

1 **Leaky rigid lid: new dissipative modes in the troposphere**

2 LYUBOV G. CHUMAKOVA, * RODOLFO R. ROSALES,

Department of Mathematics, Massachusetts Institute of Technology, Cambridge, Massachusetts

3 ESTEBAN G. TABAK

Courant Institute of Mathematical Sciences, New York University, New York, New York

* *Corresponding author address:* Lyuba Chumakova, MIT 2-336, 77 Massachusetts Ave, Cambridge, MA 02141.

E-mail: lyuba@math.mit.edu

ABSTRACT

4
5 An effective boundary condition is derived for the top of the troposphere, based on a wave
6 radiation condition at the tropopause. This boundary condition, which can be formulated
7 as a pseudo-differential equation, leads to new vertical dissipative modes. These modes can
8 be computed explicitly in the classical setup of a hydrostatic, non-rotating atmosphere with
9 a piecewise constant Brunt-Väisälä frequency.

10 In the limit of an infinitely strongly stratified stratosphere, these modes lose their dis-
11 sipative nature and become the regular baroclinic tropospheric modes under the rigid-lid
12 approximation. For realistic values of the stratification, the decay time-scales for the first
13 few modes range from an hour to a week, suggesting that the time-scale for many atmo-
14 spheric phenomena may be set up by the rate of energy loss through upwards propagating
15 waves.

16 Introduction

17 Much of our understanding of tropospheric dynamics is based on the concept of discrete
18 internal modes. The pressure disturbances that govern our weather, for instance, propagate
19 at definite speeds, typically associated with the first to third baroclinic vertical modes,
20 depending on the nature of the disturbance. Even though other effects such as nonlinearity,
21 moist convection and mean wind shear alter significantly the nature and speed of these
22 waves, they remain nonetheless the dynamical backbone of the troposphere.

23 Yet discrete modes are the signature of systems of finite extent: a semi-infinite stratified
24 atmosphere yields a continuum spectrum of modes, much as the Fourier transform in the
25 infinite line, as opposed to the discrete Fourier series associated with finite intervals. This
26 has led to arguments by R. Lindzen that these discrete tropospheric modes are just a fallacy
27 of overly simplified theoretical models, and that the atmosphere “is characterized by a single
28 isolated eigenmode and a continuous spectrum” Lindzen (2003). On the other hand, the
29 troposphere does seem to operate on distinct discrete modes, and many phenomena have
30 been modeled successfully on such basis.

31 The simplest and most conventional way to obtain a discrete set of tropospheric modes
32 with realistic values for speed and vertical structure is to replace the tropopause by a rigid
33 lid where the vertical velocity must vanish. Two justifications are typically provided for
34 this approximation. One is that, for internal baroclinic waves, the oscillations at the free-
35 surface of stratified fluids have much smaller amplitude than those at internal isopycnals, as
36 demonstrated in the famous experiment of Franklin with water and oil, and manifested in
37 the dead water phenomenon Franklin (1905); Ekman and Bjerknes (1904). This is indeed the
38 basis for the rigid-lid approximation for the surface of the ocean, widely used for the study
39 of its internal dynamics. Yet the tropopause is not the free surface between two fluids of
40 very different density: it is not the density but its vertical derivative that has a discontinuity
41 at the interface.

42 The second justification, more appropriate in the atmospheric context, is that the strato-

43 sphere, being much more strongly stratified than the troposphere, inhibits vertical motion.
44 Yet the ratio of the stratification of the stratosphere to that of the troposphere, as measured
45 by their representative Brunt-Väisälä frequencies, is not infinite; in fact it is rather close to
46 2. Can the rigid-lid approximation be justified under these circumstances? Do new effects
47 come into play due to this finite ratio? These are the questions addressed in this article.
48 As we shall see, the answer is affirmative to both. The main new effects are: 1) the modes
49 dissipate, as they radiate a fraction of their energy into the stratosphere, 2) a slight change in
50 the speed and vertical structure of the modes, and 3) the appearance of a new tropospheric
51 mode, with some barotropic characteristics and a dissipation time-scale close to an hour.

52 The need to impose boundary conditions at a finite height, such as the top of the tropo-
53 sphere or the upper end of a finite computational domain, has led to a variety of modeling
54 approaches. The simplest boundary condition for a model of a finite atmosphere is a rigid
55 lid, which has the vertical velocity set to zero at some finite height. Even though it is not
56 completely justified on sound physical grounds, this boundary condition gives rise to one
57 of the fundamental tools for understanding atmospheric dynamics – the rigid lid modes.
58 These have been used for a number of theoretical purposes, such as to study resonant in-
59 teraction among waves Raupp et al. (2008), to identify wave activity in the observational
60 record Haertel et al. (2008) and to study tropical–extratropical teleconnections Kasahara and
61 da Silva Dias (1986). The rigid lid is also an essential part of some modeling strategies for
62 introducing moist dynamics into atmospheric models, projecting the dynamics onto the first
63 few baroclinic rigid lid modes to yield a simplified vertical structure of the atmosphere with
64 minimal vertical resolution Majda and Shefter (2001). Prior attempts at improved boundary
65 conditions relied on some form of radiation condition allowing all the internal gravity waves
66 to leave the computational domain. For example, see Bennett (1975), Klemp and Durran
67 (1983), Garner (1986), and Purser and Kar (2001). Some authors skip this issue altogether
68 and model the atmosphere as infinite; for example, the MIT GCM uses pressure coordinates.
69 Modeling the atmosphere as infinite versus finite can lead to mathematically drastically dif-

70 ferent solution properties; for example in the first case a continuous spectrum in the vertical
71 direction may arise, while in the second case the spectrum may be fully discrete.

72 In this paper we introduce two new results. First, we derive an effective boundary
73 condition (EBC) to be used at the top of the troposphere, so that it can be modeled in
74 isolation from the rest of the atmosphere. Second, we present “leaky” rigid lid modes, which
75 are computed using the EBC for a simple example background stratification. These modes
76 have a novel feature: they decay with realistic time-scales.

77 To derive these results we perform a local calculation at the interface between the tropo-
78 sphere and the stratosphere, to obtain reflection and transmission coefficients. These coeffi-
79 cients characterize how much wave energy leaves the troposphere, and we use them next to
80 construct the EBC. The most important assumption in our approach is that no waves return
81 back from the stratosphere to the troposphere – though waves are allowed to reflect at the
82 tropopause. As long as our assumption holds, we can substitute the stratosphere with the
83 effective boundary condition. Ongoing research shows that our modeling approach can be
84 extended to incorporate more complicated physics of the troposphere, such as the Earth’s
85 rotation and possibly convection and moisture. Yet in this article that introduces the leaky
86 lid, we have purposely concentrated on the simplest scenario of dry irrotational linear waves
87 in a non-rotating environment.

88 When we compute the modes with the EBC we obtain a qualitatively new result – modes
89 with realistic decay time-scales. The modes are computed in the special case in which the
90 buoyancy frequency is a constant $N = N_1$ in the troposphere, and has value N_2 different
91 from N_1 at the bottom of the stratosphere. The temporal frequencies and speeds of the new
92 modes are very close to those of the rigid lid, however, they have realistic decay time-scales
93 of 1.5 days and one week for the first two baroclinic modes. High baroclinic modes have
94 slower decay at a rate decreasing as $\sim n^{-2}$, where n is the vertical wave-number. In addition
95 to that, we find a new “zero” baroclinic mode, which is stationary and has the fastest decay
96 (time scale of about one hour), representing a fast adjustment mode. Note that the new

97 decaying modes are computed for the case of a finite troposphere, yet they preserve the
 98 dissipative feature of the models with an infinite atmosphere.

99 One of the remarkable features of the new model is that it only involves one parameter α ,
 100 which is a function of the ratio of the Brunt-Väisälä frequencies N_1/N_2 . By allowing N_1/N_2
 101 to change between 0 and 1, we obtain a one-parameter family of models of the atmosphere.
 102 In particular, we show that the rigid lid approximation is correct when $N_1/N_2 \rightarrow 0$. In the
 103 limit $N_1/N_2 \rightarrow 1$ the boundary between the domains disappears and the EBC reduces to a
 104 radiation condition.

105 The paper is organized as follows. In section 1 we introduce the equations and the main
 106 assumptions, and compute the EBC in section 2. The new modes are introduced in section 3,
 107 and their features in section 4. Section 5 shows how to project the initial conditions onto
 108 the new modes.

109 1. Basic equations

110 We consider the following simple model of a semi-infinite atmosphere through linearized
 111 Boussinesq equations in hydrostatic balance:

$$\begin{aligned}
 112 \quad & \rho_0 u_t + p_x = 0, \\
 113 \quad & p_z + \rho = 0, \\
 114 \quad & \rho_t + w \frac{d\rho_0}{dz} = 0, \\
 115 \quad & u_x + w_z = 0.
 \end{aligned} \tag{1}$$

117 Here x and z are the zonal and vertical coordinates, u and w are the horizontal and vertical
 118 components of the velocity, and p and ρ are the pressure and density perturbations from
 119 $p_0(z)$ and $\rho_0(z)$, which are in hydrostatic balance. For simplicity we consider here a 2D case.
 120 The extension to the non-rotating 3D case is shown in the Section 2. The equations have
 121 been non-dimensionalized using $\gamma = \tilde{H}/\tilde{L}$ as the long-wave parameter, where \tilde{H} is the depth

122 of the troposphere, and \tilde{L} is the horizontal length scale. The scales for the buoyancy \tilde{N} ,
 123 horizontal and vertical velocities \tilde{u} and \tilde{w} are as follows

$$\begin{aligned}
 124 \quad \tilde{N} &= \sqrt{g/\tilde{H}}, \quad \tilde{t} = 1/(\gamma\tilde{N}) \\
 125 \quad \tilde{u} &= \tilde{L}/\tilde{t} = \sqrt{g\tilde{H}}, \quad \tilde{w} = \gamma\tilde{u}.
 \end{aligned}
 \tag{2}$$

127 Manipulating (1), one obtains an equation for the vertical velocity w alone:

$$\begin{aligned}
 128 \quad \frac{(\rho_0 w_z)_{ztt}}{\rho_0} + w_{xx} N^2 &= 0, \quad N^2 = -\frac{d\rho_0/dz}{\rho_0}.
 \end{aligned}$$

130 After the change of variables

$$\begin{aligned}
 131 \quad w &= \phi/\sqrt{\rho_0}, \\
 132
 \end{aligned}$$

133 the equation and its dispersion relation for constant N become

$$\begin{aligned}
 134 \quad \phi_{zztt} - \phi_{tt} \left(\frac{N^4}{4} + \frac{(N^2)'}{2} \right) + N^2 \phi_{xx} &= 0, \\
 135 \quad \omega^2 &= \frac{N^2 k^2}{m^2 + \frac{N^4}{4}}.
 \end{aligned}
 \tag{3}$$

137 Note: if N were uniform, we could absorb it into a slow time t ; then the only place where
 138 high powers of N would appear is in the brackets below, which we effectively ignore (since
 139 N is small) for the rest of the article:

$$\begin{aligned}
 140 \quad \phi_{zztt} - \phi_{tt} \left(\frac{N^4}{4} + \frac{(N^2)'}{2} \right) + \phi_{xx} &= 0, \\
 141 \quad \omega^2 &= \frac{k^2}{m^2 + \left(\frac{N^4}{4}\right)}.
 \end{aligned}
 \tag{4}$$

143 2. Reflection and transmission coefficients and the ef- 144 fective boundary condition

145 To compute how much energy is transmitted from the troposphere to the stratosphere,
 146 we perform a local computation of reflection and transmission coefficients at the tropopause.

147 For the purposes of this section, the linearized boundary between the troposphere ($z < 0$)
 148 and the stratosphere ($z > 0$) is at $z = 0$. In a small neighborhood of the interface we
 149 consider N to be constant below and above the interface with the values N_1 and N_2 . We
 150 introduce an upward-propagating plane wave in the troposphere and compute the reflection
 151 and transmission coefficients at the tropopause. The criterion to construct the EBS is that
 152 applying it at the boundary gives exactly the same reflection coefficient as if the stratosphere
 153 were there with $N = N_2$.

154 Consider an infinite domain with a linearized boundary $z = 0$, where the Brunt-Väisälä
 155 frequency N changes from N_1 ($z < 0$) to N_2 ($z > 0$). We introduce an incoming wave with
 156 an upward group velocity in the troposphere, which is partially reflected and transmitted.
 157 The (I) incoming, (R) reflected and (T) transmitted waves shown in (Fig. 1)

$$\begin{aligned}
 158 \quad \phi_I &= \exp(i(k_I x + m_I z - \omega_I t)), \\
 159 \quad \phi_R &= R \exp(i(k_R x + m_R z - \omega_R t)), \\
 160 \quad \phi_T &= T \exp(i(k_T x + m_T z - \omega_T t)), \\
 161
 \end{aligned}$$

162 have the corresponding local dispersion relations

$$\begin{aligned}
 163 \quad \omega_I &= -\text{sign}(m_I) \frac{N_1 |k_I|}{\sqrt{m_I^2 + N_1^4/4}}, \\
 164 \quad \omega_R &= \text{sign}(m_R) \frac{N_1 |k_R|}{\sqrt{m_R^2 + N_1^4/4}}, \\
 165 \quad \omega_T &= -\text{sign}(m_T) \frac{N_2 |k_T|}{\sqrt{m_T^2 + N_2^4/4}}. \\
 166
 \end{aligned}$$

167 This takes into account that the group velocity is positive for the incoming and transmitted
 168 waves and negative for the reflected wave.

169 The boundary conditions at the interface are

$$\begin{aligned}
 170 \quad [\phi] &= 0, \quad [\phi'] = -\phi \frac{[N^2]}{2}, \\
 171 \quad \omega_I &= \omega_R = \omega_T, \quad k_I = k_R = k_T = k, \tag{5}
 \end{aligned}$$

172 where the square brackets denote the jump across the interface. These equations represent
 173 continuity of the vertical velocity, horizontal velocity, frequency and horizontal wave number

174 respectively. In terms of the plane wave parameters, the boundary conditions become

$$175 \quad 1 + R = T, \quad [\phi'] + im_I(1 - R) = im_T T. \quad (6)$$

176 Assuming that $m_I^2 \gg \max\{N_1^2(N_2^2 - N_1^2)/4, N_1^4/4\}$, we obtain

$$177 \quad m_T \approx \frac{N_2}{N_1} m_I, \quad \text{and} \quad \omega_I \approx -\frac{N_1 |k|}{m_I}, \quad (7)$$

178 which allows us to manipulate (6) into

$$180 \quad -\frac{1}{2}[N^2](1 + R)i\omega_I + im_I(1 - R)i\omega_I \\ 181 \quad = ik(1 + R)(-i \operatorname{sign}(k))N_2.$$

182 In terms of the original variables this gives us the effective boundary condition (EBC)

$$183 \quad \frac{[N^2]}{2}\phi_t - \phi_{tz} = N_2 H(\phi_x), \quad (8)$$

184 where H is the Hilbert transform. Note that computing the Hilbert transform term does not
185 add any numerical complications if one uses spectral methods for the horizontal coordinate.

186 The EBC can be easily generalized to the non-rotating 3D case, which includes the
187 meridional direction y , as

$$188 \quad \frac{[N^2]}{2}\phi_t - \phi_{tz} = N_2 \sqrt{-\Delta} \phi.$$

189 Here $\sqrt{-\Delta}$, just as the operator $H\partial_x$ in 2D case, is a pseudo-differential operator; its Fourier
190 transform is $\sqrt{k^2 + l^2}$, where l is the meridional wave-number.

191 **3. The leaky rigid lid modes**

192 We compute the leaky rigid lid modes for the case when N_1 is constant, and the jump of
193 N across the boundary satisfies $N_2 - N_1 \neq 0$. We neglect the high order terms in N in (3),
194 which leads to neglecting high order terms in N in the EBC (8). Thus, to obtain the new

195 modes, we solve

$$196 \quad \phi_{ttzz} = -N_1^2 \phi_{xx},$$

$$197 \quad \phi_{tz} = -N_2 H(\phi_x) \quad \text{at} \quad z = 1,$$

$$198 \quad \phi = 0 \quad \text{at} \quad z = 0.$$

200 Looking for the solution in the form $\phi(t, x, z) = e^{ikx} e^{\omega t} f(z)$ we find that

$$201 \quad f(z) = \sinh\left(\frac{kN_1}{\omega} z\right).$$

202 The EBC at $z = 1$ then yields

$$203 \quad \tanh\left(\frac{kN_1}{\omega}\right) = -\frac{N_1}{N_2} \text{sign}(k),$$

204 and therefore

$$205 \quad \omega = -|k|N_1 / \tanh^{-1}(N_1/N_2).$$

206 We introduce a parameter $\alpha = \tanh^{-1}(N_1/N_2)$, which for a realistic atmosphere with
 207 $N_1/N_2 \approx 1/2$ has a value $\alpha \approx 1/2$. In terms of α ,

$$208 \quad \omega = -\frac{|k|N_1}{\alpha + i\pi n},$$

209 with n integer. Hence the decay rate and frequency of the modes are given respectively by

$$210 \quad \text{Re}(\omega) = -\frac{|k|N_1\alpha}{\alpha^2 + (\pi n)^2} \sim -\frac{|k|N_1\alpha}{\pi^2 n^2} \quad \text{as} \quad n \rightarrow \infty, \quad (9)$$

$$211 \quad \text{Im}(\omega) = \frac{|k|N_1\pi n}{\alpha^2 + (\pi n)^2} \sim \frac{|k|N_1}{\pi n} \quad \text{as} \quad n \rightarrow \infty. \quad (10)$$

213 The corresponding vertical structure for the leaky rigid lid modes is given by

$$214 \quad f(z) = -\sinh(\alpha z) \cos(\pi n z) + i \cosh(\alpha z) \sin(\pi n z). \quad (11)$$

215 4. Features of the leaky rigid lid modes

216 In this section we show that, for the realistic choices of N_1 and N_2 , the first three leaky lid
 217 modes exhibit decay time-scales of 1 hour, 1.5 days and ~ 1 week. All the modes converge
 218 to the rigid lid modes in the limit of $N_1/N_2 \rightarrow 0$. Finally, there exists an $n = 0$ mode, which
 219 is stationary and has the fastest decay time-scale of 1 hour.

220 *a. Decay time-scales and slightly adjusted baroclinic speeds*

221 The leaky rigid lid modes decay at the rate

$$222 \quad Re(\omega) = -\frac{|k|N_1\alpha}{\alpha^2 + (\pi n)^2} \sim -\frac{|k|N_1\alpha}{\pi^2 n^2} \quad \text{as } n \rightarrow \infty \quad (12)$$

223 For a realistic atmosphere with $\alpha = 1/2$, $\tilde{L} = 1000$ km, and $\tilde{H} = 16$ km, the decay time-scales
 224 are

$$225 \quad T_n = \frac{\alpha^2 + (\pi n)^2}{\alpha|k|N_1} \frac{L}{\sqrt{gH}}$$

$$226 \quad T_0 = 1 \text{ hr}, \quad T_1 = 1.3 \text{ days}, \quad T_2 = 5.2 \text{ days}, \quad (13)$$

228 and the speeds of the modes are respectively

$$229 \quad v_0 = 0, \quad v_1 = 49 \text{ m/s}, \quad v_2 = 25 \text{ m/s}. \quad (14)$$

230 These are very close to the speeds of the rigid lid modes, which for the same values of
 231 the dimensional parameters are 51 m/s and 25.4 m/s for the first and the second baroclinic
 232 mode. Since the temporal frequency is

$$233 \quad Im(\omega) = \frac{N_1|k|}{\alpha^2/(\pi n) + \pi n},$$

234 for any α , as $n \rightarrow \infty$ the leaky lid frequencies and speeds approach those of the rigid lid
 235 modes. For the actual atmosphere this is true for all $n > 0$ because then $\alpha \ll \pi n$.

236 *b. Leaky modes as a correction to the classic rigid lid modes, and reappearance of the rigid*
 237 *lid in the limit of $N_1/N_2 \rightarrow 0$*

238 For realistic values of α the classic rigid lid mode $\sin(\pi n z)$ term shown in Fig. 4 is now
 239 only a part of the solution, with the slight modification in amplitude $\cosh(\alpha z)$, which is
 240 between 1 and 1.2 for $\alpha = 0.5$ (Fig. 3). The new part of the mode is the $\sinh(\alpha z) \cos(\pi n z)$
 241 term (See Fig. 2), which is zero at the lower boundary $z = 0$, but always $\sinh(\alpha)$ at the top
 242 boundary $z = 1$. The full solution (corresponding to the modes $n = 0, 1, 2$ and 3), at time
 243 $t = 0$, and for $kx = 1$, is shown in Fig. 5.

244 One of the remarkable features of our model is the parameter $\alpha = \tanh^{-1}(N_1/N_2)$.
 245 The classic rigid lid approximation is only valid in the limit $\alpha \rightarrow 0$, which corresponds to
 246 $N_1/N_2 \rightarrow 0$. Indeed, the vertical structure function in this limit becomes $f(z) = \sin(\pi n z)$,
 247 the decay time-scales becomes infinite, and the leaky mode $n = 0$, described below, is no
 248 longer a non-trivial solution. The frequency of the modes converges to the rigid lid modes
 249 frequency $\omega = |k|N_1/\pi n$, and the speed of the modes becomes the speed of the baroclinic
 250 rigid lid modes $v = \text{sign}(k)N_1/\pi n$.

251 *c. Disappearing boundary as $N_1/N_2 \rightarrow 1$*

252 In the limit $N_1/N_2 \rightarrow 1$, which corresponds to $\alpha \rightarrow +\infty$, the boundary disappears.
 253 For example, for constant $N = N_1 = N_2$ the equation $\phi_{ttzz} = -N^2\phi_{xx}$ factors, yielding
 254 two independent wave solutions with upwards and downwards group velocities, of which the
 255 EBC selects only the upward-moving one:

$$\begin{aligned}
 256 \quad (\partial_{tz} - |k|N)(\partial_{tz} + |k|N)\phi &= 0, \\
 257 \quad (\partial_{tz} + |k|N)\phi &= 0, \quad \text{at } z = 1 \\
 258 \quad \phi &= 0, \quad \text{at } z = 0.
 \end{aligned}$$

259 More generally, in this case discrete modes do not exist anymore.

260 *d. The new $n = 0$ mode*

261 We have discovered a new mode with $n = 0$, which is not present in the classical model.
262 It has zero speed, decays on a time-scale of one hour, and does not have oscillations in the
263 vertical. Its vertical structure for any value of α is simply

$$264 \quad f(z) = \sinh(\alpha z).$$

265 In the rigid lid limit, the mode disappears as expected as $\alpha \rightarrow 0$.

266 This is a tropospheric mode with a barotropic flavor. Physically, it may represent the
267 fast adjustment of the troposphere to global perturbations, such as those originating from
268 deep convection.

269 **5. Projecting onto the leaky rigid lid modes**

270 Projecting the initial data or an external forcing onto the leaky modes is a non-trivial task,
271 because the eigenvalue problem in the vertical is not standard, since it has an eigenvalue in
272 one of the boundary conditions, and the corresponding leaky modes are not orthogonal. The
273 approach that we have found the simplest is to map the original variable ϕ and its second
274 derivative with respect to t and z onto new variables A and B , for which the projection
275 reduces to a Fourier series decomposition, and then map them back into ϕ and ϕ_{tz} .

276 To do that we go back to the system (1) for ϕ , and look for solution in the form $\phi(x, z, t) =$
277 $e^{ikx}\Phi(z, t)$. Then Φ satisfies

$$278 \quad \Phi_{ttzz} = N_1^2 k^2 \Phi, \quad 0 < z < 1,$$

$$279 \quad \Phi_{tz} = -\mu N_1 |k| \Phi, \quad \text{at } z = 1,$$

$$280 \quad \Phi = 0, \quad \text{at } z = 0,$$

282 where $1/\mu = N_1/N_2 = \tanh^{-1}(\alpha)$. The values $\mu = 1$ and $\mu \rightarrow +\infty$ correspond to the
283 vanishing boundary and the rigid lid respectively. Absorbing $N_1|k|$ into a new time τ , the

284 equation simplifies:

$$\begin{aligned}
285 \quad & \Phi_{\tau\tau zz} = \Phi, \quad 0 < z < 1, \\
286 \quad & \Phi_{\tau z} = -\mu\Phi, \quad \text{at } z = 1, \\
287 \quad & \Phi = 0, \quad \text{at } z = 0.
\end{aligned} \tag{15}$$

289 Motivated by the functional form of the leaky lid modes (11), we introduce new variables A
290 and B related to Φ by the following transformation

$$291 \quad \begin{pmatrix} \Phi \\ \Phi_{z\tau} \end{pmatrix} = \begin{pmatrix} -\sinh(\alpha z) & \cosh(\alpha z) \\ \cosh(\alpha z) & -\sinh(\alpha z) \end{pmatrix} \begin{pmatrix} A \\ iB \end{pmatrix}. \tag{16}$$

292 A straightforward calculation shows that under this transformation the equation (15) is
293 equivalent to

$$\begin{aligned}
294 \quad & A_{z\tau} = iB + i\alpha B_\tau, \\
295 \quad & B_{z\tau} = -iA - i\alpha A_\tau, \\
296 \quad & B = 0 \quad \text{at } z = 0, 1.
\end{aligned} \tag{17}$$

298 Notice now that this last system is easily solvable using cosine Fourier series for A and sine
299 Fourier series for B , where we can use the standard formulas to compute the coefficients.
300 Furthermore, through the transformation from (A, B) to Φ it is easy to see that the above
301 Fourier series become the leaky modes for Φ .

302 One may wonder how one arrives to the transformation above. That A and B should
303 satisfy (17) follows from the form of the leaky modes, which suggests that A and B should
304 be cosines and sines respectively. Hence, mode by mode one should have

$$\begin{aligned}
305 \quad & A_z = -(\pi n)B = -\left(\frac{1}{i\omega_n} + \frac{\alpha}{i}\right)B, \\
306 \quad & B_z = (\pi n)A = \left(\frac{1}{i\omega_n} + \frac{\alpha}{i}\right)A.
\end{aligned}$$

308 where we have used that $\omega_n = (-\alpha + i\pi n)^{-1}$. Therefore, multiplying these equations by ω_n
309 and replacing $\omega_n B$ by B_τ and $\omega_n A$ by A_τ yields (17). The rest is obvious.

310 **Conclusions**

311 We offer a potential answer to the debate on whether the atmosphere should be modeled
312 as infinite or finite, and whether there exist discrete modes at all: the troposphere can be
313 studied in isolation, but with an effective boundary condition at the top which allows a
314 fraction of the energy in the long waves to escape into the stratosphere. This approach is
315 valid under the assumption that the waves that escape through the tropopause do not return
316 after being reflected in stratospheric inhomogeneities. Our effective boundary condition gives
317 the same reflection coefficient at the tropopause as if there were a stratosphere above with
318 a prescribed buoyancy frequency. This self-contained model of the troposphere has the
319 dissipative properties associated with the upward wave radiation of an infinite atmosphere,
320 even though it has a discrete spectrum in the vertical. The new leaky rigid lid modes, which
321 we compute assuming that the buoyancy frequency is piece-wise constant, decay in time with
322 characteristic time-scales of 1 hour, 1.5 days and 1 week for the first three modes. These
323 are typical relaxation times of many atmospheric phenomena, suggesting that upward wave
324 radiation could be a key player in setting up these times, and providing a modeling scenario
325 to study them.

326 In this article, we have concentrated on the new physics and mathematical formulation of
327 the leaky rigid lid, for which we have adopted the simplest scenario of linear and irrotational
328 waves. Further work is required to include the effects of vorticity and the Earth rotation.
329 This would constitute an important step in the study of the interplay between wave radiation
330 and eddies and storms.

331 **6. Figures and tables**

332 *a. Figures*

333 *Acknowledgments.*

334 The work of the authors was partially supported by grants from the National Science
335 Foundation (NSF), as follows: L. G. Chumakova by NSF 0903008, R. R. Rosales by DMS
336 1007967 and DMS 0907955, and E. G. Tabak by DMS 0908077.

REFERENCES

- 339 Bennett, A. F., 1975: Open boundary conditions for dispersive waves. *J. Atmos. Sci.*, **33**,
340 176–182.
- 341 Ekman, V. W. and V. Bjerknes, 1904: Fridtjof nansens fond til videnskabens fremme on dead-
342 water: being a description of the so-called phenomenon often hindering the headway and
343 navigation of ships in norwegian fjords and elsewhere, and an experimental investigation
344 of its causes etc. *Norwegian North Polar expedition, 1893-1896: Scientific results*.
- 345 Franklin, B., 1905: *The Writings of Benjamin Franklin III: London*. The Macmillan com-
346 pany.
- 347 Garner, S. T., 1986: A radiative upper boundary condition adapted for f-plane models.
348 *Monthly weather review*, **114**, 1570–1577.
- 349 Haertel, P. T., G. N. Kiladis, A. Denno, and T. M. Rickenbac, 2008: Vertical-mode decom-
350 positions of 2-day waves and the maddenjulian oscillation. *J. Atmos. Sci.*, **65**, 813–833.
- 351 Kasahara, A. and P. L. da Silva Dias, 1986: Response of planetary waves to stationary
352 tropical heating in a global atmosphere with meridional and vertical shear. *J. Atmos.*
353 *Sci.*, **48(18)**, 1893–1911.
- 354 Klemp, J. B. and D. R. Durran, 1983: An upper boundary condition permitting internal
355 gravity waves radiation in numerical mesoscale models. *Monthly weather review*, **111**,
356 430–444.
- 357 Lindzen, R., 2003: The interaction of waves and convection in the tropics. *J. Atmos. Sci.*,
358 **60**, 3009–3020.

- 359 Majda, A. J. and M. Shefter, 2001: Models for stratiform instability and convectively coupled
360 waves. *J. Atmos. Sci.*, **58**, 1567-1584.
- 361 Purser, J. and S. Kar, 2001: Radiative upper boundary conditions for a nonhydrostatic
362 atmosphere. *NOAA report*.
- 363 Raupp, C. F. M., P. L. S. Dias, E. G. Tabak, and P. Milewski, 2008: Resonant wave
364 interactions in the equatorial waveguide. *J. Atmos. Sci.*, **65** (11), 3398–3418.

365 List of Figures

- 366 1 Incoming, reflected and transmitted waves at the interface between the tro-
367 posphere ($N = N_1$) and the stratosphere ($N = N_2$), where N is the Brunt-
368 Väisälä frequency. The wave amplitudes are I , R and T and the vertical
369 wave-numbers are m_1 , $-m_1$ and m_2 respectively. 19
- 370 2 Component $\sinh(\alpha z) \cos(\pi n z)$ ($n = 0, 1, 2, 3$) of the leaky lid modes gener-
371 ated by the dissipation, representing new behavior not present in the classic
372 rigid lid modes. 20
- 373 3 Component $\cosh(\alpha z) \sin(\pi n z)$ ($n = 0, 1, 2, 3$) of the leaky lid modes, which
374 corresponds to the classic rigid lid modes. 21
- 375 4 The first three classic rigid lid modes. 22
- 376 5 The full solution corresponding to the first four leaky lid modes ($n = 0, 1, 2, 3$)
377 at $t = 0$ and $kx = 1$. 23

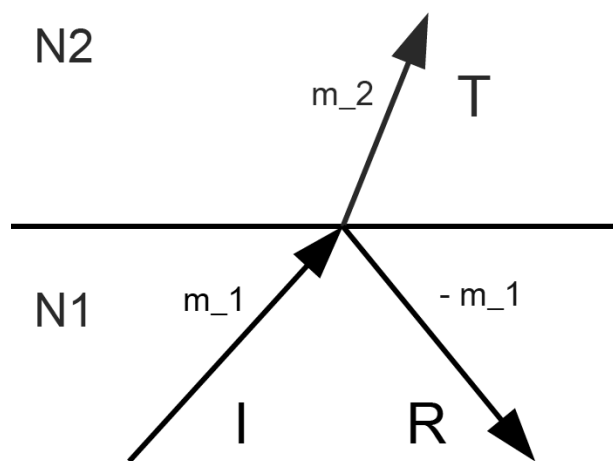


FIG. 1. Incoming, reflected and transmitted waves at the interface between the troposphere ($N = N_1$) and the stratosphere ($N = N_2$), where N is the Brunt-Väisälä frequency. The wave amplitudes are I , R and T and the vertical wave-numbers are m_1 , $-m_1$ and m_2 respectively.

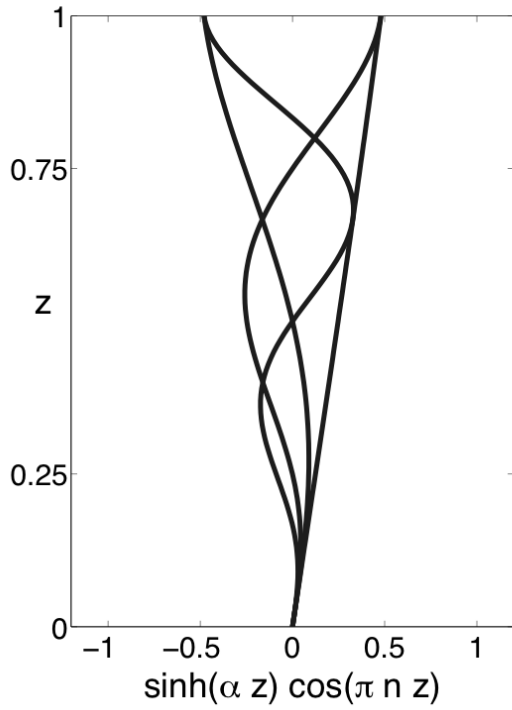


FIG. 2. Component $\sinh(\alpha z) \cos(\pi n z)$ ($n = 0, 1, 2, 3$) of the leaky lid modes generated by the dissipation, representing new behavior not present in the classic rigid lid modes.

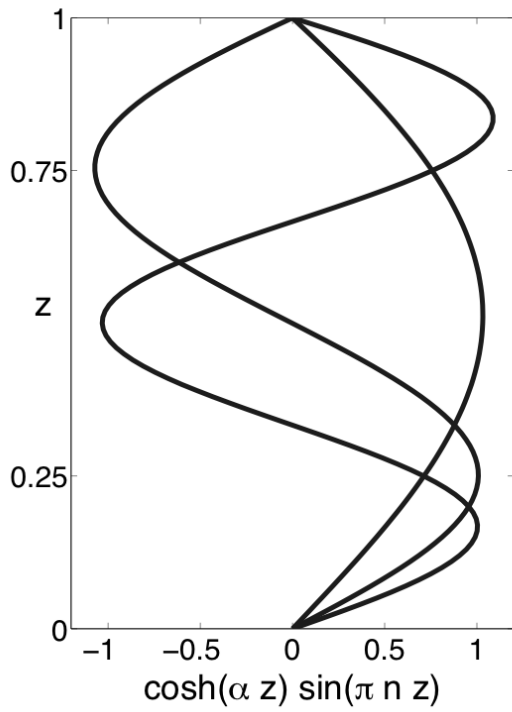


FIG. 3. Component $\cosh(\alpha z) \sin(\pi n z)$ ($n = 0, 1, 2, 3$) of the leaky lid modes, which corresponds to the classic rigid lid modes.

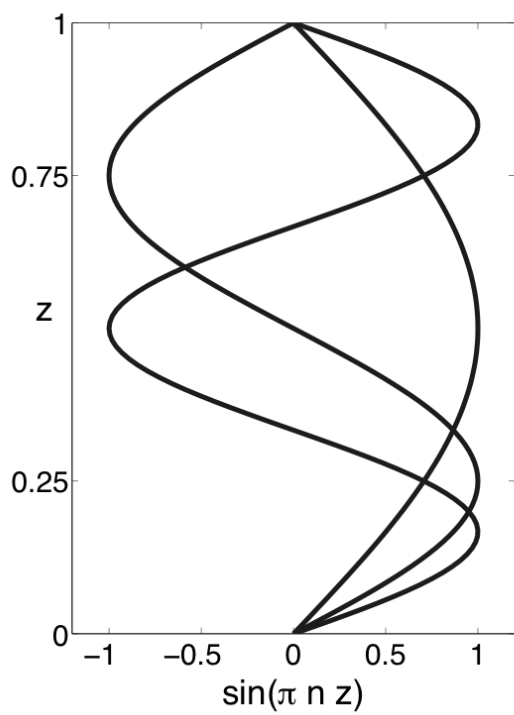


FIG. 4. The first three classic rigid lid modes.

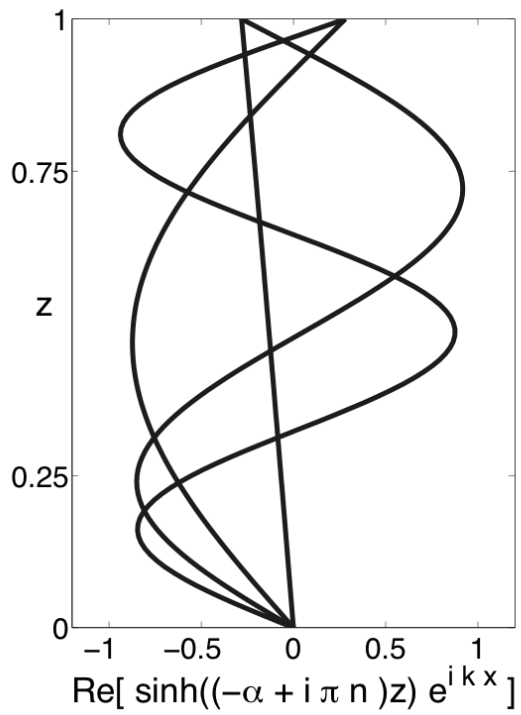


FIG. 5. The full solution corresponding to the first four leaky lid modes ($n = 0, 1, 2, 3$) at $t = 0$ and $kx = 1$.