluxes (Fig. 14d). This contribution is similar to cyclonic  
511 eddy momentum import throughout the troposphere at such radii (Fig. 11b) and explains  
512 the spin-down of the pre-existent anticyclonic circulation near 200 hPa. The close proxim-  
513 ity of the trough is obvious between 37 and 41 h (Fig. 15): vorticity fluxes by the mean  
514 flow (MVF) enhances the cyclonic circulation between 200 and 500 hPa in the inner-core  
515 where radial inflow has appeared (Fig. 6b). Forcing by the eddies (EVF) occurs almost over  
516 the whole troposphere inside a 150- to 300-km radius range. Besides, both MVF (mainly)  
517 and EVF (marginally) contribute to the spin-down of the primary eyewall (Figs. 15a,d,c,f)  
518 that is visible within 50-km radii in Fig. 12. This confirms and extends the conclusions  
519 deduced from the E-P fluxes (section 4a). These results also indicate that the asymmetric

520 PV advection previously seen in cross sections (Figs. 8c,d) has a mean-azimuthal signature  
521 (MVF) that contributes to upper-level vortex intensification (Fig. 15a). The MVF term is  
522 also responsible for cyclonic vorticity advection in the boundary layer where converging flow  
523 has increased.

524 Convective updrafts (Fig 15b, dotted contours) start tilting outwards at 37 h, together  
525 with the radial outflow channel of the eyewall (Fig 15a, solid contours). This tilting is due  
526 to the dynamics induced by the trough, i.e. the evolution of the PV intrusion which forces  
527 upward motion at its leading edge (Figs. 8, 9). From the top of the boundary layer up to  
528 400 hPa, vertical advection of the tangential wind by the eddies and by the mean flow is  
529 responsible for cyclonic spin-up near 100-km radius, where environmentally-forced upward  
530 velocities are maximum (Figs. 15b,e, 12b). Contours of the mean tangential wind start  
531 showing a double-peaked structure, with a second maximum developing outside (Fig. 15f,  
532 solid contours).

533 As the trough moves away from the storm after 42 h, the forcing disappears and the TC  
534 becomes vertically aligned again: a single branch of strong upward motion extends through  
535 the whole troposphere as the TC has intensified (Fig. 13c, dashed lines). The outer eyewall  
536 has replaced the main eyewall (Figs. 12a, 13c) and its radius has already contracted to 50  
537 km at the top of the boundary layer.

## 538 **5. Discussion and conclusion**

539 The rapid intensification of TC Dora (2007) in the southwest Indian Ocean in the vicin-  
540 ity of an upper-level trough that imposed long-lasting strong vertical wind shear has been  
541 investigated. It has been found that the trough and associated three-dimensional PV coher-  
542 ent structure played a significant role in the storm's intensification and eyewall replacement  
543 cycle through various coupled processes.

544 The initial anticyclonic circulation above Dora, along with the strong downward motions

545 associated with the initial Rossby wave breaking event, favored equatorward tilting of the  
546 trough and the detachment of a spiral-like filament of PV at upper levels ahead of the trough.  
547 Such a configuration with the main upper-level trough core and associated jet at a reasonable  
548 distance from the TC increased upper-level divergence while preventing the most destructive  
549 part of the shear to affect the storm. The trough imposed a strongly asymmetric cross-storm  
550 flow over a thick 500-200-hPa layer, allowing cyclonic PV advection toward the TC core in  
551 the southwest quadrant for about 15 hours.

552 Once the coherent structure entered the 300-km radius volume, eddy horizontal flux  
553 of vorticity as well as eddy vertical advection (associated with asymmetric convection in  
554 the downshear right quadrant, dynamically enhanced under the left entrance region of the  
555 upper-level jet) caused an outward expansion of the cyclonic winds over a deep layer between  
556 850 and 200 hPa or 400 hPa respectively. When the coherent structure was at its closest  
557 distance from the storm, cyclonic spin-up was first observed inside the eyewall as a result  
558 of PV superposition (vorticity fluxes by the mean flow) in the 500-200 hPa layer, where  
559 unusual mean radial inflow was observed. Vertical velocity and deep convection increased  
560 inside the radius of maximum wind in association with a short period of rapid intensification,  
561 in agreement with Nolan et al. (2007) and Vigh and Schubert (2009) theories.

562 Unlike storms from previous studies that rapidly intensified in strong vertical wind shear,  
563 intense convection in Dora shifted outward during the following 6 hours. Eddy angular  
564 momentum convergence and eddy PV (or absolute vorticity) fluxes intensified just outside  
565 the radius of maximum wind (inside a 100-150-km annulus) over the entire troposphere, and  
566 were also responsible for spinning down the primary eyewall. This led to the formation of  
567 an outer eyewall which intensified further through mean vertical advection within the highly  
568 tilted environmentally-forced upward motion. Trough forcing therefore triggered an eyewall  
569 replacement cycle, which was responsible for the following rapid intensification during a 6-  
570 h period due to secondary eyewall contraction. The ERC was observed for Dora around  
571 the same time than in the simulation suggesting that it is not an artefact from the Aladin



572 model and that secondary eyewall formation can be simulated by a hydrostatic model with  
573 moderate horizontal resolution and parameterized convection.

574 Although based on a particular storm, this study gives some insight on the pathway to  
575 storm intensification through upper-level forcing. The main mechanisms identified for vor-  
576 tex intensification are: PV superposition (associated with angular momentum convergence)  
577 followed by secondary eyewall formation induced by eddy momentum flux convergence, eddy  
578 PV (or absolute vorticity) fluxes, and vertical velocity forcing from the trough which con-  
579 tributed to mean and eddy vertical advection of the tangential wind in the outer eyewall.  
580 These results confirm the speculations of Molinari and Vollaro (1989) and the idealized simu-  
581 lations of Nong and Emanuel (2003), although with the use of a realistic evolving distribution  
582 of forcing. We have explained how an upper-level trough can induce cyclonic spin-up over  
583 the whole troposphere at outer radii. PV advection was found to occur at mid levels which  
584 also differs from previous studies.

585 Another interesting aspect that has not yet been described is the evolution of the radial  
586 PV distribution in the inner-core region at mid levels which could cause the downgradient  
587 propagation of vortex Rossby waves as observed at low-levels near the radius of maximum  
588 wind (Qiu et al. 2010; Abarca and Corbosiero 2011; Nguyen et al. 2011; Corbosiero et al.  
589 2012). The role of such waves in connecting core dynamics and external forcing over the  
590 entire troposphere shall be reported in a future study. The sensitivity of the interaction to  
591 the respective positions and strengths of the TC and the trough will also be assessed.

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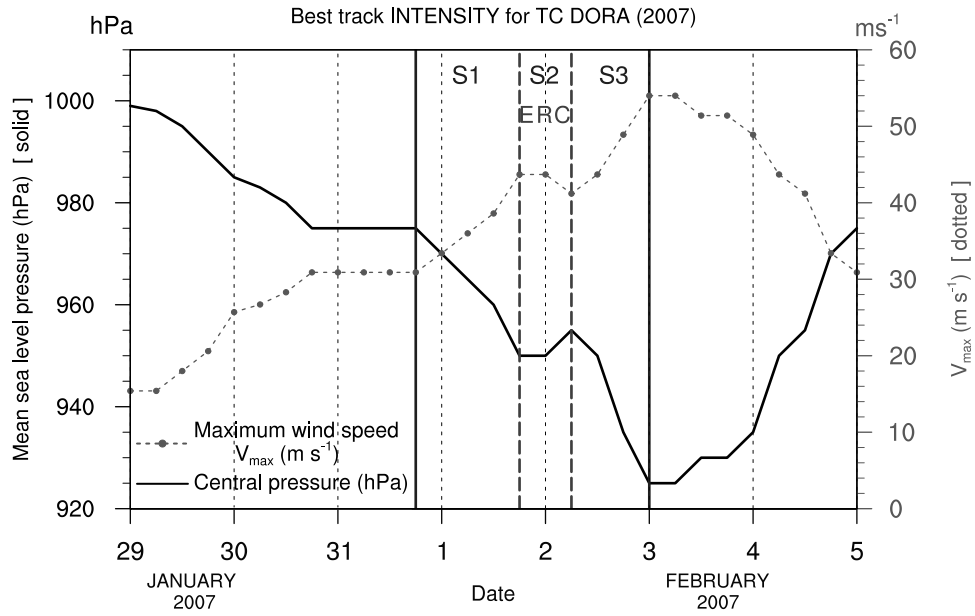


FIG. 1. Best track intensity estimates for TC Dora from 0000 UTC 29 Jan to 0000 UTC 05 Feb 2007 at 6-h intervals (data from La Reunion Regional Specialized Meteorological Centre). Vertical solid lines mark a 54-h pressure fall that includes two periods of rapid intensification (stages S1 and S3) and an eyewall replacement cycle period (ERC or S2) delimited by vertical dashed lines.

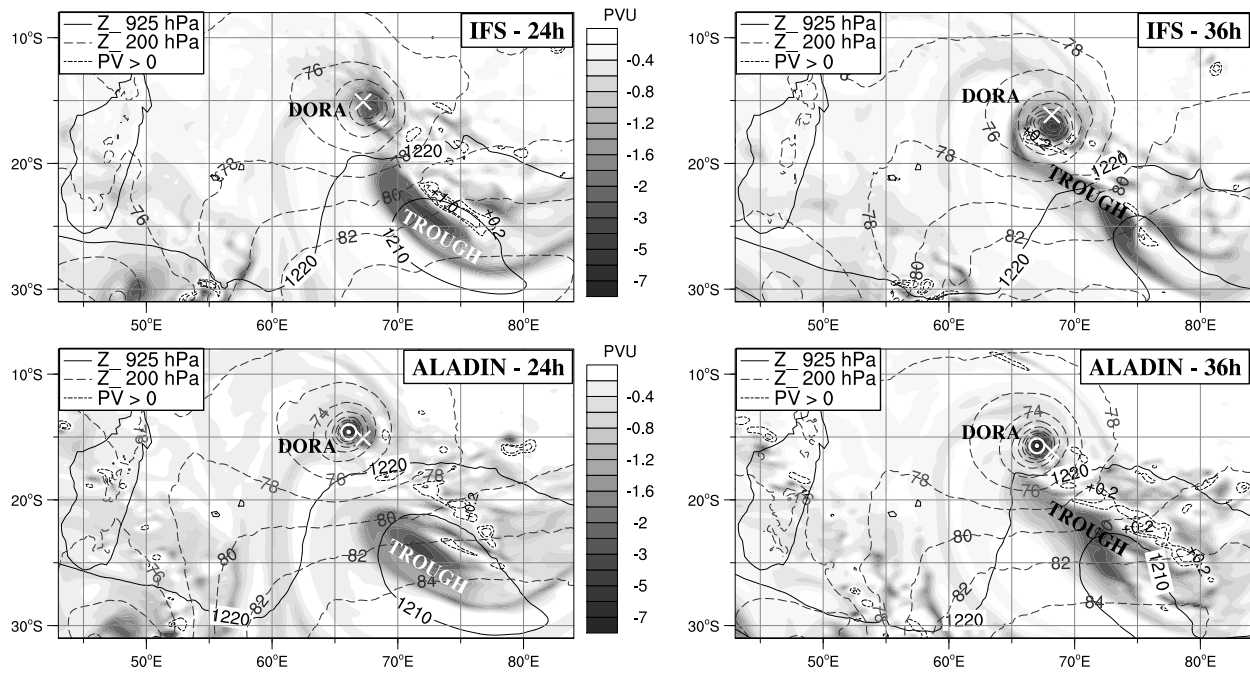


FIG. 2. IFS operational analyses (upper panels) versus Aladin-Reunion forecast (lower panels) for TC Dora after 24 h (left) and 36 h (right) from 0600 UTC 31 January 2007. Plotted are the Ertel potential vorticity (PV) field on the 330-K isentropic surface ( $\text{PVU} \equiv 10^{-6} \text{ m}^2 \text{ K s}^{-1} \text{ kg}^{-1}$ ; negative, shaded; positive, 0.2 PVU and 1 PVU dotted contours) and geopotential height  $Z$  (m) at 925 hPa and 200 hPa levels. Crosses and encircled dots indicate Dora's interpolated best track and predicted centers respectively.

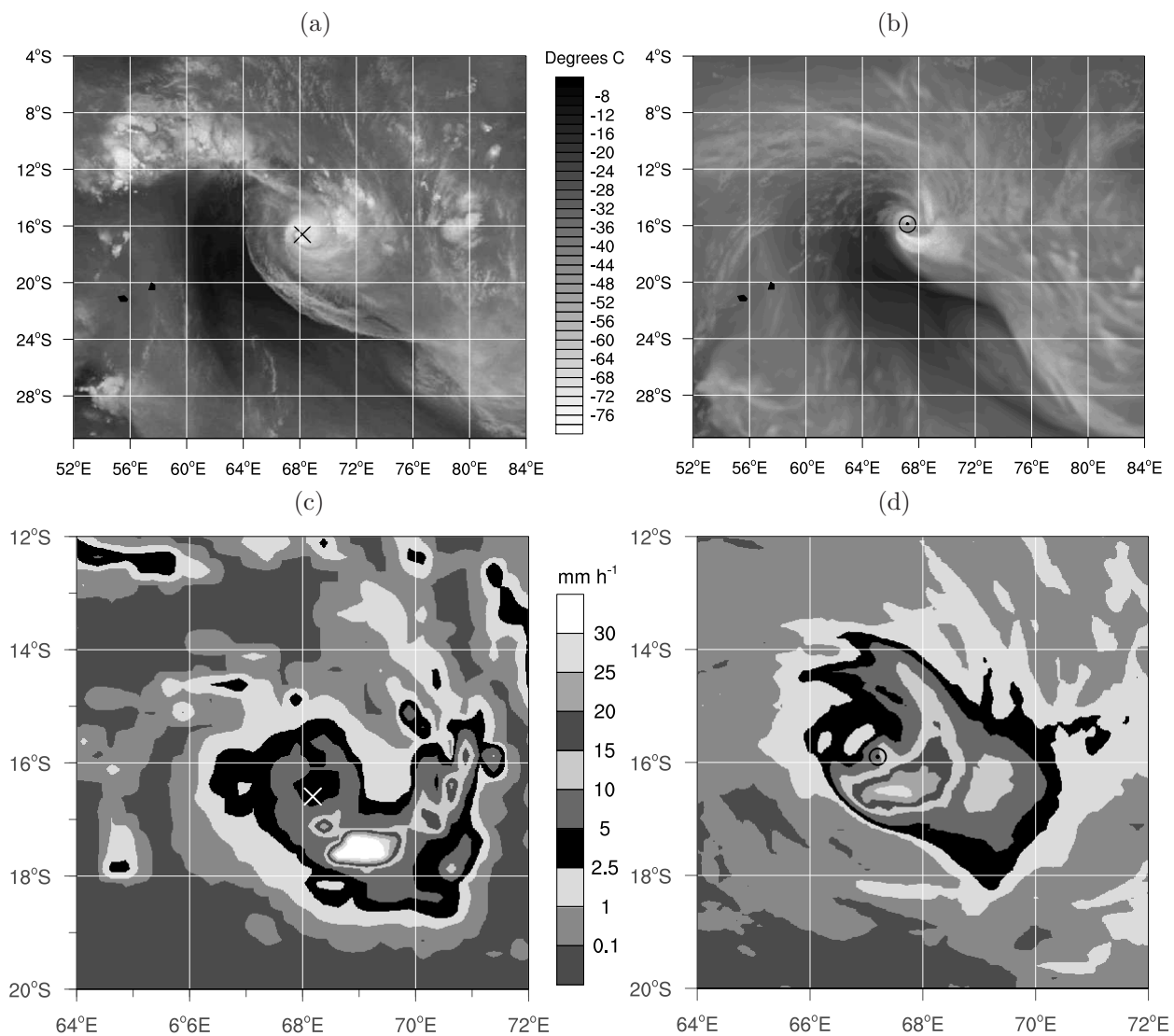


FIG. 3. Water-vapor image at 2100 UTC 1 Feb 2007 from (a) Meteosat-7 and (b) Aladin-Reunion 39-h output. Also plotted at the same time is the rain rate ( $\text{mm h}^{-1}$ ) averaged over the past 3 hours calculated from (c) the TRMM-3B42 algorithm and (d) the model output. Crosses and encircled dots indicate Dora's interpolated best track and predicted centers respectively.

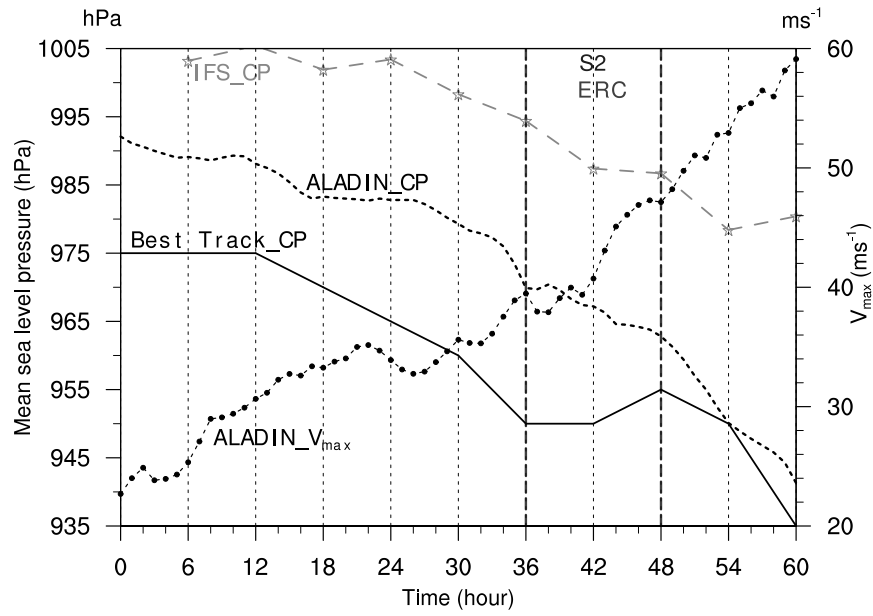


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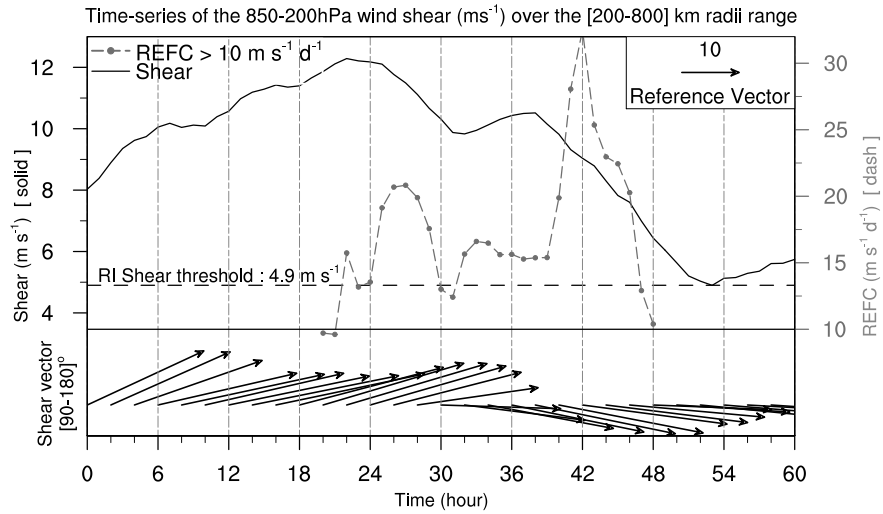


FIG. 5. Evolution of the predicted 850-200-hPa vertical wind shear ( $\text{m s}^{-1}$ , left axis) and relative eddy momentum flux convergence (REFC) modulus for values greater than  $10 \text{ m s}^{-1} \text{ day}^{-1}$  (right axis). The climatological shear threshold for RI in the Atlantic basin (Kaplan and DeMaria 2003) is indicated for reference. Wind shear vectors averaged over the southeastern quadrant of the storm are drawn at 2-h intervals (bottom).



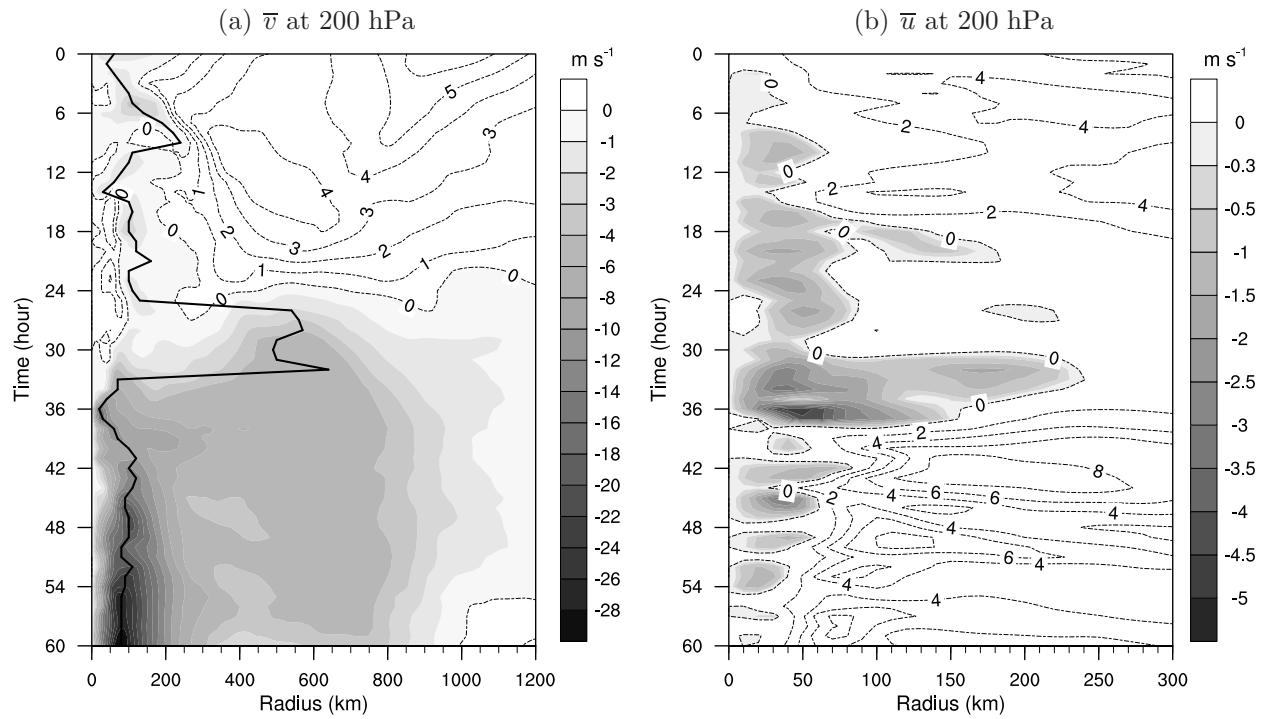


FIG. 6. Radius-time plots of 200-hPa azimuthal-mean (a) tangential wind  $v$  ( $\text{m s}^{-1}$ ; negative, shaded; positive, dotted contours every  $1 \text{ m s}^{-1}$ ) and (b) radial wind  $u$  ( $\text{m s}^{-1}$ ; negative, shaded; positive, dotted contours every  $2 \text{ m s}^{-1}$ ) during the forecast. The maximum radius is 1200 km in (a) and 300 km in (b). The black solid line in (a) indicates the radius of maximum cyclonic (negative) tangential wind at 200 hPa.

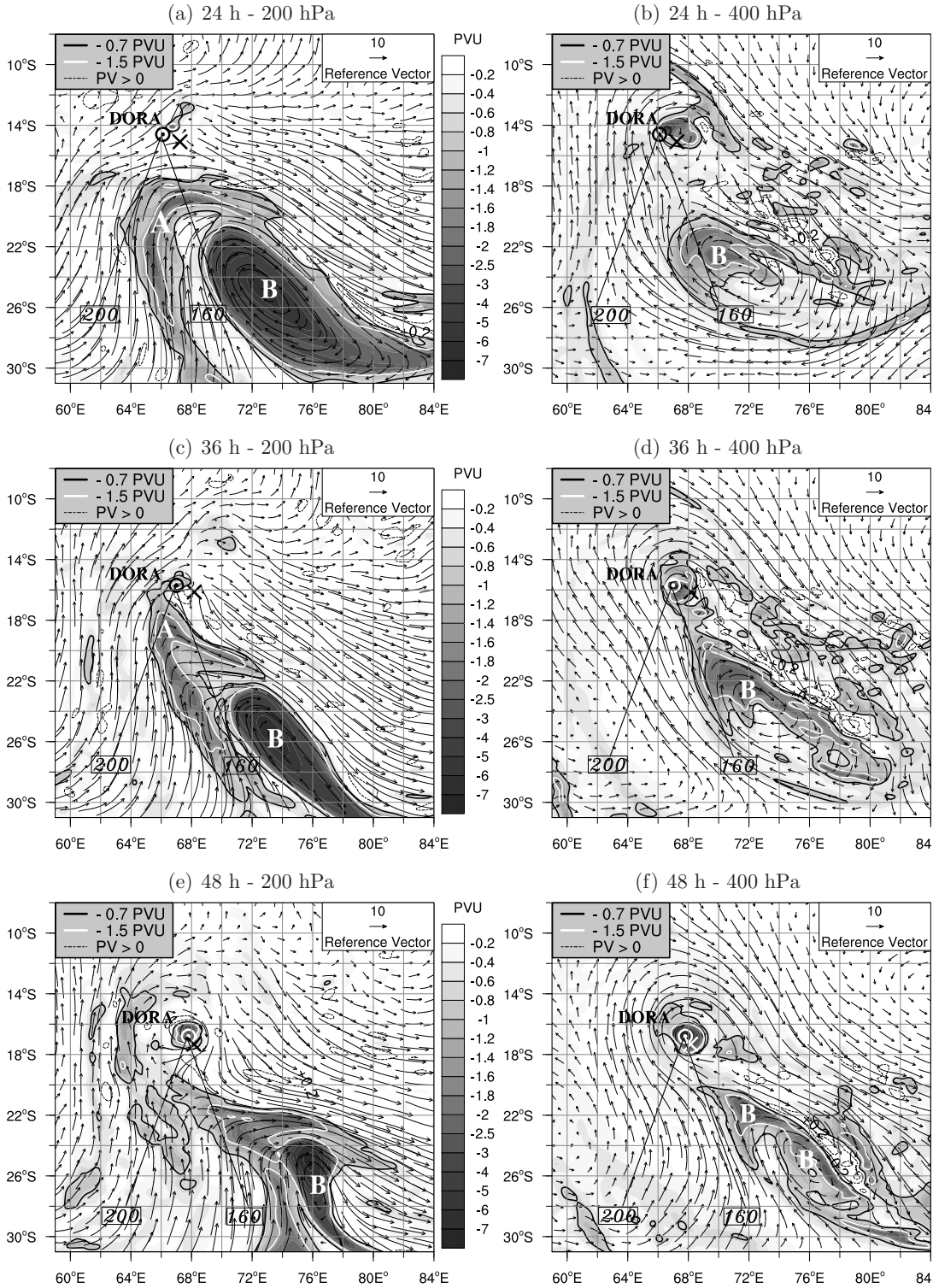


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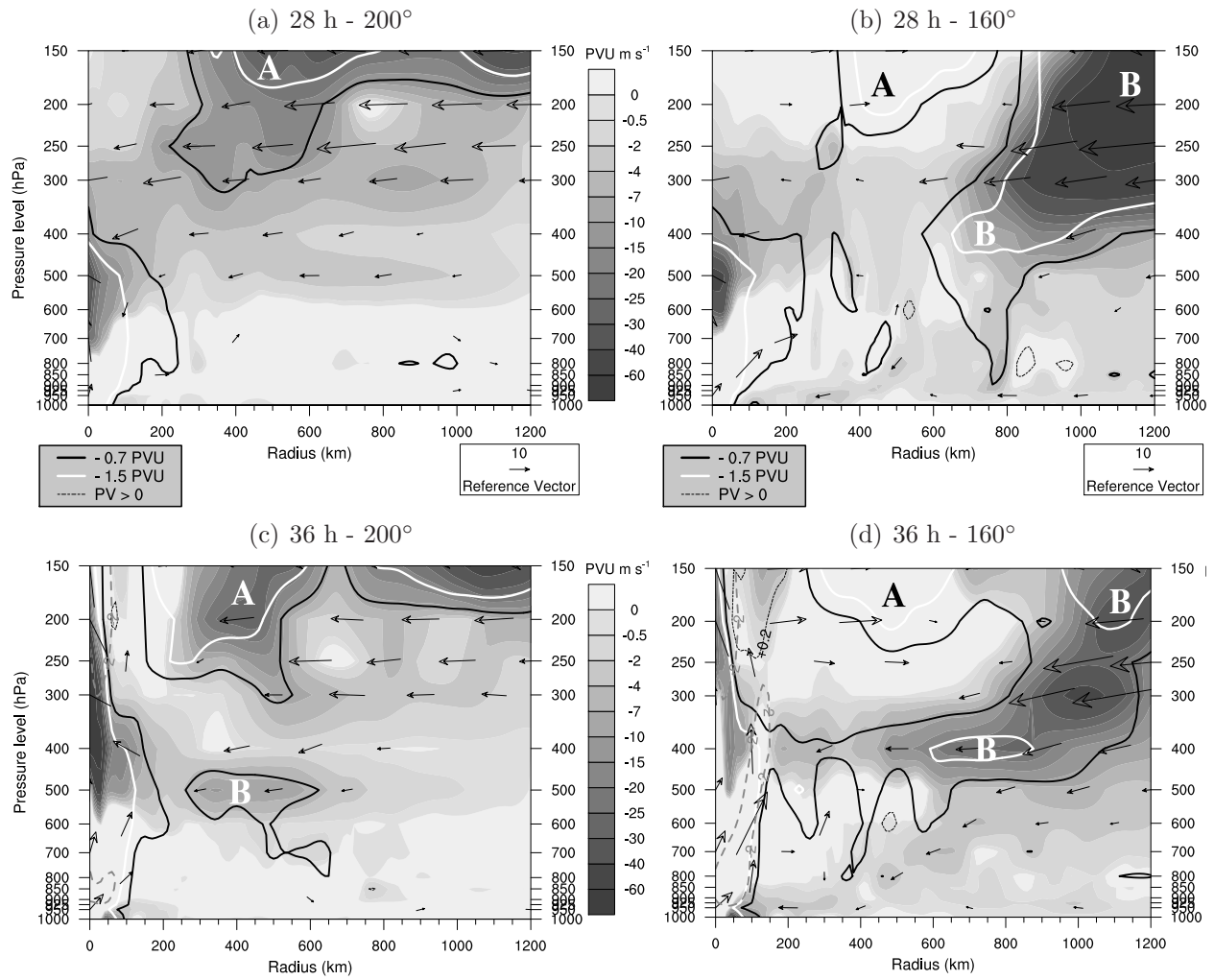


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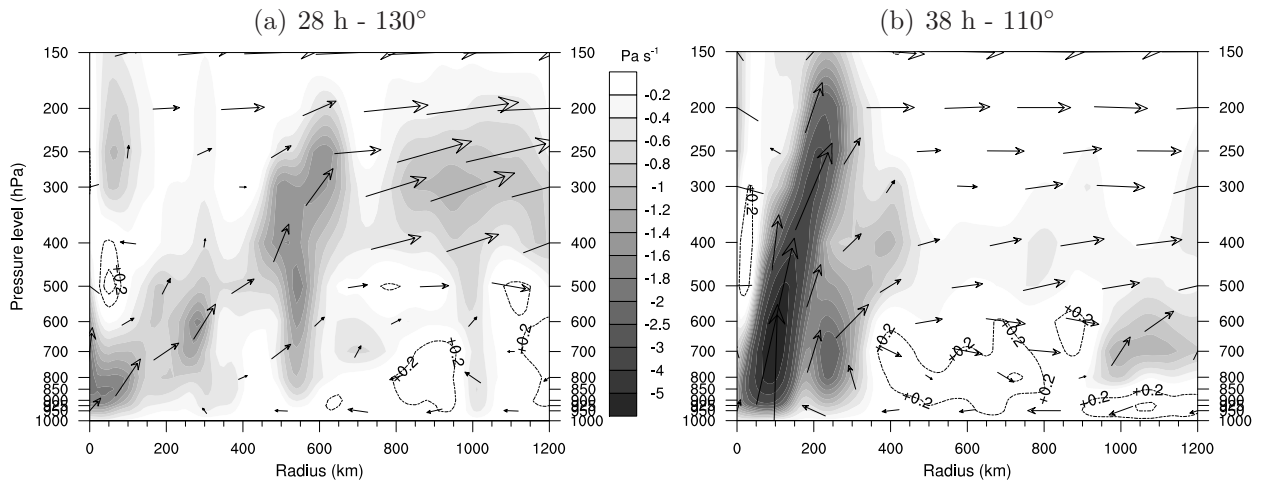


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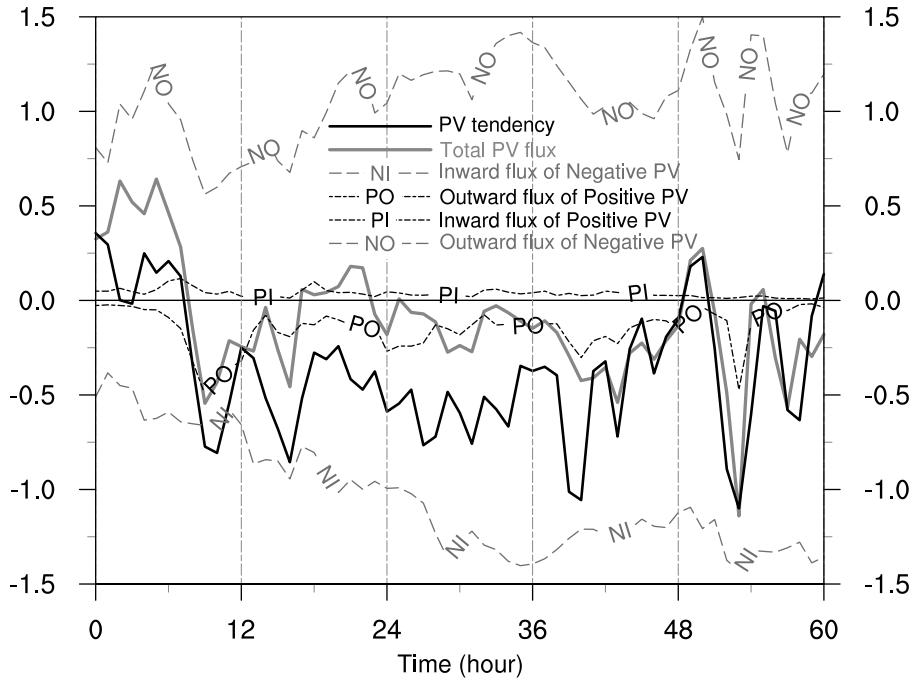


FIG. 10. Time-evolution of the PV tendency and PV budget ( $10^4 \text{ m}^5 \text{ K s}^{-2} \text{ kg}^{-1}$ ) computed for a 300-km-radius cylinder centered on the TC and located between 305-K and 350-K theta levels.

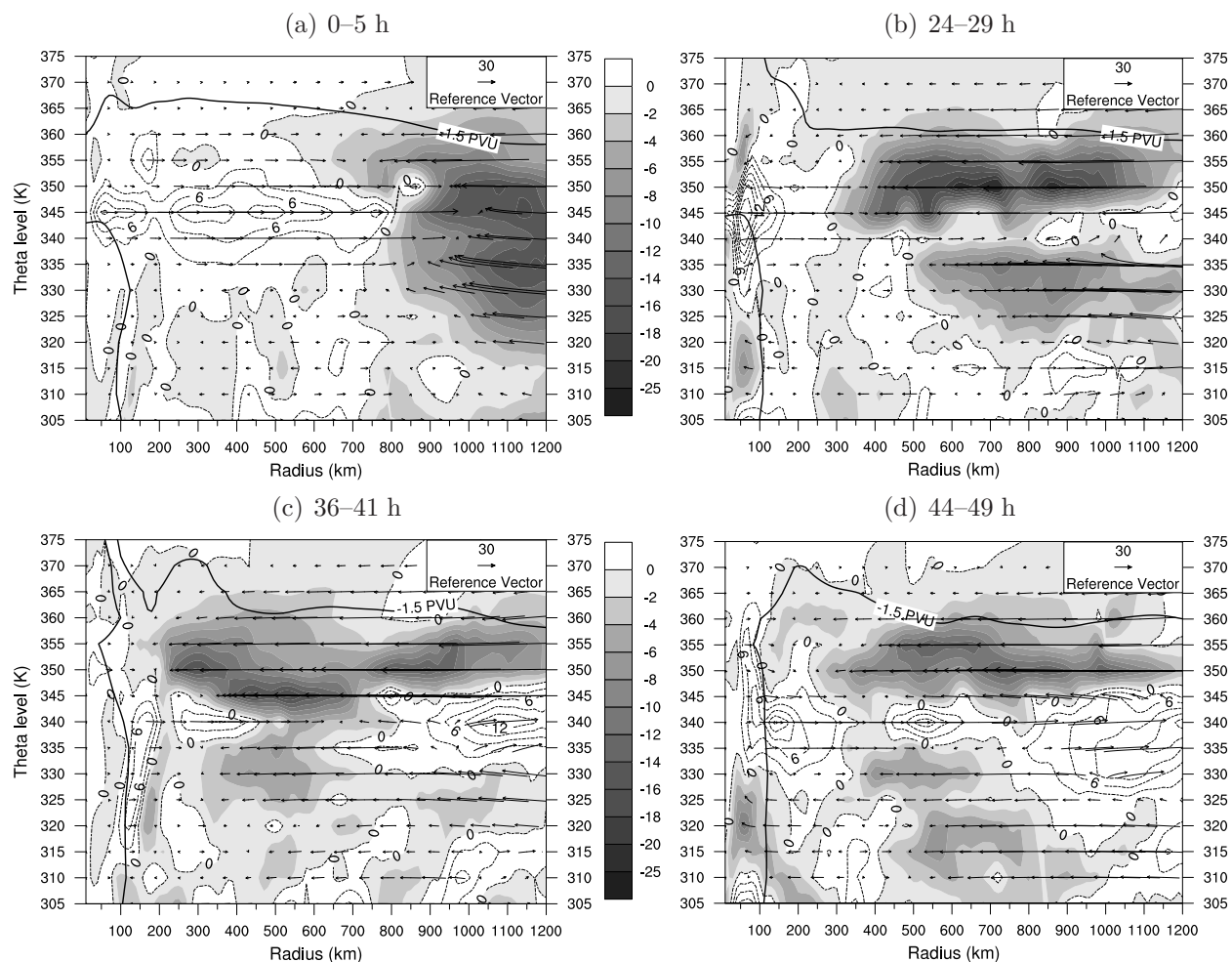


FIG. 11. Radius-theta cross sections of E-P flux vectors and their divergence ( $10^4 \text{ Pa m}^2 \text{ K}^{-1} \text{ s}^{-2}$ ; negative, shaded; positive, dotted contours at 0, 3, 6, 9, 12, 15, and  $20 \times 10^4 \text{ Pa m}^2 \text{ K}^{-1} \text{ s}^{-2}$ ) averaged over 5-h intervals as indicated above each panel. The horizontal (resp. vertical) arrow scale is  $1.3 \times 10^8 \text{ Pa m}^3 \text{ K}^{-1} \text{ s}^{-2}$  (resp.  $9.3 \times 10^2 \text{ Pa m}^2 \text{ s}^{-2}$ ) for  $\mathbf{F}_r$  (resp.  $\mathbf{F}_v$ ), following Edmon et al. (1980) scaling that consists of multiplying the numerical values of  $\mathbf{F}_r$  and  $\mathbf{F}_v$  by the distances occupied by 1 m and 1 K on the figure, respectively. A solid line indicates the azimuthal-mean altitude of the dynamic tropopause ( $-1.5 \text{ PVU}$  surface).

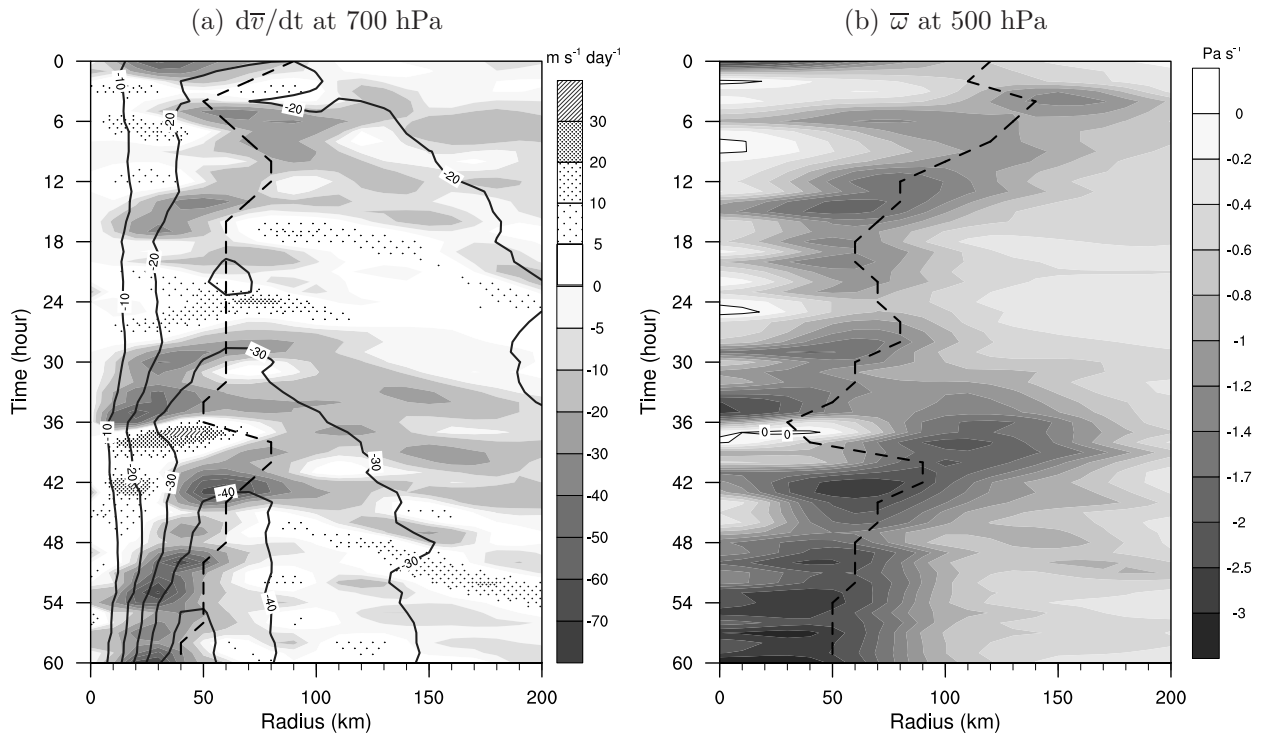


FIG. 12. Radius-time plots of (a) 700-hPa azimuthal-mean tangential wind tendency ( $m s^{-1} day^{-1}$ ; negative, shaded; positive, hatched), and (b) 500-hPa azimuthal-mean vertical velocity ( $Pa s^{-1}$ ; negative, shaded; positive, zero-contour). Dashed lines indicate the radius of maximum cyclonic (negative) mean tangential wind at the corresponding pressure levels. Solid contours in (a) show the azimuthal-mean wind at 700 hPa ( $m s^{-1}$ ).

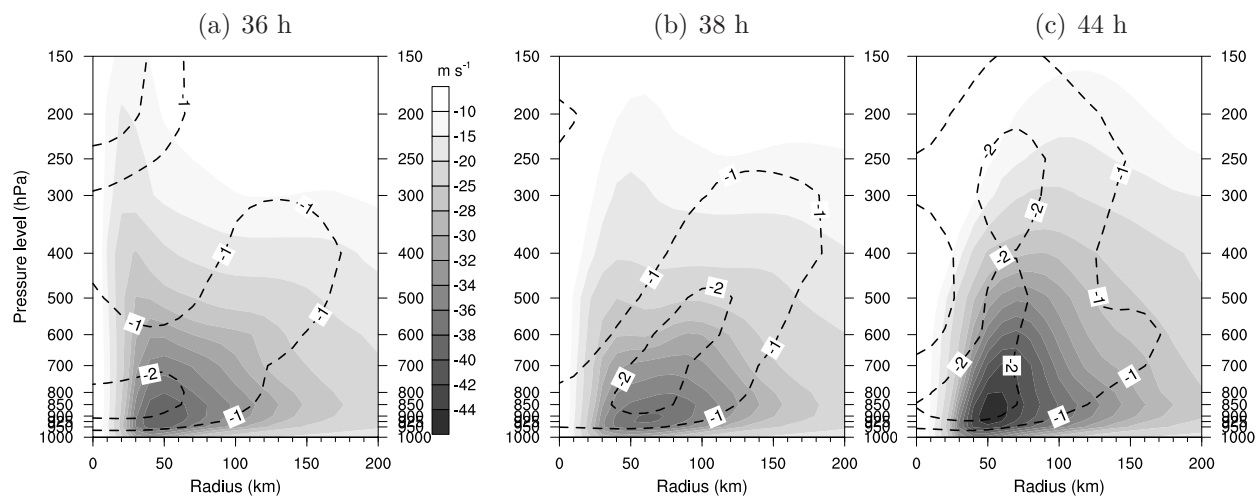


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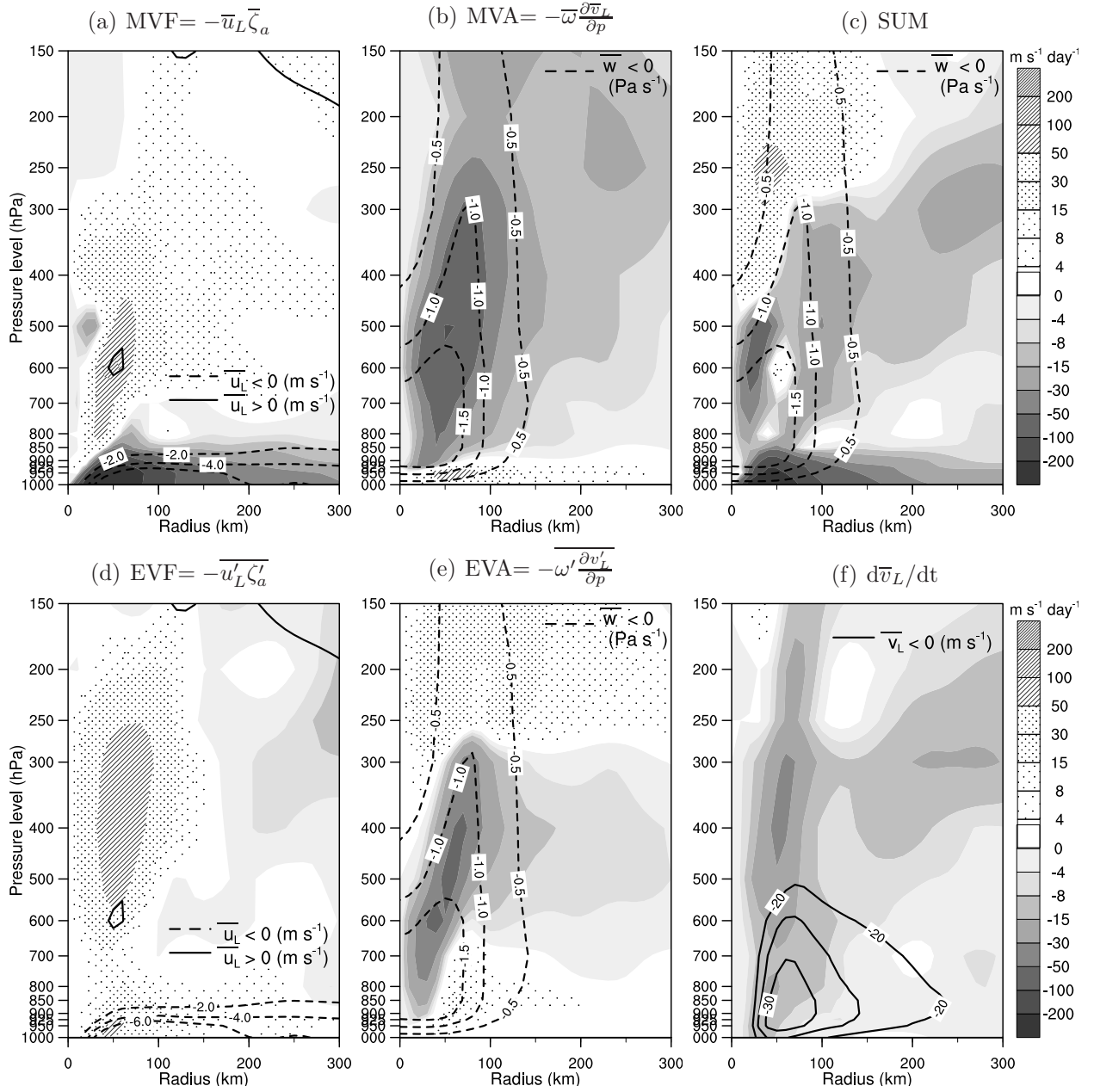


FIG. 14. Radius-pressure cross sections of the four terms of the mean tangential wind budget ( $\text{m s}^{-1} \text{ day}^{-1}$ ; negative, shaded; positive, hatched) averaged between 26 and 30 h. (a) MVF and (d) EVF are the mean and eddy vorticity flux, respectively; (b) MVA and (e) EVA are the mean and eddy vertical advection, respectively; (c) SUM represents the sum of the previous 4 terms; (f) is the mean tangential wind tendency computed for comparison. Superimposed are contours of the azimuthal-mean radial wind, tangential wind, or vertical velocity.

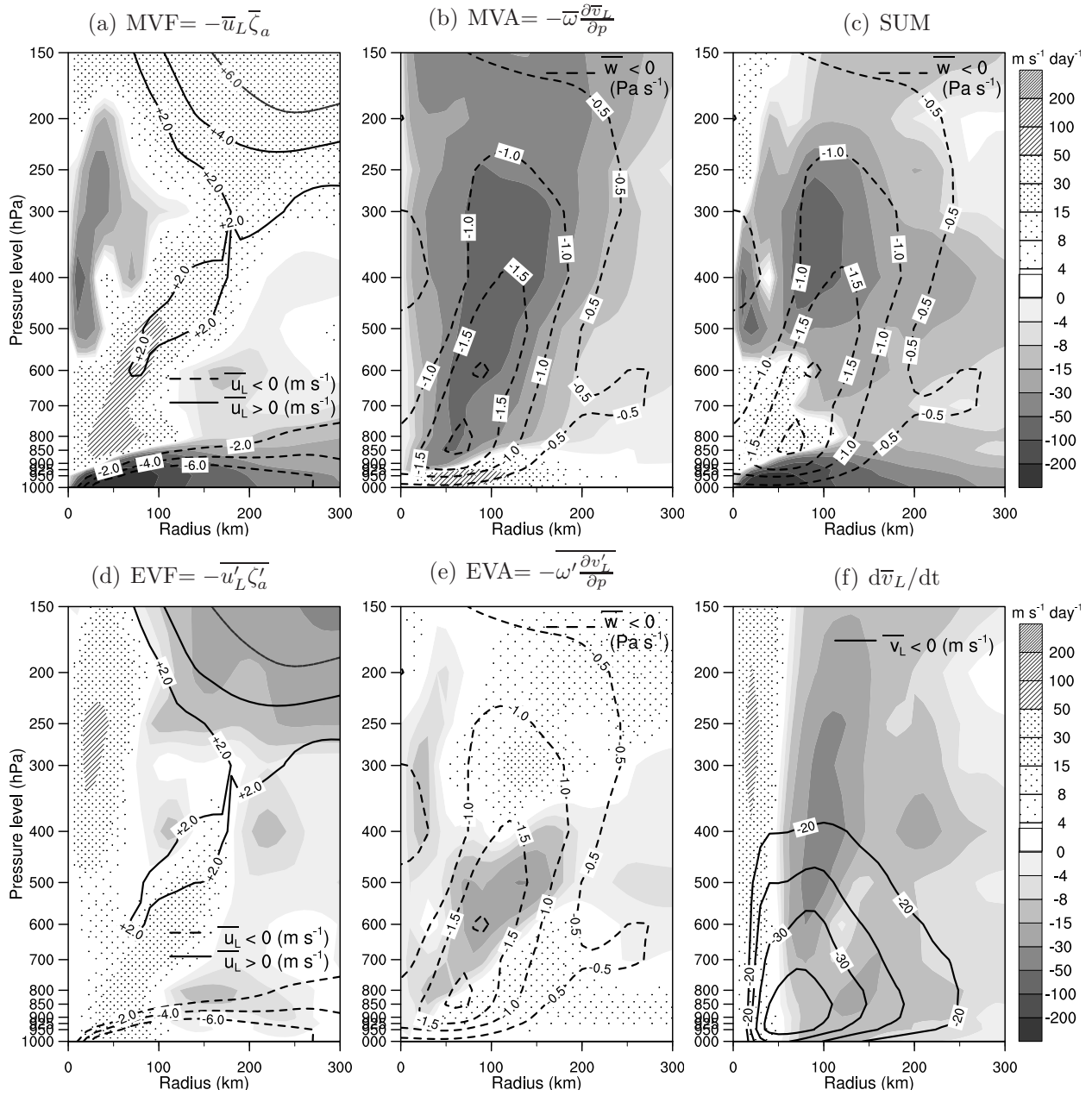


FIG. 15. As in Fig. 14, except from 37 to 41 h.