

1 **3D-simulation of sound propagation through the wake of a wind turbine: impact of the**
2 **diurnal variability**

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14 ABSTRACT

15 Coupled three-dimensional numerical flow and sound propagation simulations were performed for
16 four different times of a diurnal cycle in the area downwind of a wind energy converter with a hub
17 height of 100 m and a rotor radius of 50 m. The sound propagation from the turbine is subject to
18 vertical and lateral refraction in the wind speed deficit of the wake. The latter is influenced by the
19 varying static stability and turbulence condition of the atmospheric boundary layer. The sound level
20 near the ground is significantly increased by the atmospheric and wake-induced refraction for
21 distances larger than eight times the rotor diameter. This increase is strongest in the morning and
22 evening hours when it locally amounts up to 18 dB. Three-dimensional propagation effects are evident
23 and cannot be neglected. A significant sound-level variation during the turbine revolution is simulated
24 for the evening situation in the far field.

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27 KEYWORDS:

28 wind turbine, wake flow, sound propagation, diurnal cycle, numerical simulation

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39 1. Introduction

40 Wind energy converters emit sound which is mostly produced by the interaction between the rotating
41 blades and the turbulent air that impinges on and flows around the blades (aerodynamic noise; e.g.
42 Kim et al. [22]). Further sound is produced by the generator and diverse auxiliary drives to control
43 yaw and pitch. The problems of wind turbine noise in the environment (emission, propagation, impact
44 on human health) are summarized by Rogers et al. [32] or Tabassum-Abbasi et al. [36]. The perception
45 of wind turbine noise by people (annoyance) is addressed for instance by Pedersen et al. [29]. The
46 local impact of noise depends not only on the sound emission at the turbine, but also on the
47 propagation of the sound waves through the atmosphere. Both emission and propagation are
48 determined by the inflow condition (wind profile, temperature stratification, and turbulence) and the
49 operating condition of the turbine. The propagation is additionally influenced by the specific wake due
50 to the moving rotor blades, e.g. Vermeer et al. [39], and the underlying ground. The wake structure
51 was investigated by Lidar measurements, e.g. Bingöl et al. [3], Trujillo et al. [38] and Käsler et al.
52 [21], and numerical simulations, e.g. Wussow et al. [40], Jimenez et al. [20], Troldborg et al. [37],
53 Gross [13], Sørensen et al. [35], or Gebraad et al. [12].

54 Only in recent years publications appeared that consider the influence of the wake flow in predicting
55 the far-field sound impact by wind converters. Heimann et al. [17] used a three-dimensional ray-based
56 model which was coupled to two different Reynolds-averaged numerical flow models. They found that
57 the sound impact is very sensitive to details in the meteorological fields. Lee et al. [24] used a 2-
58 dimensional diagnostic wave-based propagation model with axisymmetric approximation and
59 successfully compared the results with measurements. Barlas et al. [1] studied the influence of the
60 wake on the sound impact above plane ground. They used a two-dimensional wave-based sound
61 propagation model that was coupled with a large-eddy simulation (LES) of the air flow. It turned out
62 that during stable stratification the sound level can be strongly underestimated if the turbine wake is
63 not considered. A consistent modelling procedure of the wind turbine noise problem is proposed by
64 Barlas et al. [2] who coupled an aerodynamic emission model for wind turbine noise with a LES flow
65 model to simulate the wake flow with an actuator line approximation of the wind turbine blades, and
66 an acoustic propagation model based on the parabolic equation (PE). A similar approach is followed
67 by Cotté [5]. Since the PE models of [2] and [5] are only two-dimensional they are applied in vertical
68 slices that are connecting emission points near the rotating blade tips with diverse ground-based
69 receiver point around the turbine.

70 A shortcoming of two-dimensional sound propagation modelling in a vertical plane is the neglect of
71 horizontal refraction due to horizontal gradients of wind and/or temperature. In an undisturbed
72 atmosphere vertical gradients of both wind and temperature prevail and therefore the influence of
73 horizontal refraction is negligible. However, once obstacles such as hills, buildings, trees or wind
74 turbines retard or deflect the air flow, horizontal gradients become important. In the case of the wake
75 flow downstream of wind energy converters vertical and horizontal gradients in the wind field are of
76 the same magnitude (e.g. Fig. 7 in Trujillo et al. [38]). This implies that refraction of sound waves not
77 only occurs in the upward and downward directions but also in all other directions (horizontal and
78 slant). Sound waves emerging from the blades into the wake flow therefore pass a three-dimensional
79 system of acoustical lenses leading to local focusing and caustics or to defocusing of the sound rays.

80 The present paper aims at the numerical simulation of sound propagation in the area downwind of a
81 wind turbine in three dimensions. The three-dimensional wind and temperature fields are provided by
82 precursory large-eddy simulations (LES) which consider the resistance of a wind turbine on the air
83 flow. To cover different situations the results of Englberger and Dörnbrack [10] were used. They refer
84 to four selected times of a full diurnal cycle.

85 The objective of this study is the elucidation of three-dimensional atmospheric sound propagation
86 effects with the help of three-dimensional numerical simulation. The evaluation is limited to the area
87 downwind of a wind turbine which includes the wake of the rotor. Here the influence of the
88 atmospheric structures on the acoustic refraction is in the focus. Therefore the model fully describes
89 refraction due to wind and temperature gradients in three dimensions. An accurate description of the
90 aero-acoustic source as the result of the interaction between the turbulent air stream and the rotating
91 blades ('blade-vortex interaction') is not intended. Nevertheless, the sound emission is realistically
92 prescribed with respect to source position, spectrum and directivity. Moreover, the study does not aim
93 at the time behaviour of sound levels. It rather deals with sound levels averaged over the turbulent
94 time scale. This applies to partial sound levels according to various source positions taken during the
95 revolution of the rotor and the mean sound level over a full rotation.

96 2. Flow simulation

97 2.1 Model

98 The study deals with a 3-blade horizontal-axis wind turbine with a hub height of $z_{hub} = 100$ m above
99 ground and an upwind rotor with a radius of $r = 50$ m or diameter of $D = 100$ m (Englberger and
100 Dörnbrack [9, 10]). The turbine is located in the origin of the coordinate system at $x_0 = y_0 = 0$ on
101 plane ground (Fig. 1).

102 The multiscale geophysical flow solver EULAG (Smolarkiewicz and Margolin [34]; Prusa et al. [31];
103 Englberger and Dörnbrack [9]) is applied in the large-eddy simulation (LES) mode to determine the
104 small-scale flow modification by the rotor in the downwind domain. The turbine-induced force is
105 implemented with the blade-element momentum method as a rotating actuator disc (e.g. Branlard [4];
106 Englberger and Dörnbrack [9]). A turbulent kinetic energy closure (Schmidt and Schumann [33];
107 Margolin et al. [26]) is applied.

108 The flow model domain comprises 512×512 numerical meshes in the horizontal with a resolution of
109 5 m (Fig. 1). In the vertical the computational domain extends up to $z = 420$ m with a resolution of 5 m
110 in the lowest 200 m and 10 m above.

111 As large-scale initial condition a wind is assumed to blow with 10 m/s parallel to the x -axis so that the
112 rotor plane of the turbine lays in the y - z -plane. Further, the wind-turbine simulations are conducted
113 with synchronized turbulent inflow data of a diurnal-cycle driven boundary-layer flow over a
114 homogeneous surface with a constant drag coefficient of 0.1 (Englberger and Dörnbrack [10]).

115 Four meteorological situations are considered. They represent four different times of a day during a
116 full summer solstice mid-latitude diurnal cycle over grass-covered ground with undisturbed short- and
117 longwave radiation: midnight (00 LT), morning (05 LT), noon (12 LT), and evening (18 LT). LT
118 stands for 'local time'. The situations 00 LT and 12 LT represent a stable and a convective boundary
119 layer, respectively. The situations 05 and 18 LT represent the transition from night to day and vice
120 versa. They are defined to be representative of the time period in which the heat flux changes sign,
121 whereas the convective boundary layer corresponds to the heat flux maximum (here: 140 W/m^2) and
122 the stable boundary to its minimum (here: -10 W/m^2). Further details of the flow simulations, the
123 implementation of the diurnal cycle, and the simulation results are fully described in [9].

124 For the subsequent acoustical simulations average wind (\bar{u} , \bar{v} , \bar{w}) and temperature (\bar{T}) are stored as
125 three dimensional fields for each of the four situations (00, 05, 12, and 18 LT). \bar{u} , \bar{v} , and \bar{w} are the
126 average wind components in x , y , and z -direction, respectively. \bar{u} , \bar{v} , \bar{w} , and \bar{T} are averaged over 50
127 minutes, i.e. the full large-eddy simulation time after a 10-min initial spin-up time. In addition to wind

128 and temperature the three-dimensional distribution of the turbulent kinetic energy (\bar{E}) is provided. The
129 water vapour concentration (humidity) is not modelled.

130 2.2 Results

131 Fig. 2 shows the vertical profiles, for each of the four simulations, of the 50-min average sound speed

$$132 \quad \bar{c} = \sqrt{\frac{c_p}{c_v} R_d \bar{T}} \quad (1)$$

133 in the undisturbed upwind domain of the wind turbine. The average sound speed \bar{c} is determined from
134 the simulated average temperature \bar{T} where c_p and c_v are the specific heat capacities of air at constant
135 pressure and volume, respectively, and R_d is the gas constant of dry air. At time 12 LT the sound
136 speed decreases with height as the temperature lapse rate is superadiabatic ($\partial\bar{T}/\partial z < -g/c_p$ with the
137 gravity acceleration g) near the ground and represents a convective boundary layer. Six hours later in
138 the evening at 18 LT the boundary layer has further warmed, but the near-ground superadiabatic
139 gradient has disappeared so that the sound speed decreases uniformly with height and the boundary
140 layer is neutrally stratified. Again six hours later at midnight (00 LT) a strong ground-based inversion
141 layer has formed. Now the boundary layer is stably stratified and the sound speed increases with
142 height up to $z \approx 100$ m. Above this level the sound speed remains unchanged with a negative vertical
143 gradient. In the morning at 05 LT the inversion layer has become slightly deeper and now reaches up
144 to $z \approx 130$ m. The very strong gradient near the ground is replaced by a moderate increase with
145 height. The mean vertical sound-speed gradient in the layer $0 \leq z \leq z_{\text{hub}}$ amounts to $+0.037 \text{ s}^{-1}$ (00
146 LT), $+0.022 \text{ s}^{-1}$ (05 LT), -0.014 s^{-1} (12 LT), and -0.007 s^{-1} (18 LT).

147 The corresponding vertical profiles of the wind components \bar{u} and \bar{v} are shown in Fig. 3 on both sides
148 (upwind and downwind) of the wind turbine. At 12 and 18 LT the \bar{u} -profiles are similar on the upwind
149 side. Near the ground the vertical wind speed gradient is rather strong and the prescribed large-scale
150 wind speed of 10 m/s is approached already below the rotor plane. In the downwind domain (200 m
151 behind the turbine) the wind is decelerated in the rotor layer as the wake effect. The wind deficit
152 increases from 12 LT to 18 LT. Below the rotor plane a slight increase of the wind speed is simulated.
153 At 00 LT, after the stabilization of the boundary layer, the inflow wind speed has decreased in the
154 lowest 50 m and slightly increased above $z \approx 80$ m. Five hours later at 05 LT a weak low-level jet
155 (LLJ) has formed as a consequence of the geostrophic-antitriptic imbalance. The wind speed
156 maximum of the LLJ has established at $z \approx 90$ m, i.e. a few meters below the height of the wind
157 turbine hub. In the downwind domain the nightly wind speed minimum in the wake of the rotor is
158 even stronger than in the evening and the vertical gradients at the lower and upper limit of the wake
159 have become rather strong. The \bar{v} -profiles reflect the Ekman turning of the wind direction in the
160 boundary layer. The turning is rather weak during unstable and neutral stratification at 12 and 18 LT.
161 It is especially pronounced at 00 and 05 LT in the stable inversion layer. The Ekman-turning implies
162 an asymmetry of the wind field with respect to the y -axis.

163 The simulated wake structure in the downwind domain of the wind turbine is presented in Fig. 4 for
164 the four situations of the diurnal cycle. The figure shows vertical cross-sections through $y=0$ of the
165 effective sound speed $\bar{c}_{\text{eff},x} = \bar{c} + \bar{u}$ for downstream sound propagation. Gradients of the effective
166 sound speed cause refraction of sound waves, i.e. sound rays are diverted towards the region with
167 smaller values of $\bar{c}_{\text{eff},x}$. The wind speed reduction in the wake of the turbine is particularly sharp and
168 elongated during the stable stratification of the midnight (00 LT) and morning (05 LT) situation.
169 Under convective conditions at 12 LT the speed deficit only extends a few hundred meters because of

170 high turbulence and corresponding mixing. At 18 LT, when the boundary layer is almost neutrally
 171 stratified, the wake is moderate. The different lengths of the wake in stable and unstable conditions
 172 agree with other studies (e.g. Gross [13]; Barlas et al. [1]).

173 The three-dimensional structure of the wake is illustrated in Fig. 5 for the situation 00 LT. The figure
 174 shows the spanwise gradient of the effective speed of sound $\bar{c}_{\text{eff},x}$ for propagation in x -direction 400 m
 175 downstream of the wind converter. Near the surface this gradient causes downward refraction as it is
 176 usual in downwind propagation. In the wake, however, the streamwise propagating sound waves are
 177 refracted towards the core of the wake velocity deficit. The maximum magnitude of refraction is
 178 independent of the direction of refraction, i.e. lateral and vertical refractions are equally important in
 179 the wake of the wind turbine. The asymmetry of the gradient follows from the Ekman-turning below z
 180 $= 120$ m (cf. Fig. 3).

181 3. Sound propagation simulation

182 3.1 Description of the model

183 In this study a three-dimensional ray-based sound particle model is used (Heimann and Gross [16]).
 184 This Lagrangian type of model is much less expensive than a 3-dimensional time-domain Euler model,
 185 for instance. Therefore, it can be applied to a large domain. In [16] the model was compared with
 186 analytical results and published benchmark results of a fast-field-program (FFP) model. The model
 187 was previously applied to wind turbine noise by Heimann et al. [17].

188 In the model a large number of so-called sound particles are released at the position of one or several
 189 source points from where they propagate into the surrounding airspace. Each particle carries a certain
 190 amount of sound energy depending on the strength of the source. The specific sound energy of a
 191 particle also depends on its initial direction to account for the source directivity. The particles travel
 192 with the speed of sound relative to the moving air along rays which can be curved according to the
 193 local gradients of the sound and wind speed (refraction). The ray coordinates are calculated by a
 194 numerical time integration of the following equations which determine the position and the direction
 195 of travel of the particles (Pierce [30]; Chapter 8):

$$196 \frac{dx_i}{dt} = (\bar{u} + u') + \bar{c} n_{x,i} \quad (2)$$

$$197 \frac{dy_i}{dt} = (\bar{v} + v') + \bar{c} n_{y,i} \quad (3)$$

$$198 \frac{dz_i}{dt} = (\bar{w} + w') + \bar{c} n_{z,i} \quad (4)$$

$$199 \frac{dn_{x,i}}{dt} = -\frac{\partial \bar{c}}{\partial x} - \left(\frac{\partial(\bar{u} + u')}{\partial x} + \frac{\partial(\bar{v} + v')}{\partial x} + \frac{\partial(\bar{w} + w')}{\partial x} \right) \quad (5)$$

$$200 \frac{dn_{y,i}}{dt} = -\frac{\partial \bar{c}}{\partial y} - \left(\frac{\partial(\bar{u} + u')}{\partial y} + \frac{\partial(\bar{v} + v')}{\partial y} + \frac{\partial(\bar{w} + w')}{\partial y} \right) \quad (6)$$

$$201 \frac{dn_{z,i}}{dt} = -\frac{\partial \bar{c}}{\partial z} - \left(\frac{\partial(\bar{u} + u')}{\partial z} + \frac{\partial(\bar{v} + v')}{\partial z} + \frac{\partial(\bar{w} + w')}{\partial z} \right) \quad (7)$$

202 x_i, y_i, z_i are the position coordinates of the i -th particle and $n_{x,i}, n_{y,i}, n_{z,i}$ are the components of the
 203 wave vector of the i -th particle which is perpendicular to the wave front and determines the direction
 204 of the particle movement relative to the air.

205 The mean wind components $\bar{u}, \bar{v}, \bar{w}$ and the mean temperature \bar{T} are taken from the three-dimensional
 206 LES model output (50-min average values) after interpolation to the current position of the i -th sound
 207 particle. The components u', v', w' represent the turbulent deviation from the mean wind field. The
 208 simulated turbulent kinetic energy \bar{E} is used to control a synthetic turbulence generator which
 209 determines random realizations of u', v', w' so that spherical eddies are created which superimpose the
 210 mean flow and whose amplitude and size distribution statistically fulfil the local \bar{E} and Kolmogorov's
 211 $k^{-5/3}$ law, respectively. The generator is used instead of loading a high number of instantaneous wind
 212 fields from the LES results. Turbulent fluctuations of the temperature are not considered. For the given
 213 wind speed they do not contribute significantly to the turbulent deviations from the mean effective
 214 sound speed $\bar{c} + \bar{u}$ in x -direction. A detailed description of the turbulence generator can be found in
 215 Section 3 of Heimann and Blumrich [14]. This parameterization accounts for the time-average effect
 216 of turbulence on refraction. Scattering by turbulence and turbulence-induced temporal fluctuations of
 217 the sound level are not simulated. Comparisons between the application of the turbulence generator
 218 and instantaneous LES realizations (snap shots) resulted in less than 0.3 dB difference of the mean
 219 sound level (Heimann et al. [15]).

220 3.2 Sound emission

221 Three source points are defined to represent the aeroacoustic sound emission of the three-blade rotor.
 222 The source points are 5 m away from the blade tip positions. Simulations are performed for twelve
 223 rotor angles ($0^\circ, 10^\circ, \dots, 110^\circ$) to describe a 1/3 revolution. Because the three blades are identical these
 224 simulations represent the full circle of source positions (Fig. 6). The considered frequencies cover all
 225 1/3-octave bands from 20 Hz to 16 kHz, represented by the centre frequencies. The emission spectrum
 226 corresponds to Deutsche WindGuard [7]. The source points are assumed to be incoherent so that the
 227 phase can be disregarded when the sound level is determined in the receiver volumes.

228 The directivity of the source is set according to Ffowcs Williams and Hall [11] as cited by Oerlemans
 229 [28]. In this approach the directivity does not depend on frequency.

$$230 \Delta L_{\text{dir}} = 10 \lg (\sin^2(0.5 \vartheta) \sin(\varphi)) \quad (8)$$

231 with

$$232 \varphi = \arccos(- (n_x b_{21} + n_y b_{22} + n_z b_{23}))$$

$$233 \vartheta = \pi - \arccos(- (n_x b_{11} + n_y b_{12} + n_z b_{13}))$$

$$234 b_{11} = 0 ; b_{12} = \cos(\gamma) ; b_{13} = \sin(\gamma)$$

$$235 b_{21} = 0 ; b_{22} = -b_{13} ; b_{23} = b_{12}$$

$$236 \gamma = \arccos\left(\frac{z - z_{\text{hub}}}{r_s}\right)$$

237 z is the actual height of the source, z_{hub} the hub height, and r_s is the distance between the source point
 238 and the hub with $r_s = 0.9 r$, where r is the radius of the rotor. The unity vector $\vec{n} = (n_x, n_y, n_z)$ defines
 239 the direction of emission, i.e. it is the starting vector of a sound ray.

240 Variations of the emission due to turbulent inflow (blade-vortex interactions) or varying blade and
 241 rotor parameters are not considered. The same applies to non-aeroacoustic sound (servo drives,
 242 generator noise).

243

244 3.3 Sound propagation

245 The acoustical domain size is confined by $0 \leq x \leq 2000$ m (length), $-200 \text{ m} \leq y \leq +200$ m (width),
 246 and $0 \leq z - h \leq 250$ m (height); cf. Fig. 1. The height ensures that all particles, even those from high
 247 source positions and in downward refraction do not leave the domain through its upper lid before they
 248 reach ground-based receivers within the computational domain.

249 4,000,000 sound particles are used per source point. The sound particles are not emitted into the full
 250 space, but only into those directions that send the particles towards receiver volumes inside the model
 251 domain. Depending on the source position the starting direction of the particles (relative to the x -axis)
 252 ranges between -64.5° and $+64.5^\circ$ horizontally and between -55.4° and $+27.6^\circ$ vertically. The
 253 particles are traced with a time step of $\Delta t = 0.003$ s until they have left the computational domain. For
 254 a sound speed of $c = 340$ m/s this time step corresponds to spatial steps of 1 m length. The spherical
 255 receiver volumes have a diameter of 5 m. The volume centres are equidistant with a spacing of
 256 $\Delta x = \Delta y = \Delta z = 5$ m.

257 During their travel in the air the particles continuously lose sound energy due to air absorption. This
 258 process is parameterized according to ISO 9613-1 [19] as a function of frequency and temperature \bar{T} .
 259 As the relative humidity is not provided by the flow model a standard value, 70 percent, is assumed.
 260 Particles which hit the ground are reflected, i.e. they change their direction (specular reflection), lose a
 261 part of their energy and change their attributed phase according to the complex impedance of the
 262 ground Z_G , the grazing angle ϕ , and the plane-wave reflection coefficient

$$263 \quad R = \frac{\sin \phi - \beta}{\sin \phi + \beta} \quad \text{with} \quad \beta = \frac{\bar{\rho} \bar{c}}{Z_G} \quad (9)$$

264 where $\bar{\rho} = p_0/(R_d \bar{T})$ is the mean density of air. The impedance ratio β is parameterized by the flow
 265 resistivity of the ground σ and the frequency according to Delany and Bazley [6], with $\sigma = 300 \text{ kPa s}$
 266 m^{-2} , typical of dense soil, in the whole domain and for all cases.

267 3.4 Studied cases and model output

268 Simulations were performed for each of the four diurnal situations (00, 05, 12, 18 LT) and, in addition,
 269 for an idealized situation with a non-refractive atmosphere. For each of the five situations twelve
 270 simulations refer to varying rotor angles ($0^\circ, 10^\circ \dots 110^\circ$). Each simulation considers the emission of
 271 all three blades for all 1/3-octave bands from 20 Hz to 16 kHz. In total, 5×12 simulations were
 272 performed.

273 The mean meteorological fields ($\bar{u}, \bar{v}, \bar{w}, \bar{c}$) only change with the diurnal situation. They are kept for
 274 the varying rotor angles, while turbulent wind fluctuations (u', v', w') are added to the mean fields. The
 275 components u', v', w' are randomly changed during the simulation time, i.e. the travel time of the
 276 particles. The procedure is described in Section 4 in [13]. The emitted sound power of the source, i.e.
 277 the total over all emission angles, and its distribution to the emission angles (directivity) is held for all
 278 simulations. The same applies to the ground impedance. This allows to isolate the meteorological
 279 propagation effects.

280 Each single simulation assumes that the rotor is fixed at the given rotor angle position and sound is
 281 emitted until a steady state sound level is achieved at all receivers. This assumption is necessary
 282 because the travel time of the sound waves from the three blades to a specific receiver varies with the
 283 length and course of the contributing sound rays (e.g. direct or ground-reflected rays). Near the turbine
 284 ($x \leq 200$ m) the spent travel times vary by 0.15 to 0.30 s. Given a rotor speed of eight rotations per
 285 minute this means that coincidentally arriving sound waves at a receiver have been emitted at the
 286 sources while the rotor has turned by up to 14° . Therefore a sequence of results with increasing rotor

287 angle cannot be unconditionally interpreted as a dynamic time-dependent sound-level prediction.
288 Nevertheless, the results can be used to roughly assess the locally received amplitude modulation as
289 far they are caused by the modelled processes, i.e. source directivity and propagation effects
290 (refraction, ground reflection, and air absorption) in a steady state atmosphere.

291 All model results discussed in the following are A-weighted sound levels \bar{L}_A of the lowest layer of
292 receiver volumes with centres 2.5 m above the ground surface. They are calculated from the partial
293 sound levels for the centre frequencies of all 1/3-octave-bands from 20 Hz to 16 kHz. The
294 corresponding sound levels resulting from the simulations for a non-refractive atmosphere are referred
295 to as $\bar{L}_{A,nr}$. \bar{L}_A and $\bar{L}_{A,nr}$ are calculated for single rotor angles. They have to be interpreted as being
296 averaged over the time scale of turbulence. In addition, energy-equivalent mean sound levels are
297 calculated over all twelve rotor angles. The latter represent average sound levels over a full rotation for
298 the given meteorological situation and are denoted as \hat{L}_A and $\hat{L}_{A,nr}$. To isolate the effect of refraction
299 the relative sound levels $\bar{L}_A - \bar{L}_{A,nr}$ and $\hat{L}_A - \hat{L}_{A,nr}$ are evaluated in the following sections.

300 3.5 Tests

301 Two problems which are associated with the chosen model layout are addressed in two-dimensional
302 test runs in the x - z -plane for $y=0$ with all velocity components and gradients in y -direction being set to
303 zero. The test runs refer to the 00 and 12 LT situations and source heights 50, 100 to 150 m above
304 ground.

305 (a) Since the particle model is based on ray acoustics which in turn is a high-frequency
306 approximation, we performed test runs for all 1/3-octave band from 20 Hz to 16 kHz and
307 alternatively for the 1/3-octave bands from 100 Hz to 16 kHz. Omitting the lowest seven
308 frequency bands leads to maximum deviations of the relative sound level $\bar{L}_A - \bar{L}_{A,nr}$ of only 0.2
309 dB compared to the full spectrum. This applies to all tested configurations. Hence, it is concluded
310 that considering the full source spectrum does not impair the results.

311 (b) The application of the impedance parameterization of Delany and Bazley [6] or alternative one-
312 parameter models, e.g. Miki [27], to outdoor ground surfaces became subject to critics in the last
313 years, cf. Dragna and Blanc-Benon [8]. Therefore, two-dimensional test runs were performed for
314 rigid, i.e. totally reflecting ground. This eliminates the use of a parameterization. In most cases the
315 results for rigid ground do not deviate by more than 0.5 dB from those for the finite impedance
316 ground as parameterized using [6] for $\sigma = 300 \text{ kPa s m}^{-2}$. Only for a low source position (50 m
317 above ground) and $x > 1400 \text{ m}$ larger deviations of up to 5 dB were obtained. Since the present
318 study does not intend to investigate the influence of different ground properties, the simulations of
319 the present study are based on [6] for compatibility with earlier studies without expecting
320 impairments of the findings.

321 3.6 Results

322 This section deals with the results of the acoustic simulations in a rather descriptive way.
323 Interpretations, comparisons and discussions of all results are summarized in Section 4.

324 First, results for specific rotor angles are considered. As the rotor revolves the source positions vary
325 and the sound rays that contribute to the local sound impact change their course towards the receivers.
326 Hence, they encounter varying gradients of sound speed and wind and thus experience changing
327 refraction. The influence of the rotor angles on the near-ground sound level is shown in Fig. 7 by way
328 of example for the midnight situation 00 LT. The complex structure of the downwind atmosphere

329 leads to focusing and defocusing of the sound rays resulting in zones enhanced and diminished sound
330 levels. The patterns are changing as the rotor spins around, especially at distant positions ≥ 500 m .

331 The distributions of $\bar{L}_A - \bar{L}_{A,nr}$ are the consequence of what the sound waves have experienced during
332 their propagation from the elevated source points to the near-ground receivers. As Fig. 4 suggests, the
333 sound waves pass zones with upward and downward refraction. In addition come sideward and slant
334 refractions (Fig. 5). Descriptive ray patterns as they result from two-dimensional simulations (for
335 instance Fig. 6 in Heimann et al. [17]) can be hardly pictured in three dimensions. Instead, Fig. 8 gives
336 an impression of the three-dimensional effects. The shaded-surface graphs show that elongated and
337 entangled zones with focusing or even caustics exist where refraction locally increases the sound level
338 by more than 9 dB. The red-shaded contours in Fig. 7 indicate where these zones touch the ground.

339 The average sound levels over a full rotation are calculated as the energy-equivalent average sound
340 levels \hat{L}_A over the twelve rotor positions. As Fig. 9 reveals, the relative sound levels $\hat{L}_A - \hat{L}_{A,nr}$ show
341 rather different patterns of refraction effects near the ground during the course of the day. During
342 stable stratification (at 00 and 05 LT) the distributions are asymmetric with respect to the x -axis
343 because the wind direction turns with height. At 12 and 18 LT when the stratification is unstable or
344 neutral the wind barely veers and the patterns of the relative sound level are more symmetric with
345 respect to the x -axis. Refraction causes weak to moderate enhancement (3 to 6 dB) in elongated zones
346 with areas of diminishment (0 to -3 dB) in between. Under unstable conditions (12 LT) the wake of
347 the turbine is rather short and the sound level enhancement due to refraction is weak (up to 3 dB) and
348 restricted to the medium range ($600 \text{ m} \leq x \leq 1400 \text{ m}$). At 18 LT refraction causes a marked hairpin-
349 shaped increase of the near-ground sound level by more than 9 dB, locally up to 18 dB. Beyond
350 $x = 1500$ m a zone forms near the x -axis where the sound level drops by more than 12 dB below the
351 level of a non-refractive atmosphere. It is the consequence of defocusing. The three-dimensional
352 structure of this pattern is shown in Fig. 10. It discloses that the enhancement zone starts near the
353 ground at about $x = 500$ m, where a tube-like structure extends in downwind direction with increasing
354 vertical thickness. The pattern suggests that ground reflection significantly contributes to the focusing
355 which leads to enhancement.

356 Fig. 11 presents horizontal profiles along the x -axis of the near-ground A-weighted sound level \hat{L}_A
357 averaged over all rotor angles. To be independent of the source strength the graphs refer to the relative
358 sound level $\hat{L}_A - \hat{L}_{A,100}$, where $\hat{L}_{A,100}$ is the corresponding value at $x = 100$ m. Within the first 800 m
359 from the turbine the sound level decreases continuously. Up to $x = 500$ m the simulated sound levels
360 are not much influenced by refraction as they agree with the results of the reference simulation for a
361 non-refractive atmosphere. Beyond $x = 500$ m the curves separate as a consequence of refraction. At x
362 $= 800$ m $\hat{L}_A - \hat{L}_{A,100}$ varies by about 6 dB during the course of the day where the levels for 00 and
363 05 LT (stable boundary layer) are lower than those for 12 LT and 18 LT (convective and neutral
364 boundary layer). Between $x = 800$ m and $x = 1500$ m $\hat{L}_A - \hat{L}_{A,100}$ exceeds the curve for the non-
365 refractive reference for all situations except for 00 LT. A particularly high rise is simulated for the
366 evening situation at 18 LT when the level at $x = 1250$ m even reaches the near-field value at $x =$
367 200 m. Finally, beyond $x = 1500$ m all curves drop below the non-refraction reference curve.

368 Eventually, the variation of the sound level during one rotation of the turbine is addressed. The
369 amplitude modulation as a time-dependent phenomenon cannot be directly analysed in the model
370 results as explained in Section 3.4. However, if the sound level is evaluated as a function of the rotor
371 angle with the assumption of steady-state results for each single rotor angle, the amplitude of the local
372 sound level during a rotation can be at least estimated. Note that the simulated influence of the rotor
373 angle only includes variations of the source-receiver distance, the source directivity and the refraction

374 encountered during propagation. Temporal variations of the emission and the turbulent wind field also
375 contribute to amplitude variations in reality, but they are not considered in this study.

376 The sound-level variation during the revolution of the rotor is shown in Fig. 12 for two distances. At x
377 = 400 m sound levels vary by about 4 dB. A smaller variation (approx. 2 dB) is simulated for the
378 convective 12 LT situation. The variation of the reference sound level for a non-refractive atmosphere
379 is much smaller and indicates that the variation at this distance can be mainly attributed to refraction.
380 In the far field at $x = 1200$ m the sound-level variation is much larger, chiefly for the morning and
381 evening hours (05 and 18 LT). At 18 LT the variation width reaches more than 36 dB and the peaks
382 almost attain the near-field value of the average over all rotor angles at $x = 100$ m.

383 Fig. 13 shows the horizontal distribution of the excess sound level during one rotation, i.e. the
384 difference between the peak sound level and the average sound level over all rotor angles, $\bar{L}_{A,\max} - \hat{L}_A$.
385 Only near the source ($x \leq 500$ m) the maximum excess sound level is concentrated near the centre
386 line ($y = 0$). Farther away also lateral areas are affected. The highest excess sound levels are simulated
387 for 18 LT in the far field for $x \geq 1200$ m.

388 4. Discussion

389 The relevance of the attained results is discussed in this section. The results are examined with respect
390 to the role of the wake and the atmospheric stability on the sound field. They are compared with the
391 recently published results in Larsson and Öhlund [23], Barlas et al. [1] and Barlas et al. [2].

392 The principle simulation setup of our study resembles that of [1] and [2]: Acoustic simulations are
393 performed on large-eddy simulation output. This approach accounts for the influence of a wind turbine
394 on the meteorological environment of the sound waves propagating from the turbine to near-ground
395 receivers. In detail, there are some important differences which have to be taken into consideration
396 when comparing the results: The main difference in the flow simulations concerns the upstream
397 velocity perturbations. While [2] applied a pre-generated turbulent wind field (Mann [25]), scaled in
398 order to mimic the different turbulence intensity levels, Englberger and Dörnbrack [10] extracted
399 synchronized upstream velocity perturbations at each time step directly from a diurnal cycle precursor
400 LES run. Further, the wind turbine drag is parameterized by the actuator disc concept in our study
401 while the actuator line approach is used by [1] and [2]. As for the implementation of the sound source
402 the degree of sophistication in our study is between the rather simple parameterization in [1] and the
403 more advanced one in [2]. We use a standard source frequency spectrum, consider source directivity,
404 and one fixed source point per blade. All source parameters are kept constant between the cases. The
405 dimensions of the wind turbine and the meteorological situations differ slightly between our study and
406 [1], [2].

407 The main difference between the studies consists in the type of acoustical modelling. While [1] and [2]
408 use a two-dimensional parabolic equation (PE) model which they apply along selected vertical slices,
409 we rely on a fully three-dimensional sound particle model. On the one hand the PE approach is
410 superior because it accounts for refraction, ground reflection and diffraction for all frequencies, while
411 the ray-based particle model is a high-frequency approximation, i.e. low-frequency waves cannot be
412 accurately simulated near strong atmospheric gradients and in caustics. On the other hand the three-
413 dimensional particle model considers refraction in all directions. In many cases of outdoor sound
414 propagation it is well justified to neglect horizontal refraction because the main gradients in the
415 atmospheric boundary layer are vertically oriented except those in transient turbulent eddies. However,
416 in the wake of a wind turbine horizontal and vertical gradients have the same magnitude, even those of
417 the average atmospheric parameters, i.e. \bar{u} , \bar{v} , \bar{w} , \bar{c} .

418 The studies largely agree with regard to the simulated wind fields. The wind speed deficit in the wake
419 is more elongated in stable situations than it is in an unstable (convective) boundary layer where
420 turbulence causes a quick mixing and erosion of the wake deficit. There are also similarities in the
421 simulated sound-level fields. From the turbine downstream to a distance of approx. 1000 m the sound
422 level steadily drops. This decrease is more pronounced in stable stratification than in unstable
423 (convective) stratification (compare Fig. 8 in [1] with Fig. 11 here). Beyond a distance of 1000 m the
424 results differ although some features are still similar. In [1] a sudden increase of the sound level is
425 simulated where focused and downward refracted sound waves hit the ground. The location of the
426 onset depends on stability. From stable via neutral through to convective stratification the onset is
427 shifted streamwise. In our simulations there is a similar rise of the sound levels, but it is only found for
428 slightly stable and near-neutral stratification at 05 and 18 LT. For the convective case (12 LT) there is
429 no rise down to a distance of 2000 m. In Barlas et al. [1] the rise for the convective boundary layer
430 starts already somewhat before 2000 m, but the maximum is only behind our domain limit at $x = 2000$
431 m. The differences in the positions of the far-field increase of the sound levels are possibly caused by
432 the different size of the turbine ($z_{\text{hub}} = 80$ m vs. $z_{\text{hub}} = 100$ m and $r = 40$ m vs. $r = 50$ m) and the
433 different large-scale wind speed (12 m/s vs. 10 m/s). As shown by [1] the onset of the far-field rise is
434 shifted towards the turbine as the incoming wind speed increases. A smaller sized wind turbine should
435 also shift the rise towards the source. This partly explains the differences. Other discrepancies may
436 originate from three-dimensional effects. In contrast to [1] the results of Cotté [5] do not show major
437 differences between neutral, stable and unstable stratification in the downwind area ($0 < x \leq 1200$ m).
438 Maybe this is because the variation of the vertical temperature profiles is rather small and almost no
439 inversion and low-level wind maximum are showing up in the stable case.

440 In comparison to [2], who applied ‘quasi-3D’ propagation simulations, i.e. vertically two-dimensional
441 simulations in selected radial slices and subsequent horizontal interpolation, the fully three-
442 dimensional results show rather different horizontal patterns of the sound level for neutral
443 stratification (Fig. 12 in [1] upper row compared with Fig. 9 for 18 LT here). In particular, the 3-dim
444 simulations generate narrow longish zones of amplified sound levels. These are not visible in the
445 interpolated 2D results of [2]. This feature is attributed to the three-dimensional, i.e. vertical,
446 horizontal, and slant refraction.

447 Asymmetric sound-level distributions as they result in the stable cases (Fig. 9; 00 and 05 LT) are
448 caused by the vertical veering of the wind (Ekman effect). To capture this effect again fully three-
449 dimensional simulations are required.

450 As for the amplitude modulation (AM) Larsson and Öhlund [23] found from measurements in Sweden
451 that at a distance of 400 m (‘Ryningsnäs site’) most AM events appear in evening and morning hours
452 and during night. This agrees with our results which show that at this distance the amplitude variation
453 due to varying rotor angles is smallest for the day-time situation at 12 LT (cf. Fig. 12). At another
454 observation site (‘Dragaliden site’) the distance from the turbine is about 1200 m. Here the reported
455 amplitude modulation is even more frequent during stable stratification.

456 The high modulation depth that is simulated at $x = 1200$ m for 05 and 18 LT of 24 and even 36 dB
457 could not be verified in literature. Partly it may result from overestimated focusing of low-frequency
458 waves which is inherent in ray-based models. Nevertheless, modulation depths of up to 15 dB were
459 definitely reported (e.g. Ioannidou et al. [18]). In many real outdoor situations the sound-level minima
460 in the far field are masked by background noise which is not considered in the present simulations.
461 Given a near-field averaged sound-level of $\hat{L}_{A,100} = 50$ dB and a background noise level of 30 dB then
462 intermittent sound from the turbine would exceed the background noise by only 8 and 18 dB at 05 and
463 18 LT, respectively. This better fits in with the observed magnitude.

464 **5. Conclusion**

465 From the results of the simulations it can be concluded that the sound level in the downwind domain
466 of a single wind turbine is highly modified by the complex refraction in the wake which varies during
467 the course of the days. Sound waves are passing regions with downward, upward and sideward
468 refraction so that sound rays may be converging and diverging successively. This leads to local
469 focusing and even caustics and corresponding sound-level enhancements which can also affect the
470 sound level near the ground. As the meteorological conditions change and thereby modify the shape of
471 the wake the refraction patterns change accordingly and regions of amplified sound impact shift to
472 other places, do not reach the ground anymore or even disappear. It was already shown by Heimann et
473 al. [17] that sound propagation through the wake of a wind turbine is very sensitive to rather small
474 changes in the meteorological fields.

475 But also for a given time of the day, i.e. a fixed meteorological situation, the sound sources at the
476 rotating blades continuously move so that the sound rays towards a receiver pass through varying
477 regions of refraction. This leads to local oscillations of the sound level in the far field where the
478 typical near-field fluctuations due to directivity and varying distance are no longer important.

479 Moreover, it can be concluded that three-dimensional refraction effects are important. This is
480 particularly the case in stable conditions when the wind direction turns with height. This leads to an
481 asymmetric distribution of the sound impact with respect to the streamwise centre line.

482 In the future it is necessary to supplement numerical simulations with field measurements. Well-
483 instrumented research wind farms, with meteorological and acoustical sensors, covering wake and far
484 field, and controlled and documented operations, are about to become available for research and will
485 overcome the present lack in data.

486

487

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599 **Figure captions**

600 **Fig. 1:** Plane view of the coordinate system (x, y) and position of the domains of the flow model (outer
601 frame) and the sound propagation model (grey shaded). The grey arrow marks the main inflow wind
602 direction. The position of the wind turbine is indicated by the black symbol in the origin ($x=y=0$).

603 **Fig. 2:** Vertical profiles of the simulated 50-min average sound speed \bar{c} in the upwind area of the
604 wind turbine at $x = -200$ m, $y = 0$. The line styles indicate the time of the day (LT = local time).

605 **Fig. 3:** Vertical profiles of the simulated mean wind components \bar{u} and \bar{v} upwind (at $x = -200$ m,
606 $y = 0$, grey curves) and downwind (at $x = +200$ m, $y = 0$, black curves) of the wind turbine. The line
607 styles indicate the time of the day (LT = local time).

608 **Fig. 4:** Vertical cross sections (x - z -plane through $y=0$) of the effective speed of sound $\bar{c}_{\text{eff},x}$ for sound
609 propagation in x -direction. The time of the day is indicated as local time (LT). The red bars show the
610 vertical extent of the rotor plane.

611 **Fig. 5:** Vertical cross section (y - z -plane at $x = 400$ m) of the spanwise gradient of the effective
612 speed of sound $\bar{c}_{\text{eff},x}$ for the situation 00 LT. The arrows point into the direction of refraction, i.e.
613 towards low values of $\bar{c}_{\text{eff},x}$. The position of the rotor plane is indicated by the broken circle.

614 **Fig. 6:** Geometry of the wind turbine, rotor angle, and positions of the sound sources at the rotor
615 blades.. The turbine is seen from the downwind side (y - z -cross section through $x=0$).

616 **Fig. 7:** Near-ground ($z=2.5$ m) A-weighted sound pressure level relative to ‘no refraction’ ($\bar{L}_A - \bar{L}_{A,nr}$)
617 for four rotor angles (from top to bottom: 0° , 30° , 60° , 90°). The results refer to the midnight situation
618 (00 LT). The respective blade positions are sketched as they are seen from the downwind side.

619 **Fig. 8:** Surfaces enveloping locations with $\bar{L}_A - \bar{L}_{A,nr} \geq 9$ dB for two rotor angles: top: 0° , bottom:
620 60° . The results refer to 00 LT.

621 **Fig. 9:** Near-ground ($z=2.5$ m) A-weighted sound pressure level relative to ‘no refraction’ ($\hat{L}_A - \hat{L}_{A,nr}$)
622 averaged over a full rotation for the time of the day as indicated (LT = local time).

623 **Fig. 10:** Surface enveloping locations with $\hat{L}_A - \hat{L}_{A,nr} \geq 9$ dB. The result refers to 18 LT.

624 **Fig. 11:** Horizontal profiles of the near-ground A-weighted averaged sound pressure levels $\hat{L}_A -$
625 $\hat{L}_{A,100}$ along the x -axis ($y = 0$, $z = 2.5$ m). Line styles indicate the time of the day. The solid grey curve
626 refers to a non-refractive atmosphere. The broken grey curve indicates free-field propagation from an
627 idealized point source at the hub with a decay of approx. 6 dB per doubled distance.

628 **Fig. 12:** Local variation of the A-weighted sound level difference $\bar{L}_A - \hat{L}_{A,100}$ as a function of the rotor
629 angle α at $x = 400$ m ; $y = 0$; $z = 2.5$ m (top) and $x = 1200$ m ; $y = 0$; $z = 2.5$ m (bottom). The line
630 styles indicate the time of the day as in Fig. 11. The grey curves refer to a non-refractive atmosphere
631 $\bar{L}_{A,nr} - \hat{L}_{A,nr,100}$. Note that the ordinates have different scales.

632 **Fig. 13:** Near-ground ($z=2.5$ m) difference between the maximum A-weighted sound pressure level
633 during one rotation and the averaged A-weighted sound pressure level ($\bar{L}_{A,\text{max}} - \hat{L}_A$) for the time of the
634 day as indicated (LT = local time).

635

























