### A Lagrangian perspective on tropical anvil cloud lifecycle in present and future climate

Blaz Gasparini<sup>1,1</sup>, Philip J. Rasch<sup>2,2</sup>, Dennis L. Hartmann<sup>1,1</sup>, Casey James Wall<sup>3,3</sup>, and Marina Duetsch<sup>1,1</sup>

<sup>1</sup>University of Washington <sup>2</sup>Pacific Northwest National Laboratory (DOE) <sup>3</sup>Scripps Institution of Oceanography

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#### Abstract

The evolution of tropical anvil clouds from their origin in deep convective cores to their slow decay determines the climatic effects of clouds in tropical convective regions. Despite the relevance of anvil clouds for climate and responses of clouds to global warming, processes dominating their evolution are not well understood. Currently available observational data reveal instantaneous snapshots of anvil cloud properties, but cannot provide a process-based perspective on anvil evolution. We therefore conduct simulations with the high resolution version of the Exascale Earth System Model in which we track mesoscale convective systems over the Tropical Western Pacific and compute trajectories that follow ice crystals detrained from peaks of convective activity. With this approach we gain new insight into the anvil cloud evolution both in present day and future climate. Comparison with geostationary satellite data shows that the model is able to simulate maritime mesoscale convective systems reasonably well. Trajectory results indicate that anvil cloud lifetime is about 15 hours with no significant difference in a warmer climate. The anvil cloud ice water content is larger in a warmer climate due to a larger source of ice by detrainment and larger depositional growth leading to a more negative net cloud radiative effect along detrained trajectories. However, the increases in sources are counteracted by increases in sinks of ice, particularly snow formation and sedimentation. Furthermore, we find that the mean anvil cloud feedback along trajectories is positive and consistent with results from more traditional cloud feedback calculation methods.

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# Blaž Gasparini<sup>1</sup>, Philip J. Rasch<sup>2</sup>, Dennis L. Hartmann<sup>1</sup>, Casey J. Wall<sup>3</sup>, Marina Dütsch<sup>1</sup>

<sup>1</sup>University of Washington, Seattle, Washington, USA <sup>2</sup>Pacific Northwest National Laboratory, Richland, Washington, USA <sup>3</sup>Scripps Institution of Oceanography, University of California San Diego, USA

#### Key Points:

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9	•	E3SM is able to reproduce many features of the observed albedo-OLR histogram
10		representing anvil cloud decay.
11	•	Three dimensional air parcel trajectories reveal anvil cloud lifetime of 15 hours
12		in both present and future warmer climate.
13	•	Thick anvil clouds contain more ice and have a larger optical depth in a warmer
14		climate, while thin anvil clouds do not change substantially.

Corresponding author: Blaž Gasparini, blazg@uw.edu

#### 15 Abstract

The evolution of tropical anvil clouds from their origin in deep convective cores to their 16 slow decay determines the climatic effects of clouds in tropical convective regions. De-17 spite the relevance of anvil clouds for climate and responses of clouds to global warm-18 ing, processes dominating their evolution are not well understood. Currently available 19 observational data reveal instantaneous snapshots of anvil cloud properties, but cannot 20 provide a process-based perspective on anvil evolution. We therefore conduct simulations 21 with the high resolution version of the Exascale Earth System Model in which we track 22 mesoscale convective systems over the Tropical Western Pacific and compute trajecto-23 ries that follow air parcels detrained from peaks of convective activity. With this approach 24 we gain new insight into the anvil cloud evolution both in present day and future climate. 25

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#### <sup>35</sup> Plain Language Summary

Clouds can have both a cooling and warming effect on climate. Storm clouds in the 36 tropics preferentially cool the climate as they reflect a large fraction of sunlight back to 37 space. Remains of storm clouds, also known as anvil clouds due to their typical shape, 38 reside at very high altitudes and can persist for many hours after the initial intense rain 39 events and extend over vast regions. They keep part of the terrestrial radiation within 40 the atmosphere and therefore warm the climate, similarly to greenhouse gases. The tran-41 sition from a very reflective storm cloud to a thin anvil cloud is not yet well understood 42 despite playing an important role for tropical climate. We study such transitions with 43 the help of climate model simulations in which we follow anvil clouds from their origin 44 in storm clouds as they develop into thin anvil clouds and eventually disappear. The cli-45 mate model allows us to study this process both in present-day as well as a warmer fu-46 ture climate. We find that in a warmer climate the storm clouds contain more ice and 47 reflect more sunlight, which leads to more cooling, while the thin anvil clouds do not change 48 much with warming. 49

#### 50 1 Introduction

Tropical cloud radiative effects (CRE) are in deep convective regions determined 51 by the relative proportions of thick, freshly detrained anvil clouds, and the thin anvils 52 they evolve into. For thick anvil clouds, shortwave (SW) effects prevail over longwave 53 (LW) effects, leading to a net climatic cooling effect. In contrast, LW effects prevail for 54 thin anvil clouds with cloud optical depth (COD) smaller than 4, leading to a net warm-55 ing effect (Kubar et al., 2007; Berry & Mace, 2014; Hartmann & Berry, 2017). Thick anvils 56 occur adjacent to deep convective towers and form a reflective cold cloud shield. While 57 most of the detrained ice that forms fresh anvils is removed from the atmosphere within 58 a few hours, thinning anvil clouds persist for much longer, often extending for hundreds 59 of kilometers beyond the areas of active convection (Mapes & Houze, 1993; Mace et al., 60 2006; Protopapadaki et al., 2017). Any response of anvil cloud properties (e.g. occur-61 rence, extent, or lifetime) to global warming could therefore lead to a significant radia-62 tive feedback. 63

The tropical troposphere is to first order controlled by an interplay between radia-64 tive cooling from the emission of thermal radiation by water vapor and latent heating 65 in convective updrafts. The peak of convective detrainment therefore occurs just below 66 the altitude where the radiative cooling becomes inefficient, at a temperature of about 67 220 K. This relation will not change in a warmer climate with anvil clouds shifting to 68 higher altitudes while remaining at a "fixed" temperature as proposed by the "fixed anvil 69 temperature" (FAT) hypothesis (Hartmann & Larson, 2002). FAT has since been refined 70 to take into account small cloud temperature changes associated with the presence of 71 ozone, well-mixed greenhouse gases or changes in relative humidity (Zelinka & Hartmann, 72 2010; Harrop & Hartmann, 2012). It has been confirmed by cloud resolving model (CRM) 73 and general circulation model (GCM) studies studies (Kuang & Hartmann, 2007; Har-74 rop & Hartmann, 2016; Hartmann et al., 2019; Boucher et al., 2013; Zelinka et al., 2016), 75 and satellite observations (Zhou et al., 2014; Marvel et al., 2015; Norris et al., 2016; Mace 76 & Berry, 2017). 77

Several modeling studies showed a decrease in high cloud fraction with increased 78 sea surface temperatures (SSTs) (Tompkins & Craig, 1999; Zelinka & Hartmann, 2010; 79 Khairoutdinov & Emanuel, 2013). Bony et al. (2016) proposed a thermodynamic mech-80 anism connecting the decrease in cloud fraction to increases in static stability. The mech-81 anism involves FAT, static stability, and the reduction of convective outflow (and thus 82 anvil cloud fraction) in a warmer world. The upper tropospheric static stability is bound 83 to the moist adiabatic lapse rate. As the troposphere expands vertically, the decrease 84 in pressure leads to an increased saturation specific humidity at a fixed temperature, which 85 consequently warms the upper troposphere and increases its static stability (Zelinka & 86 Hartmann, 2010; Hartmann et al., 2020). Consequently, based on the FAT hypothesis, 87 a higher stability leads to a smaller convective detrainment, reducing the anvil cloud frac-88 tion and therefore limiting the tropical high cloud positive feedback. 89

Despite the arguments above that high cloud fraction should decrease in a warmer 90 Earth, preliminary results from the Radiative-Convective Equilibrium Modeling Inter-91 comparison Project show a large spread of modeled responses to increases in SSTs (Wing 92 et al., 2019) including anvil cloud fraction changes. Moreover, various versions of the NICAM 93 global and limited area CRM that represent convective cloud processes using fewer pa-94 rameterizations than GCMs (and thus may be more realistic) show an increase in trop-95 ical high clouds with global warming (Satoh et al., 2011; Tsushima et al., 2015; Ohno 96 et al., 2019). If the mechanism proposed by Bony et al. (2016) is present, an increase in 97 high cloud fraction with warming simulated by some models implies that additional un-98 known feedbacks should play an important role. High clouds fraction increases with warm-99 ing were shown to be connected to changes in deposition and ice crystal sedimentation, 100 which were in turn driven by increases in upper tropospheric environmental relative hu-101 midity and radiative heating within cloudy parcels (Ohno & Satoh, 2018). Many of these 102 processes are represented crudely in today's models, and Ohno et al. (2019) addition-103 ally pointed out the important role of turbulent mixing, which strongly depends on ver-104 tical grid spacing. 105

Several observational studies show that tropical outgoing longwave radiation (OLR) 106 increases with surface warming more than predicted by the Planck response to warm-107 ing (Lindzen & Choi, 2011; Choi et al., 2017). Lindzen et al. (2001) proposed a contro-108 versial hypothesis based on geostationary satellite observations, stating that the cover-109 age of anvil clouds in the tropics will decrease with warming due to increased precipi-110 tation efficiency and consequent decreased convective detrainment, allowing a higher OLR. 111 They named it the "Iris effect", after the iris of the human eye, which expands in con-112 ditions of weak light to let more light pass, similarly to the putative tropical OLR re-113 114 sponse to the surface temperature in letting more OLR out in a warmer climate by reducing the high cloud cover. The Iris effect was proposed as a negative climate feedback, 115 counteracting the greenhouse gas warming effect. The work was soon criticized for method-116 ological reasons and lack of a clear physical mechanism (e.g. Fu et al. (2002); Hartmann 117 and Michelsen (2002)). However, the idea has recently gained more interest following the 118

<sup>119</sup> modeling study of Mauritsen and Stevens (2015) that implemented a temperature-dependent <sup>120</sup> convective autoconversion rate, which resulted in a decreased climate sensitivity.

Hence, our understanding of tropical high clouds and the responses of their amount 121 and optical depth to global warming are highly uncertain (Sherwood et al., 2020), some-122 times leading to diametrically different conclusions. The role of specific microphysical 123 processes, their interaction with radiation, and their changes due to surface warming and 124 greenhouse gas increase are still unclear. This study's goal is to provide a better under-125 standing of some of the processes controlling anvil cloud decay and their responses to 126 global warming with the help of a Lagrangian approach in which we track air parcels de-127 trained from regions of active deep convection. We show that the Lagrangian approach 128 can, coupled to a high resolution model that is skillful in simulations of relevant climatic 129 processes, reveal a process based view on the evolution of high clouds and their responses 130 to global warming that is complementary to the standard climate model analysis. 131

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#### 1.1 Lagrangian perspective on anvil evolution

Atmospheric models can be separated into two categories based on their treatment 133 of fields' evolution related to the wind flow. Eulerian models treat the field evolution as 134 a function of fixed space coordinates and time. In contrast, Lagrangian models describe 135 fields following particles or air parcels along the flow. The Lagrangian perspective is par-136 ticularly useful for studies of dynamic, quickly changing phenomena, giving a natural per-137 spective on air parcel evolution. Lagrangian tracking of detrained clouds and water va-138 por has provided new insights into the lifecycle of tropical high clouds. For example, stud-139 ies by Salathé and Hartmann (1997) and Soden (1998) highlighted the importance of the 140 warming by large scale subsidence in decreasing the relative humidity of air masses de-141 trained by deep convection. Soden et al. (2004) in addition showed that convection moist-142 ens the upper troposphere primarily by direct detrainment of water vapor, not through 143 evaporation of anvil clouds. Luo and Rossow (2004) found that about 50% of tropical 144 cirrus clouds originate from deep convection. Mace et al. (2006) used a combination of 145 ground-based radar data with satellite feature tracking to show that tropical anvil cloud 146 systems are long-lived with lifetimes of about 12 hours. Gehlot and Quaas (2012) were 147 the first to apply a similar tracking method on GCM model output to verify the model 148 against observations and look at the changes in anvil cloud lifecycle in a simulation with 149 increased SSTs. The Lagrangian analysis suggested that a combination of increased cloud 150 fraction and cloud altitude was the driving force behind a positive cloud feedback, de-151 spite increases in cloud albedo. Jensen et al. (2018) followed trajectories of ice crystals 152 detrained from a midlatitude thunderstorm driven by a CRM simulation. They simu-153 lated the first 3 hours of the microphysical evolution of detrained ice crystals and showed 154 the large importance of gravitational settling and depositional growth for the anvil evo-155 lution. So far, three-dimensional Lagrangian tracking has never been applied to stud-156 ies focusing on deep convective outflow and the transition between deep cumulus to thick 157 and thin anvil clouds. The tracking of detrained air parcels allows us to determine the 158 lifetime of anvil clouds and estimate sources and sinks of ice during the cloud evolution 159 and their changes with global warming. 160

The study focuses on the region between 130°-180°E and 20°S-20°N, which we call 161 Tropical Western Pacific (TWP) and is typical of regions with warm and uniform SST 162 and frequent deep convection. Only anvil clouds that originate from maritime deep con-163 vective cores are considered as the continental/island deep convection is controlled by 164 different processes and is less important for the tropical radiation balance. Section 2 in-165 troduces the satellite and model data used and describes the details of the used MCS 166 tracking and air parcel tracking methods. Section 3.1 briefly assesses the model perfor-167 mance in the TWP. The Lagrangian perspective on the simulated anvil cloud evolution 168 in present climate is presented in Section 3.2. Mean climate responses to warming are 169 presented in Section 4.1, followed by a description of mesoscale convective systems' (MCS) 170 responses to global warming in Section 4.2. Finally, Section 4.3 presents changes of anvil 171

properties along detrained trajectories due to global warming and their radiative impli-

cations. A discussion on the implications and limitations of the model simulations is pro-

vided in Section 5. Conclusions are given in Section 6.

#### 175 2 Methods

#### 176 **2.1 Model**

We use the Exascale Earth System model (E3SM), a new GCM developed by the 177 US Department of Energy (J. Golaz et al., 2019). The model consists of interacting com-178 ponents simulating atmosphere, land surface, ocean, sea ice and rivers. The atmospheric 179 component of E3SM (Rasch et al., 2019) is a descendant of the CAM5 model (Neale et 180 al., 2012), including new ways of coding, improved model performance, increased reso-181 lution, and numerous additional physical parameterizations related to clouds and aerosols. 182 The model uses a spectral finite element dynamical core (Dennis et al., 2012) with 72 183 vertical layers. The upper tropospheric resolution of about 500 m is significantly higher 184 than most state-of-art GCMs, and allows for a more realistic representation of upper tro-185 pospheric clouds. E3SM performs well compared to other CMIP5 models (J. Golaz et 186 al., 2019), despite known model biases (Xie et al., 2018; Y. Zhang et al., 2019). In par-187 ticular, the model underpredicts clouds in the tropical warm pool area by about 10-20%. 188 which was found to be related to the increase of the vertical resolution from 30 to 72 lay-189 ers (Xie et al., 2018). 190

We use the high resolution (about  $0.25^{\circ}$ ) version of the model (Caldwell et al., 2019), 191 in which the large tropical MCS are better resolved. E3SM uses a convective parame-192 terization by G. J. Zhang and McFarlane (1995) with the dilute plume closure by Neale 193 et al. (2008). Turbulence, shallow convection and cloud macrophysics are simulated by 194 the third order turbulence closure Cloud Layers Unified By Binormals (CLUBB) param-195 eterization (J.-C. Golaz et al., 2002; Larson & Golaz, 2005). The model uses an updated 196 version of Morrison and Gettelman (2008)'s scheme for stratiform cloud microphysics 197 (Gettelman & Morrison, 2015) and is coupled with the RRTMG radiative transfer model 198 (Mlawer et al., 1997; Iacono et al., 2008). The COSP version 1.4 satellite simulator (Bodas-199 Salcedo et al., 2011) is run in parallel to the model. The atmospheric component of the 200 model was coupled with the land model only, using prescribed SSTs. 201

#### 202 2.2 Simulations

We perform two simulations representing present day climate (REF, climREF, see 203 also in Table 1) and two simulations representing a possible warmer future climate state 204 (4K, clim4K). SSTs and sea ice extent were prescribed using a monthly present-day cli-205 matology (simulations REF, climREF) based on the Smith/Reynolds EOF dataset (Hurrell 206 et al., 2008). Simulations 4K and clim4K use the same SST pattern assuming a uniform 207 4K warming. The simulations used for calculation of the mean climatic properties and 208 cloud feedbacks with monthly output frequency (climREF and clim4K) were run for only 209 3 years due to the large computational expense. 210

The simulations REF, NUDGE, and 4K, used for both MCS tracking and trajec-211 tory calculations last 3 months (Jun 1 - Aug 31) with a 7 day spin-up period (May 24 212 - May 30) that is not considered in the analysis (Table 1). Because many fields were archived 213 hourly for subsequent analysis, longer simulations were not possible due to storage space 214 limitations. The NUDGE simulation uses a linear interpolation nudging technique de-215 veloped by Sun et al. (2019). The model horizontal wind fields were nudged at every model 216 timestep to an interpolated value based on 6 hourly ERA-Interim reanalysis data (Dee 217 et al., 2011), with a relaxation timescale of 6 hours. The simulation NUDGE uses monthly 218 mean SSTs for the months of June-August 2016 from the same dataset for a better com-219 parison with MCS observations from the same period. 220

Simulation	Length	Output frequency	Description
NUDGE	3 months3 months3 months	1 hour	winds nudged to reanalysis data, SSTs from 2016
REF		1 hour	free running experiment with climatologic SSTs
4K		1 hour	same as REF but with SSTs increased by 4K
climREF	3 years	1 month	same as REF, but initialized in January
clim4K	3 years	1 month	same as 4K, but initialized in January

 Table 1.
 A list of performed simulations.

In addition we estimate cloud feedbacks based on Zelinka et al. (2016), which uses cloud radiative kernels (Zelinka et al., 2012a) and output from the ISCCP satellite simulator (Klein & Jakob, 1999; Webb et al., 2001) separated into cloud top pressure and COD bins. The feedback calculation allows one to separately account for the contribution of changes in cloud altitude, cloud amount, and cloud optical depth to the total cloud feedback. We calculate both the cloud feedback of all clouds as well as the cloud feedback for clouds with cloud top pressures smaller than 440 hPa.

#### 228 2.3 CERES satellite data

We use the CERES-derived top-of-atmosphere radiative fluxes (Wielicki et al., 1996) 229 from the CALIPSO-CloudSat-CERES-MODIS (CCCM) data set (Kato et al., 2011) for 230 the months of June-August 2007–2010 in the TWP ( $20^{\circ}$ S to  $20^{\circ}$ N, 130 to  $180^{\circ}$ E). The 231 horizontal resolution of CERES pixel data is approximately 30 km. To avoid problems 232 at large solar zenith angles, we limit the analysis to CERES pixels for which the solar 233 zenith angle and the CERES viewing angle zenith are smaller than  $40^{\circ}$ . Given that the 234 data in the CCCM data set are collocated with the CloudSat-CALIPSO radar-lidar mea-235 surements, that limits the observations to the 1.30 pm (afternoon) overpass of the A-236 Train satellite constellation. 237

#### 2.4 Geostationary satellite data

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We use the Himawari-8 geostationary satellite observations (Bessho et al., 2016) 239 of brightness temperature (BT) at the infrared channel (11.2  $\mu$ m) between 1 June - 31 240 August 2016. The downloaded Himawari data product only includes every fourth pixel 241 and scan line, making the effective horizontal resolution about 8 km at nadir and 12 km 242 at the edge of the study domain. These data were subsequently regridded to  $0.25^{\circ}$  (about 243 25 km) to match the model output. Regridded pixels were computed by averaging the 244 native grid pixels within the new grid boundaries. The datasets' temporal resolution of 245 1 hour allows individual MCS to be tracked throughout their lifecycle. 246

#### 2.5 Lagrangian methods

Our work largely relies on two distinct tracking methods: MCS tracking, based on Himawari BT measurements, and the three dimensional air parcel tracking, based on the resolved model wind fields. The MCS tracking follows the parent deep convective system throughout all stages of its evolution, from the convective initiation to its decay, providing a good overview of the convective processes and the adjacent thick anvil clouds, while missing the decaying thin anvil clouds.

In contrast, the air parcel tracking follows cloudy parcels as they leave the MCS region and become thin cirrus. It is initialized at the point of maximum MCS activity as determined by the MCS tracking algorithm. Air parcel tracking provides an estimate
of the decay timescale of an anvil cloud, following its evolution from a fresh thick anvil
to a thin cirrus cloud, and provides a detailed understanding of the evolution of cloud
processes. A more detailed description of each tracking mechanism, their strengths, and
weaknesses can be found in the subsections 2.5.1 and 2.5.2. The animation of a 2 week
long segment of the simulation provides an intuitive view of both tracking mechanisms
(Movie S1).

#### 2.5.1 MCS tracking

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We apply an MCS tracking algorithm to the 11.2  $\mu$ m BT measurements from the Himawari and to the 10.5  $\mu$ m simulated BT retrieval using the COSP satellite simulator. The small difference in the BT wavelength of the two channels does not affect our findings. Both Himawari and E3SM data are tracked in 1 hour intervals, enabling an accurate MCS tracking. The tracking algorithm is based on Fiolleau and Roca (2013) and is described in detail in Wall et al. (2018). It consists of two steps:

- 1. Detection step: The cold core is detected based on the BT threshold (between 200 and 214 K depending on the specific case see Tab. 2). The cold core must cover at least 17 pixels and last for at least 2 hours to be considered by the algorithm.
- 2. Spreading step: The cold cloud shield is incrementally increased from the BT threshold to the warm limit in both space and time (ranging between 235 and 240 K as listed in Tab. 2).



Figure 1. A snapshot of the region of interest for July 2 at 2.00 UTC. (a) visible Himawari satellite image; (b) the equivalent BT measurement; (c) the NUDGE model simulation at the same timestep. Blue contours represent tracked MCSs, green contours represent MCSs that are tracked but removed from the analysis as they touch the edge of the domain or land. Yellow contours represent boundaries of land masses.

The tracking algorithm is able to track MCS throughout their lifecycle, from the 276 growth to the decay stage (Wall et al., 2018). However, once the clouds become optically 277 thinner, the BT signal of cold clouds is mixed with the signal from warmer, lower lying 278 levels. The algorithm reliably tracks upper tropospheric clouds to the warm BT limit 279 of 235-240 K, which corresponds to a COD of about 3-10. The tracking algorithm there-280 fore cannot account for the thin anvil clouds that spread beyond the region detected by 281 the cloud mask. The altitude of cloud top does not change by more than 1 km within 282 the tracked region as suggested by the Fig. 6a and confirmed in other studies (Bouniol 283 et al., 2016; Sokol & Hartmann, n.d.). An example of the cold cloud shield output of the 284

tracking algorithm is shown in Fig. 1 b and c. The blue and green contours outline the limits of the detected cold cloud shield which we take as the MCS boundaries. The green contoured MCSs are removed from the analysis as they either cross land at some point in their lifetime or touch the domain boundaries. The MCS lifetime is defined as the time between the first and last detection of an MCS based on the cold cloud shield. No merge or split events are allowed, as the algorithm partitions the cold cloud shield on the basis of proximity to the cold cores.

We use two separate ways of setting the BT threshold for tracking the MCS. The 292 first method relies on fixed BT thresholds of 210 K for cold core detection and 240 K 293 for the warmest contours that are tracked as part of the cold cloud shield (see Wall et 294 al. (2018) for details). However, fixed BT thresholds propagate mean climatic errors into 295 the object-oriented MCS tracking analysis. Those errors will be discussed below in the 296 evaluation of BT PDFs in Fig. 3. The work by Rempel et al. (2017) and Senf et al. (2018) 297 suggests that it can also be useful to apply a BT correction before the object-based MCS 298 tracking analysis, so we therefore also use a prescribed lower and upper BT percentile 200 to define the cold cloud shield used to track the detection and spread of cold cloud shield 300 area instead of a fixed BT limit. A percentile-based metric also helps estimating the im-301 pacts of global warming driven changes of MCS properties and the anvil cloud evolution, 302 as described in Sections 4.2 and 4.3. Similar percentile based comparison metrics are fre-303 quently used in studies of extreme precipitation responses to global warming (Fischer 304 & Knutti, 2015, 2016; Pendergrass & Knutti, 2018). 305

We chose the 0.4 and 8.15 BT percentiles as the cold core detection limit and the upper BT limit, which correspond to the BT values of 200 K and 235 K in the full resolution Himawari dataset for consistency with the work by Wall et al. (2018). The chosen lower percentile limit corresponds to a BT of 201.4 K in the regridded Himawari dataset used in this analysis, to 210 K in the nudged, and 213.5 K in the free running E3SM model simulation as stated in Table 2. The reasons for the large modeled BT bias are described in Section 3.1.2.

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#### 2.5.2 Lagrangian analysis of anvil clouds

**1.** Determination of trajectory starting locations: High frequency (1 hour) 314 model output from June 1 to August 31 from simulations REF and 4K is used for cal-315 culating forward trajectories. The forward trajectory calculation is designed to moni-316 tor and capture the decay of anvil clouds from their early thick stage until dissipation 317 as thin cirrus. Monitoring starts at the peak of MCS convective activity, defined as the 318 point in the MCS evolution when the detected cold cloud shield occupies the largest area 319 (Roca et al., 2017). At this point the model columns covered by the cold cloud shield 320 (blue contours in Fig. 1) are selected to determine the right vertical launch level for the 321 trajectories. The vertical launch level is chosen to be the first model level from the model 322 top downward to have an ice water content (IWC) larger than  $3 \ 10^{-5} \text{ kg kg}^{-1}$  and a de-323 trainment tendency from the parameterized convective updrafts larger than  $10^{-9}$  kg kg<sup>-1</sup> 324  $s^{-1}$ . Launch levels are limited to temperatures colder than  $-35^{\circ}$ C, as the study is focused 325 on cold portions of anvil clouds. 326

2. Trajectory calculation: Trajectories are computed in a post processing step 327 with the Lagrangian Analysis Tool (LAGRANTO) (Wernli & Davies, 1997; Sprenger & 328 Wernli, 2015). Trajectories are computed forward in time for 40 hours. Microphysical 329 and radiative quantities are traced by identifying the value of those quantities from an 330 archived model dataset followed by a bilinear interpolation of the neighboring grid val-331 ues in the horizontal dimension (latitude, longitude) and a linear interpolation in the ver-332 tical dimension (model level) (Sprenger & Wernli, 2015). This tracking uses resolved three 333 dimensional wind fields that allows us to track the changing microphysical and radia-334 tive properties after detrainment. The analysis neglects snow particles due to their larger 335

sedimentation velocity that leads to a rapid removal from the atmosphere and therefore
 a smaller climatic influence compared to the longer lived detrained ice crystals.

In a second post processing step we remove the trajectories that encountered a sub-338 sequent significant episode of detrained ice (i.e. detrainment larger than  $0.3 \ 10^{-9} \text{ kg kg}^{-1}$ 339  $s^{-1}$ ) after the initial 4 hours of the development. This allows us to study cloud decay 340 of anvils that are not influenced by new occurrence of convection. The additional cri-341 terion reduces the number of selected trajectories by 35%, from a total number of 190000 342 to about 125000, while not affecting the main conclusions of our study. We define a tra-343 jectory as containing "ice cloud" if the local cloud fraction (output field CLOUD) ex-344 ceeds 10% and at the same time IWC exceeds 0.1 mg kg<sup>-1</sup>. The IWC limit was chosen 345 to be close to the minimum detection limit by CALIOP lidar, roughly corresponding to 346 COD of 0.01 (Avery et al., 2012). The anvil cloud lifetime is defined as the point in time 347 when the fraction of trajectories containing cloud decreases below 50%. Note that the 348 total column cloud fraction could still be large as air parcels containing ice can be de-349 trained from multiple levels below and above the tracked one. Due to lateral mixing the 350 cloud properties along trajectories in the later stage of anvil evolution represent a mix 351 of air from anvil and non-anvil air masses. We omit the radiatively active and prognos-352 tic snow from the trajectory analysis due to its larger sedimentation velocity compared 353 to cloud ice (X. Zhao et al., 2017) and storage space limitations. The vertical compo-354 nent of the trajectory calculation does not include the convective mass flux term as that 355 contribution is small compared to the grid box average updraft velocity. 356

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### 3 Results - present climate 3.1 Model evaluation

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#### 3.1.1 Mean climate in the Tropical Western Pacific



**Figure 2.** Albedo-OLR histogram for the Tropical Western Pacific from 4 years of CERES radiative flux observations for months June-August (a), the equivalent from the REF model simulation (b), and the anomalies between the two (c).

Figure 2 shows the probability density function (PDF) of OLR-albedo pairings ob-360 served by CERES for the months of June-August, similarly to Fig. 2 in Hartmann and 361 Berry (2017), and the equivalent fields simulated by the model. The model output is lim-362 ited to grid boxes with insolation values exceeding  $1000 \text{ W m}^{-2}$ , which approximately 363 corresponds to the zenith angle limit of 40° used to filter the CERES data. The general shape of the histogram describes the evolution of anvil clouds: their lifecycle begins in 365 very reflective deep convective cores at low OLR and high albedo values. The detrained 366 anvil clouds gradually thin, decrease their albedo, and allow more OLR to escape to space 367 until reaching the modal point of the distribution at albedo values of about 0.08 and OLR 368

of 270-290 W m<sup>-2</sup> which corresponds to nearly clear sky conditions. The model is able to reproduce the general shape of the distribution and therefore anvil decay remarkably well, with the exception of the missing highest albedo and lowest OLR points and a minor albedo overestimation at OLR values between 200 and 300 W m<sup>-2</sup>. E3SM therefore shows good skill in simulating the process of anvil thinning, that is on one hand crucial for the radiative balance of tropical deep convective regions, while on the other hand traditionally challenging for GCMs to correctly simulate (Wall & Hartmann, 2018).

#### 3.1.2 Mesoscale convective systems

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**Figure 3.** BT histogram for the Tropical Western Pacific in JJA 2016 from Himawari observations and model simulations.

Figure 3 shows the PDF of BT in the Tropical Western Pacific region observed by 377 Himawari and modeled by E3SM with the help of a satellite simulator. We focus for now 378 on the NUDGE and REF simulations and refer back to the figures to examine climate 379 change effects in the 4K simulation only in Section 4. The Himawari distribution sharply 380 peaks at about 295 K, while the nudged and free running model simulations show a peak 381 at a few K warmer temperatures. This BT peak corresponds to clear sky regions, clear 382 sky regions with thin cirrus clouds, or regions covered by low clouds. The simulated warm 383 bias in BT peak is likely caused by the underprediction of thin low clouds (Y. Zhang et 384 al., 2019). The observed and simulated distributions are negatively skewed with a long 385 tail extending down to 190 K. BT values colder than 240 K correspond to cold cloud tops; 386 we define such gridboxes as cold cloud fraction. These BT values include deep convec-387 tive cores and anvil clouds of visible COD greater than about 5, and do not include thin 388 anvil cloud and other in-situ formed cirrus clouds. E3SM simulates a cold cloud fraction 389 of 9.7% in the nudged simulation (NUDGE) and 8.5% in the free running simulation (REF). 390 This is close to the observed value of 9.8 %. The model substantially underestimates the 391 occurrence frequencies of BT colder than 220 K (represented by the highest albedo and 392 lowest OLR values in Fig. 2), and overestimates BT in the range between 225 and 250 393 K. This is a signal of a too low (and consequently too warm) cloud top, caused by a deep 394 convective detrainment level bias and the underestimation of the strongest overshoot-395

	Himawari	NUDGE	REF	4K
1. Fixed BT				
BT limit [K]	210-240	210-240	210-240	210-240
MCS number	1762	1243	853	1354
Lifetime [h]	$12.7 \pm 5.4$ (11)	$18.8 \pm 6.1$ (18)	$16.9 \pm 5.4$ (16)	$15.9 \pm 5.4$ (15)
Equiv. diameter [km]	$247 \pm 97$ (223)	$260 \pm 75$ (248)	$267 \pm 68$ (257)	$264 \pm 81$ (250)
2. Percentile based BT				
BT limit [K]	201.4-238.1	209.9-236.7	213.5-239.3	209.0-237.3
MCS number	794	1234	1285	1178
Lifetime [h]	$14.5 \pm 5.0 (13.5)$	$17.9 \pm 6.0 (17.0)$	$16.2 \pm 6.0 (15.0)$	$15.6 \pm 5.4 (15.0)$
Equiv. diameter [km]	$302 \pm 90$ (290)	$247 \pm 73$ (235)	$248 \pm 69$ (237)	$260\pm80$ (246)

 Table 2.
 Tracked MCS properties. The numbers represent mean values with the respective standard deviations. The median values are in brackets.

ing convective cores, as already noted by Y. Zhang et al. (2019). The bias, which existed 396 in the predecessor model CAM5 (Wang & Zhang, 2018), has not been solved in the E3SM 397 model, in spite of increased vertical resolution and efforts to address the bias through 398 tuning (Xie et al., 2018). Qualitatively the biases are also visible by comparing BT snap-399 shots in panels b and c in Fig. 1. Moreover, despite efforts to evaluate the fields at the 400 same nominal resolution, the model lacks the fine structures observed by Himawari. This 401 is not surprising, as the effective model resolution is about 3-4 times larger than a sin-402 gle gridbox cell for the spectral element dynamical core used here. 403

When MCS are defined using fixed BT thresholds, the model underestimates the 404 number of MCS and overestimates their lifetime (Table 2 and Fig. 4 a.c.), while simu-405 lating MCS of comparable size. The maximum MCS equivalent diameter is close to 250 406 km in both Himawari and E3SM. The MCS mean lifetime from Himawari observations 407 is found to be 12.7 hours, which is comparable to Wall et al. (2018). The simulated MCS are more persistent, with average lifetimes of 19 hours (NUDGE) and 17 hours (REF). 409 The excessive lifetime of the model clouds can at least in part be attributed to a series 410 of parameterization choices made in the development of the atmospheric component of 411 E3SM (Rasch et al., 2019). The effective radius of ice crystals detrained from deep con-412 vection was set to 12  $\mu$ m, which is smaller compared to observations (Van Diedenhoven 413 et al., 2016), in order to increase the amount of cloud ice in the atmosphere (Xie et al., 414 2018). This choice, in conjunction with a decision to use the Meyers et al. (1992) ice nu-415 cleation parameterization (known to produce unrealistically high nucleation rates) in the 416 high resolution version of E3SM (Caldwell et al., 2019) produces too many ice crystals 417 that consequently remain small during vapor deposition. Finally, as mentioned in the 418 previous subsection, the effective model resolution is larger than its nominal resolution. 419 Regridding the Himawari observations to  $0.5^{\circ}$  and  $1^{\circ}$  increases the MCS lifetime for 1 420 and 2 hours, respectively, explaining part of the model bias. 421

Results using the percentile based masking give a different perspective on simulated MCSs: in this case the model overestimates the MCS number but underestimates the cold cloud shield area, with a comparable MCS lifetime (Fig. 4 b,d). This is expected, as the percentile-based BT MCS detection threshold of 201.4 K for Himawari observations is significantly lower than 209-213.5 K for the model simulations. MCS with colder BT indicate a stronger convective activity with higher and colder cloud tops. The higher convective activity is also connected to a longer MCS lifetime and larger MCS cold cloud
shield area (Machado et al., 1998; Protopapadaki et al., 2017; Strandgren, 2018).



**Figure 4.** Lifetime and maximum diameter distribution of tracked MCS. The boxplot area is shaded between the 25th and 75th percentiles, while its whiskers represent the 10th and 90th percentiles. The olive lines represent the mean values of the distributions.



Figure 5. Diurnal cycle of peak MCS extent for (a) the fixed BT threshold and (b) the percentile based BT threshold.

Figure 5 shows the diurnal cycle of the number of MCS at peak extent in each of
the 3-hourly bins. The peak MCS extent was previously shown to correlate with the peak
in convective activity and with the lowest BT that is achieved in the course of an MCS
lifecycle (Roca et al., 2017). When using a BT threshold of 210 K for the detection of

cold cores, the observations show a double peak in MCS activity: the first peak occurs 434 in early morning hours (3-5 local time), the second peak occurs in the afternoon hours 435 (15-17 local time). However, when using the colder percentile-based BT threshold for 436 the detection of cold convective cores, the afternoon peak disappears. This result is con-437 sistent with Nesbitt and Zipser (2003) that showed an early morning peak in MCS ac-438 tivity, followed by a weaker afternoon peak of warmer BT features representing weaker 439 deep convection. The model simulates a similar double peak in MCS activity when us-440 ing the fixed 210 K cold core detection threshold in both the REF and NUDGE simu-441 lation. The percentile based model results still show the secondary afternoon peak, which 442 is not surprising, given that the percentile based cold core detection threshold does not 443 change much from a fixed threshold of 210 K. ллл

In summary, the model can reproduce the simulated cold cloud fraction despite some biases in the simulation of MCS evolution, which originate from the underestimation of the coldest BT. The performance of the model in simulating large tropical MCS is satisfactory, given the use of convective parameterization and a resolution of  $0.25^{\circ} \times 0.25^{\circ}$ , which is barely able to dynamically resolve MCS. For a more extended evaluation of E3SM using traditional evaluation metrics, the reader is referred to Xie et al. (2018); Y. Zhang et al. (2019); Rasch et al. (2019); Caldwell et al. (2019).

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#### 3.2 A Lagrangian perspective on anvil cloud evolution

Figure 6 displays the cloud fraction in the vertical column at the trajectory loca-453 tion following air parcels from the tops of deep convective clouds. The trajectory launch-454 ing points occur at different altitudes, ranging from 10 to 13 km, with a median eleva-455 tion of about 11 km. The trajectories start in regions of active convection with resolved 456 vertical winds that are strong enough to loft the detrained air parcels and ice for about 457 2 km within the first 5-8 hours after the trajectory is initialized. After the initial ascent 458 the trajectories remain at roughly constant altitude. The trajectories follow the upper 459 tropospheric peak in cloud fraction that represents gradually thinner anvil clouds. The 460 convective scheme is not only detraining condensed water but also vapor, which enhances 461 the humidity in the detrained layers for at least 40 h after the initial convective event. 462 The relative humidity with respect to ice on average exceeds 100% near areas of active 463 detrainment, and is maintained at values beyond 70% in the MCS outflow in the trop-464 ical tropopause layer between 14 and 17 km altitude (not shown). The increased rela-465 tive humidity in the convective outflow layer offers an alternative explanation for an anvil cloud fraction maximum near the trajectory altitude, given the dependence of the cloud 467 fraction scheme to the total humidity that includes specific humidity contributions from 468 both vapor and ice condensate (Gettelman et al., 2010). 469

Figure 7 shows the gradually decreasing fraction of cloud-containing trajectories, 470 reaching 50% about 15 hours after detrainment. We separate the anvil evolution in three 471 stages: thick (IWC > 30 mg kg<sup>-1</sup>), intermediate (30 mg kg<sup>-1</sup> > IWC > 3 mg kg<sup>-1</sup>), 472 and thin (IWC  $< 3 \text{ mg kg}^{-1}$ ). Thick anvils quickly decay within the first 3-4 hours, in-473 termediately thick anvils dominate the cloud distribution between hour 4-10, and thin 474 anvil clouds are dominant about 10 hours after the trajectories are initialized. A cloud 475 decay sensitivity test that considers all calculated trajectories, including those that en-476 counter significant detrainment events after the first 4 hours of the evolution is shown 477 in Fig. S1. A sensitivity study using different minimum IWC and cloud fraction limits 478 can be found in the supplement in Fig. S2 and is described in Text S1. 479

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#### 3.2.1 Lagrangian anvil cloud ice mass balance

We present the dominant sources and sinks of ice during the evolution of the anvil cloud from its thick (hour 0-4) to thin stage (hour 10 and beyond) using trajectories. The trajectories start at locations with IWC median values of about 55 mg kg<sup>-1</sup>, decreasing to below 5 mg kg<sup>-1</sup> over the course of the first 10 hours of the cloud evolution (Fig.



Figure 6. Altitude of a random sample of 5000 trajectories (in orange) as a function of time after the launch of trajectories. Plotted in the background is the mean cloud fraction in columns containing trajectories. The red line represents the median trajectory altitude, the brown lines the 25th and 75th percentile values, the green lines 5th and 95th percentile values.



Figure 7. Fraction of trajectories that are containing a cloud for REF and 4K simulations (in black), divided into thin (IWC < 3 mg kg<sup>-1</sup>), intermediate (30 mg kg<sup>-1</sup> > IWC > 3 mg kg<sup>-1</sup>), and thick (IWC > 30 mg kg<sup>-1</sup>) categories (in red, green, and blue, respectively). The sum of the three cloud categories is equal to the "all clouds" line.

<sup>485</sup> 8a). The median in-cloud ice crystal number decreases with evolution from about 4000 <sup>486</sup>  $g^{-1}$  (or about 800 L<sup>-1</sup> at the detrainment level) to 1000  $g^{-1}$  (Fig. 8d). The ice crystal <sup>487</sup> number subsequently decreases to about 300  $g^{-1}$  (approximately 60 L<sup>-1</sup>) at hour 20. The <sup>488</sup> ice crystals initially grow slightly from 32 to 35  $\mu$ m, and rapidly decrease in size until <sup>489</sup> reaching a plateau at 15-20  $\mu$ m between hour 5 and 15 of the evolution, after which the <sup>490</sup> size decreases again, reaching about 5  $\mu$ m at hour 20 (Fig. 8c).

The net water vapor deposition (which includes both growth by deposition and shrinking by sublimation) is the dominant source of ice over the whole anvil cloud lifetime (Fig.
9). The net deposition is particularly large initially as most of the trajectories are supersaturated with respect to ice, supporting ice crystal growth (not shown). The direct
detrainment of ice mass (with an assumed effective ice radius of 12 μm) from the con-

#### Ice properties in detrained trajectories



Figure 8. Median in-cloud ice water content (IWC) (a), ice rate (diffQI) (b), in-cloud ice crystal effective radius (REFFI) (c), and in-cloud ice crystal number concentration (ICNC) (d) in detrained trajectories. diffQI is defined as the sum of all ice sources and sinks of ice plotted separately in Fig. 9. Shaded area represents the spread between the 25th and 75th percentile values for REF.

vective cores represented by the convective parameterization is an important source of 496 ice in the first 2 hours of the anvil evolution, indicating the presence of active deep con-497 vection. Despite focusing on trajectories at temperatures colder or near the homogeneous 498 freezing temperature of water, the growth of ice crystals at the expense of water droplets 499 (Bergeron-Findeisen process) cannot be fully neglected in the first 5 hours of the evo-500 lution as some of the trajectories experience temperatures near  $-35^{\circ}$ C where part of the 501 detrained condensate is in liquid form. Finally, the contribution of new ice crystal nu-502 cleation to the ice mass tendency is generally negligible and is therefore omitted from 503 Fig. 9. On the other hand, snow formation via ice crystal aggregation is the dominant 504 sink of ice throughout the full lifecycle of anvil clouds. Aggregation moves ice crystals 505 that cross the temperature dependent threshold size to snow and therefore increases with 506 the growth of ice crystals. Accretion is the removal of ice crystals by collisions with snowflakes 507 and is an important sink of ice in the precipitating stage of the anvil cloud, i.e. in the 508 first 5 hours of the anvil evolution, after which it becomes negligible, due to absence of 509 snow particles in thin anvil clouds. Interestingly, ice crystal sedimentation is only of sec-510 ondary importance compared to aggregation even in the thin anvil stage, beyond hour 511 10 of the trajectories. 512

#### 513 3.2.2 Radiative evolution

Anvil ice microphysical properties are tightly related to the radiative effects and climatic effects of anvil clouds. Freshly detrained thick anvil clouds that contain large IWC are very reflective to visible radiation and have therefore a large shortwave cloud radiative effect (SWCRE). They also effectively prevent LW radiation from escaping to



**Figure 9.** Lagrangian mass budget along trajectories containing ice cloud during the first 30 hours of evolution from the REF simulation. The shaded area represents the spread between the 25th and 75th percentile values.

space from lower lying, warmer layers of the atmosphere, resulting in a large LWCRE. 518 Interestingly, the averaged radiative effects along the trajectories start with a positive 519 net CRE, which gradually decreases in the first 5 hours of the anvil evolution (Fig. 10a), 520 despite decreasing IWC, ice crystal number, and consequently cloud albedo. This can 521 be explained by the average insolation that the tracked clouds receive over the course 522 of their lifetime (Fig. 10b). The mean insolation starts at values of about 300 W  $m^{-2}$ , 523 increasing to 500 W m<sup>-2</sup> at hour 10. The peak in MCS activity, where trajectories start, 524 on average occurs during early morning hours just before sunrise (Fig. 5b). Within a few 525 hours, most of the trajectories are exposed to higher insolation values near mid day, lead-526 ing therefore to a larger SWCRE causing the net CRE to shift to negative values (Fig. 527 10a,b). At this point both SWCRE and LWCRE start decaying significantly. The av-528 eraged CRE along trajectories for 24 hours of cloud evolution exceed values of 80 W  ${\rm m}^{-2}$ 529 in terms of LWCRE and SWCRE, with a small negative net CRE term (Tab. 3). These 530 results are not very sensitive to the trajectory selection criterion, as shown by comput-531 ing radiative fluxes along all computed trajectories (Tab. S1). 532

#### <sup>533</sup> 4 **Results - future climate**

#### 534

#### 4.1 Mean climate responses to warming

We first evaluate mean climate responses to warming for the Tropical Western Pa-535 cific. The model simulates a 40% increase in precipitable water and a 20% increase in 536 liquid water path for the clim4K simulation (not shown) with very little change in rel-537 ative humidity (Fig. 11f). IWC increases significantly with global warming (Fig. 11g) 538 at all temperatures, particularly in the 230 to 250 K range and is discussed in Section 539 5.1. Interestingly, cloud liquid decreases in the boundary layer but increases near the melt-540 ing layer, possibly due to increased melting of ice (Fig. 11d). The peak in anvil cloud 541 amount remains at temperatures between 220 and 212 K in both simulations (Fig 11a). 542



**Figure 10.** (a) CRE along detrained trajectories for the two simulations. Shaded area represent one standard deviation for REF. (b) Mean insolation values along tracked trajectories for the two simulations. Shaded area represent one standard deviation for REF.

The anvil cloud fraction decreases with warming, which is consistent with a decrease in 543 the upward mass flux by the convective scheme (Fig. 11c). In contrast to the convec-544 tive mass flux, the resolved mean vertical velocity increases in the global warming sim-545 ulation (Fig. 11b). This is due to an increase in fully convective grid boxes (intense storms 546 with resolved circulation features), as suggested by the increase in relative importance 547 of large scale precipitation (not shown). The upper tropospheric ice crystal effective ra-548 dius does not change with warming (Fig. 11h), while the ice crystal number concentra-549 tion significantly increases in the uppermost troposphere (Fig. 11i). 550

The domain-mean COD, dominated particularly by changes in high clouds, increases by 8% in the clim4K simulation. The changes in ice clouds lead to a small and negative net CRE change of about 2 W m<sup>-2</sup>. The cloud feedback decomposition using Zelinka et al. (2016) method shows a strong positive feedback attributed to the increase in cloud altitude (Fig. 12a). However, the aforementioned increases in COD lead to a negative feedback that counteracts about half of the altitude feedback.

Figure 12b shows the decomposition of cloud feedback for high clouds (<440 hPa) 557 only. The net feedback is near zero, despite large SW and LW components. In the case 558 of high clouds, the positive altitude feedback is fully counteracted by the negative op-559 tical depth feedback. The cloud amount feedback has significant SW and LW compo-560 nents that are nearly equal in size. The increased COD does not lead only to a strong 561 SW feedback, but also to a significant positive LW feedback. This is expected due to near 562 neutral net CRE of anvil clouds where an increase in COD would also lead to a signif-563 icant increase in LWCRE (Berry and Mace (2014); Hartmann and Berry (2017) and also 564 Fig. 10). Additional discussion on the computed cloud feedbacks and the associated changes 565 in ISCCP cloud histograms, on which the cloud feedback calculation is based, is given 566 in Text S2. 567

#### 4.2 MCS responses

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The cold cloud shield representing very thick and moderately thick high clouds increases from 8.5% (REF) to 9.4% (4K) which is expected from the increase in vertical velocity, domain average cloud ice (Fig. 11b,d) and the negative high cloud optical depth feedback (Fig. 12b). This should be distinguished from the small decrease in total modelsimulated high cloud fraction (Fig. 11a) as the decrease in very frequent thin high clouds dominates over the increase in thicker high cloud shields. If MCS are tracked by using fixed BT thresholds of 210 and 240 K, the number of MCS increases by 60% in the 4K



Figure 11. Domain-averaged cloud fraction (a), vertical velocity (b), convective mass flux from the convective parameterization (c), cloud liquid (d), clear sky heating rates (e), the relative humidity with respect to water (for T>273 K), ice (for T<253 K), or a mixture between the two (for 273>T>253 K) (f), cloud ice (g), in-cloud ice crystal effective radius (h), and in-cloud ice crystal number concentration (i). The quantities are plotted in function of temperature between the surface and approximately the tropopause level. Shaded areas cover the space between all 3 annually averaged values for each of the simulations.

simulation in spite of no change in their lifetime (Tab. 2). The simulated increase in MCS 576 number is consistent with studies of MCS responses to global warming over the conti-577 nental United States (Prein et al., 2017; Diffenbaugh & Giorgi, 2012). On the other hand, 578 a percentile-based MCS selection criteria approach does not indicate a much higher MCS 579 number in the 4K simulation. The maximum MCS extent and lifetime remain approx-580 imately the same between REF and 4K simulations with both MCS selection methods. 581 The tracked MCS show increases in precipitation, which is expected given the increase 582 in precipitable water under global warming (not shown). Moreover, a warmer climate 583 increases the saturation deficit of the tropical atmosphere, leading to a larger buoyancy 584 of deep convection and consequently an increase in convective available potential energy 585 (CAPE) (Seeley & Romps, 2015). The BT-based detection limits do not allow for a good 586 estimate of changes to the evolution and thinning of anvil clouds. In order to study such 587 changes we return to an analysis along trajectories. 588



Figure 12. (a) Total net cloud feedback decomposition for the Tropical Western Pacific (TWP) using the Zelinka et al. (2012a) method. (b) Same but for high clouds only (defined as all clouds with a cloud top pressure (CTP) < 440 hPa), showing also the LW (red) and SW (blue) cloud feedback components, using a modified version of Zelinka et al. (2016) method. 440 hPa corresponds to an altitude of about 6.7 km and temperature of about 260 K in the TWP.

#### 4.3 Cloud and radiative responses to warming along detrained trajectories

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#### 4.3.1 Responses of anvil cloud lifetime and cloud properties

The IWC increases with warming along the trajectories, particularly in the initial 592 thick anvil stage (Fig. 8a). The ice crystal number concentration also increases, while 593 the ice crystal effective radius remains initially roughly unchanged and decreases slightly 594 with respect to REF only in the late stage of the anvil evolution (Fig. 8c). The lifetime 595 of the anvil cloud remains roughly constant (Fig. 7). However, the larger initial IWC 596 leads to a 1 hour increase in the lifetime of the thick part of the anvil cloud, or a 35%597 relative increase in the thick anvil cloud lifetime. The result does not change if we in-598 clude in the analysis also trajectories influenced by new occurrence of convection in later 599 stages of their evolution (Fig. S1). 600



Figure 13. (a) Median sources and sinks of ice in the two simulations. Shaded area represents the spread between the 25th and 75th percentile values for REF. (b) Anomalies of median values of source and sinks of ice with respect to REF.

The microphysical process rate evolution shows a different behavior between the early and late stage of anvil evolution (Fig. 13):

- in the early stage of anvil evolution (hour 0-6) both sources and sinks of ice increase in amplitude with respect to REF
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• in the late stage of anvil evolution (from hour 7 onward) sources and sinks of ice are similar with respect to REF.

The trajectories indicate that the 4K simulation starts at larger IWC values, which 607 is a result of tendencies before the start of the trajectory calculation, most likely due to 608 increases in detrainment of ice and vapor by the deep convective scheme. This finding 609 is reinforced by a 40% increase in detrainment of ice and a 80-100% increase in the net 610 deposition flux (Fig. 13) in the initial two trajectory timesteps, that are representative 611 of regions of active convection. A large part of the changes in microphysical process rates 612 is in the early anvil stage attributed to the 20% higher initial value of ice water content. 613 In addition, specific humidity near the deep convective detrainment level increases as the 614 anvil cloud peak shifts to higher altitudes at lower air densities, while remaining at the 615 roughly constant temperature (not shown). This decrease of the average detrainment level 616 pressure from about 235 to about 200 hPa leads to a 5-10% increase in the deposition 617 flux based on a temperature and pressure dependent depositional growth equation (Lohmann 618 et al., 2016), which explains part of the deposition tendency increase. Moreover, a larger 619 static stability near detrainment level in a warmer world may decrease the mixing of de-620 trained air parcels with environmental air, therefore additionally increasing the IWC in 621 the early stage of anvil cloud development. 622

The rate of loss of atmospheric ice increases proportionally with the increase in IWC 623 to first order, which results in only a small increase in thick anvil cloud lifetime in a warmer 624 world (Fig. 7). Ice crystal aggregation transfers the larger crystals to snow when they 625 cross a temperature dependent ice crystal effective radius threshold, which spans between 626 100 - 125  $\mu$ m for the relevant range of temperatures. Since the trajectories invariably 627 originate near convective events, the initial ice crystal radii are close to the prescribed 628 ice crystal effective radius detrained from the convective parameterization which is set 629 to a constant value of 12  $\mu$ m, leaving little opportunity for early changes by aggregation 630 between the control and warming runs. The aggregation rate increases by about 20-30%631 between hours 1-5 of the anvil development, probably due to a general increase in IWC. 632 This is also the likely cause of an increase in both accretion and sedimentation tenden-633 cies. In the late stage of anvil evolution the net deposition slightly decreases compared 634 to REF. This may be connected with a 10% decrease in ice crystal effective radius (Fig. 635 8) leading to a 20% decrease in surface area available for deposition, given no simulated 636 change in relative humidity and comparable IWC between REF and the warming sim-637 ulation (Fig. 11f). 638

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#### 4.3.2 Radiative responses and climatic implications

The increase in IWC and ice crystal number with warming leads to a larger SWCRE 640 as shown in Fig. 10a. At the same time clouds become more opaque to LW radiation, 641 resulting in an increased LWCRE. The average net CRE for the whole lifecycle of tracked 642 anvil clouds is slightly more negative (Tab. 3), partially due to increases in COD, con-643 sistent with the domain average increases in COD (see Section 4.1). In addition, net CRE 644 is more negative also due to an increase in mean anvil cloud insolation between hour 3 645 and 11 of cloud development. This is caused by a small shift in the diurnal cycle of MCS 646 (Fig. 10b) that peaks at a later hour in the 4K simulation (Fig. 5). The insolation-driven 647 changes in SWCRE are partially compensated by the insolation anomalies of the oppo-648 site sign at the late stage of the anvil cloud development (after hour 13). However, at 649 that point in the lifecycle, the anvil clouds are not as reflective as in their initial stage. 650 leading only to a minor modulation of the incoming SW radiative flux. In summary, the 651 increases in SWCRE dominate over increases in LWCRE and lead to a more negative 652 net CRE balance over the course of the anvil cloud lifecycle (Tab. 3 and Fig. 10a). This 653 negative CRE anomaly is consistent with the domain-averaged negative high cloud op-654

	REF	4K-REF	4K-REF ConstInsol
LW CRE [W $m^{-2}$ ]	81.0	8.2	4.3
SW CRE [W $m^{-2}$ ]	-85.4	-10.3	-4.1
$\boxed{\text{ NET CRE } [\text{W } \text{m}^{-2}]}$	-4.4	-2.2	0.2
$\hline \hline \mathbf{NET feedback [W m^{-2} K^{-1}]}$	/	0.5	1.0

Table 3. Mean changes in cloud radiative effects (CRE) along trajectories averaged during the first 24 h. The SWCRE is in the last column calculated using a constant insolation value of 390 W m<sup>-2</sup> instead of the model simulated insolation.

tical depth feedback (Fig. 12) and an increased insolation due to a small shift in the MCS diurnal cycle (Figs. 10b and 5b).

#### 557 5 Discussion

#### 658

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### 5.1.1 Ice water content increase

5.1 Changes in upper tropospheric ice properties

The deep convective detrainment, represented by the G. J. Zhang and McFarlane 660 (1995) convective scheme, is proportional to the cloud water and convective mass flux 661 at the base of the cloud. The cloud base convective mass flux is in turn proportional to 662 the rate of consumption of convective available potential energy (CAPE), which is ex-663 pected to increase in a warmer climate (Seeley & Romps, 2015; Singh et al., 2017). The 664 cloud liquid increases in a warmer climate due to the increased saturation specific hu-665 midity. Both of these factors will, due to the approximately constant temperature at the 666 level of deep convective detrainment, lead to a larger upper tropospheric ice water con-667 tent due to increases of both detrainment of water vapor and ice. Moreover, the deep convective scheme assumes proportionality between the cloud condensate and the con-669 densate removed by precipitation, leading to an additional reason for the increase of the 670 detrained condensate with warming. Other deep convective parameterizations often use 671 a fixed condensed water threshold, which determines the amount of condensate that is 672 removed by precipitation. Such scheme may respond differently to global warming, pos-673 sibly leading to no enhancement in detrainment. However, despite the importance of the 674 formulation of convective precipitation formation for climate sensitivity (M. Zhao, 2014; 675 M. Zhao et al., 2016), it is currently not possible to determine which of the two descrip-676 tions of precipitation production is more realistic. 677

Moreover, a recent study by Hartmann et al. (2020) provides a fundamental phys-678 ical argument in favor of the simulated increased of cloud ice. In a warmer climate, the 679 troposphere expands and lifts the main emission level to lower pressure levels. Assum-680 ing a constant temperature and relative humidity at the emission level, the water vapor 681 cooling rate increases with decreasing pressure levels, leading to a more top heavy ra-682 diative cooling profile, similarly to what is simulated by the E3SM model (Fig. 11e). As 683 the climate in the tracking region can be to a large degree approximated by radiative 684 convective equilibrium, the additional radiative cooling must be compensated by increases 685 in latent heating (Jakob et al., 2019). The increase in cloud ice provides this additional 686 heat (Fig. 11g). 687

#### 5.1.2 Changes in ice crystal effective radius and ice crystal number concentration

The upper tropospheric ice crystal effective radius was previously found to be de-690 creasing with temperature and altitude (Hong & Liu, 2015; Kahn et al., 2018; Krämer 691 et al., 2020), which was associated with the strong temperature dependence of the va-692 por deposition that limits ice crystal growth (van Diedenhoven et al., 2020). The model 693 is able to reproduce this behaviour (Fig. 11h), together with the observed decrease in 694 ice crystal effective radius at temperatures warmer than 250 K (van Diedenhoven et al., 695 2020). Note that the warmer end of the considered temperatures is dominated by snow, 696 which is not included in our analysis. 697

The simulated upper tropospheric ice crystal effective radii do not change signif-698 icantly in a warmer climate (Figs. 11h and 8c), which is probably due to the near con-699 stant temperature of deep convective detrainment level (Hartmann & Larson, 2002). More-700 over, the possible change of radii with warming is limited by the model assumption of 701 a constant ice crystal effective radius size of 12  $\mu$ m at detrainment, due to the very sim-702 ple, 1-moment convective microphysics. This is in contrast with the observed change in 703 cloud top ice crystal effective radius between 2002 and 2016 by the Atmospheric Infrared 704 Sounder observations (Kahn et al., 2018) and and a recent GCM modelling study (Zhu 705 & Poulsen, 2019), both showing an increase in ice crystal size. 706

Given the increase in ice mass detrained by deep convection but an assumed con-707 stant detrainment particle size, the model is bound to simulate a higher number of de-708 trained ice crystals, which is a possible reason for the observed ice crystal number con-709 centration increase both in domain average (Fig. 11i) and along the tracked trajecto-710 ries (Fig. 8d). The basic thermodynamics of climate change can, however, lead both to 711 an increases in CAPE and updraft velocities in tropical MCS (e.g. Seeley and Romps 712 (2015); Singh et al. (2017)) and an increase in upper tropospheric static stability (Zelinka 713 & Hartmann, 2010; Bony et al., 2016). The first effect may due to stronger deep con-714 vective updrafts on one hand lead to a larger number of smaller newly nucleated ice crys-715 tals and on the other hand provide additional support to carry larger ice crystals towards 716 the cloud top. In addition, the increase in static stability implies a decrease in turbu-717 lence and the associated updrafts, possibly leading to a smaller number of in-situ nucle-718 ated ice crystals that can grow to larger size. It is currently not clear which of the pro-719 posed effects may dominate the changes in microphysical properties of anvil clouds and 720 what could be the climatic role of such changes. 721

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#### 5.2 Implications for tropical high cloud feedbacks

Figure 14 summarizes the main findings of the previous section. The IWC in thick 723 anvils increases due to increased detrainment tendency from deep convective cores and increased deposition flux. The increase in vapor deposition may also be connected to in-725 creased detrainment as the detraining air is assumed to be saturated. This leads to an 726 increased COD and a negative net CRE anomaly in the early stage of the anvil lifecy-727 cle. The changes are smaller in aged thin anvil clouds, as the sinks of ice, particularly 728 snow formation, becomes more efficient in removing the excess IWC. At this point we 729 take a step further to transform the net CRE values of Table 3 into climate feedbacks 730 by dividing the change in net CRE along trajectories by the increase in globally aver-731 aged surface temperatures and adding a derived cloud masking correction term, as ex-732 plained in Appendix A. The computed climate feedback along detrained trajectories is 733 small and positive for the 4K simulation and consistent with the results of the 3 year long 734 clim4K simulation (Fig. 12a) as well as with the literature finding a robust positive trop-735 736 ical cloud feedback (Zelinka & Hartmann, 2010; Zelinka et al., 2012b, 2013; Boucher et al., 2013) with the dominant cloud altitude LW feedback component due to a 1-1.5 km 737 increase in high cloud altitude. 738



**Figure 14.** Summary sketch highlighting major changes with global warming. The increase in cloud altitude is omitted from the sketch.

Our simulations reveal in addition an increase in precipitable water and large-scale 739 updraft velocities with global warming that lead to increasing condensed water content 740 at temperatures below freezing, despite a counteracting decrease in the convective mass 741 flux. The anvil cloud peak stays at approximately the same temperature level consistent 742 with the FAT theory (Hartmann & Larson, 2002). When clouds shift in altitude, they 743 shift to an environment with higher static stability, which according to Bony et al. (2016)744 implies a decreased convective detrainment and a decrease in anvil cloud fraction. In our 745 simulations anvil cloud fraction decreases, but domain-averaged cloud ice content increases, 746 leading to a larger optical depth of remaining anvil clouds and a negative optical depth 747 feedback. 748

We also observed increases in ice removal rates with warming (Fig. 13) due to an 749 increase in anvil cloud precipitation efficiency by ice crystal aggregation and accretion 750 of ice crystals by snow. However, most of this increase in precipitation (snow) forma-751 tion is due to a higher IWC at the starting points of anvil trajectories near the main de-752 trainment level. Moreover, it is not only the sinks but also the sources of ice that increase, 753 in particular the net deposition flux, leading to no change in anyil cloud lifetime nor any 754 substantial shifts of the proportion of thick vs. thin anvil clouds (Fig. 7). The simulated 755 changes in anvil clouds are therefore different from the microphysical Iris hypotesis and 756 its negative anvil cloud feedback proposed by Lindzen et al. (2001). 757

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#### 5.3 Potential changes of anvil cloud diurnal cycle and the associated radiative impacts

The average local time of peak cold cloud shield area of tracked MCS shifts from about midnight in REF simulation to 4 am in the 4K simulation, because more MCS peak in the morning hours (Fig. 5). This increases the SWCRE and leads to an additional negative (diurnal) cloud feedback component that cannot be evaluated with the cloud feedback decomposition method used here, because the ISCCP simulator, which it is based on, represents daytime average cloud fraction computed from 3-hourly instantaneous snap-

shots in sunlit gridboxes, meaning that it is in current form not suitable for studying vari-766 ations in the diurnal cycle of clouds. We additionally compute CRE by assuming diur-767 nally averaged insolation of 390 W  $m^{-2}$ , representative of the domain mean insolation 768 during the months June-August in the tracking region, which increases the net CRE budget by 2.4 W m<sup>-2</sup>, implying a 0.5 W m<sup>-2</sup> K<sup>-1</sup> larger net cloud feedback (Tab. 3). In 770 other words, the more negative SWCRE balance when using model calculated insolation 771 instead of its diurnal average leads to a negative diurnal cycle component of cloud feed-772 back of  $0.5 \text{ W m}^{-2} \text{ K}^{-1}$ , confirming the role of changes in insolation presented in Sec-773 tion 4.3.2. The magnitude of the diurnal cycle component of the cloud feedback is com-774 parable to the net cloud feedback for the TWP region, so feedbacks associated with the 775 diurnal cycle could be substantial and are worth investigating in future studies. 776

#### 5.4 Study limitations

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The goal of this study is to provide a better understanding of the anvil cloud evolution in present and future warmer climate by using an intuitive, ice crystal following Lagrangian perspective. Models are currently the only possible way to provide such insights into cloud lifecycles due to limitations in in-situ and satellite observational data. While the method applied indeed provides valuable insights into the behavior of the model, the reader should be aware of its possible limitations as outlined below.

#### 5.4.1 Statistical robustness and study region

The core part of the study (MCS tracking and trajectory analysis) relies on a 3 month 785 simulation following a 7 day spin up period. 92 simulated days are enough to represent 786 part of the tropical intraseasonal variability at the synoptic timescale with disturbances 787 of sizes of about 1000 km and timescales of 1-10 days encompassing typical convectively 788 coupled equatorial waves (Kiladis et al., 2009). The length of the simulation is not long 789 enough to encompass a whole possible cycle of the Madden-Julian oscillation with a typ-790 ical period of 30-70 days. However, while this may influence the number of tracked MCS. 791 it is not expected to have a large impact on the anvil cloud lifecycle itself. The anvil de-792 cay is primarily driven by processes that operate on a fast timescale like microphysics 793 and radiation, and we have sampled many occurrences of the anvil decay process. In-794 terannual variability, e.g. ENSO, could be an issue, but the simulations use prescribed 795 SST, which prevents the model drift into a different ENSO phase allowing for a better comparison between the simulations. Nevertheless, the simulations used for computing 797 mean climatic values in the region of interest in Section 4.1 are run for only 3 years, which 798 is not enough for computing reliable climatologies. The short simulations therefore in-799 troduce uncertainties in CRE and cloud feedback calculations, and suggest an interan-800 nual variability in mean June-August net CRE of about 0.5 W  $m^{-2}$  in the tracking re-801 gion, computed from the 3 years of available model output, which is smaller than the 802 magnitude of the net CRE anomalies listed in Table 3. The qualitative features of the 803 analysis are therefore probably quite robust, while the uncertainty in the quantitative 804 amplitude may be considerable. 805

Our study focuses on changes in only one of the tropical regions of frequent deep convection. However, as shown by Fig. S4, changes in the tracking region (Fig. 11) are in all plotted quantities but one (vertical velocity) consistent with the zonally averaged responses, giving more weight to our results.

#### 5.4.2 Trajectory calculation

We use an offline method for calculating trajectories from model resolved large-scale motions. The E3SM model time step is set to 15 minutes while the output time step is archived at 1 hour intervals because of storage space limitations. E3SM therefore evolves on timescales that are shorter than resolved from the archived data (4 updates of velocity and microphysical fields are performed online within the archival time interval), which
introduces minor biases in trajectory calculations. A study by Miltenberger et al. (2013)
based on a regional weather prediction model shows only minor horizontal and vertical
biases in the offline trajectory calculation when comparing offline calculated trajectories using 1-hourly model output with the online calculated trajectories for the model
resolution of 14 km with the model timestep of 40 s.

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#### 5.4.3 Simulated interaction of convective and large-scale cloud processes

A large part of the presented results strongly depends on the way E3SM simulates 822 deep convection with the help of a modified version of the G. J. Zhang and McFarlane 823 (1995) convective scheme, described in Xie et al. (2018). The scheme is meant to reduce 824 CAPE over the course of a timescale that can be tuned. The model was found to un-825 derestimate BT of the strongest convective events, and at the same time overestimate 826 the frequency of intermediate BT. These biases indicate a too shallow convective cloud 827 top layer and/or a too small convective mass flux above about 10 km altitude which is 828 consistent with findings by Y. Zhang et al. (2019) and Xie et al. (2018). This may be 829 caused by a too large convective entrainment (Wang & Zhang, 2018) and/or a low mid 830 tropospheric humidity bias (Xie et al., 2018). Moreover, convection is typically found 831 to be shallower in models with higher vertical resolution (like E3SM) compared to those 832 with coarser resolution (e.g. CESM) as a higher vertical resolution can lead to stronger 833 vertical gradients in humidity, heating, and static stability (Rasch et al., 2019). 834

The deep convective scheme uses a simple thermodynamical treatment of clouds, 835 with a temperature dependent partitioning of detrained condensate between liquid and 836 ice. Besides condensate it also detrains vapor, leading to a moistening of the upper tro-837 posphere. The convective microphysics is very simplified and only 1-moment in contrast 838 to the 2-moment stratiform cloud microphysical scheme. The convective part of the code 839 therefore does not explicitly calculate ice crystal radii, while the 2-moment stratiform 840 cloud microphysics requires a mass and size or number of detrained ice particles. The 841 convective scheme provides this information in an arbitrary way - the detrained ice crys-842 tal effective radius is a tunable parameter, set to 12  $\mu$ m in the model version used here. 843 This is inconsistent with observational evidence, which shows that the ice particle size 844 in convective cores decreases with altitude (Van Diedenhoven et al., 2016; van Dieden-845 hoven et al., 2020) and may therefore lead to an underestimation of the lifetime of the 846 detrained ice crystals at the convective cloud tops and overestimation at lower levels. Nev-847 ertheless, despite the use of parametrized convection and its associated problems, we found 848 E3SM to reproduce the observed albedo-OLR histogram in the tracking region remark-849 ably well and to simulate MCS in a reliable way compared to geostationary observations 850 of tropical maritime convection. 851

#### **6** Conclusions

Tropical net CRE is determined by anvil clouds at various stages of evolution. In 853 this study we first used a cold cloud tracking algorithm to follow the evolution of MCS 854 in the Tropical Western Pacific. The MCS simulated by E3SM were compared with the 855 observed MCS from 3 months of Himawari geostationary satellite data. The compari-856 son showed that the model is, despite some deficiencies, able to reproduce many features 857 of the observed albedo-OLR pairings representing anvil cloud decay as well as MCS and 858 their diurnal cycle. We find that cloud ice amount increases on a warmer Earth, which 859 leads to a negative cloud optical depth feedback. However, the net cloud feedback is pos-860 itive due to the dominant positive cloud altitude feedback. 861

In a second analysis step, we diagnosed anvil properties following trajectories launched from gridboxes with active convection at the peak of the MCS lifecycle in the E3SM simulations. These trajectories follow air parcels from the top of deep convective clouds throughout the evolution of the anvil clouds, from their initial thick to final thin stage. We use

the trajectories to estimate the anvil cloud lifetime, which was found to be about 15 hours. 866 The anvil properties and their CRE initially evolve very quickly, with the thick anvil stage 867 lasting only about 2-4 hours, despite a supporting dynamical forcing in the form of the 868 strong updraft velocity. The anvil gradually continues to decay with decreasing IWC and ice crystal number concentration, resulting in decreases of both SWCRE and LWCRE. 870 The dominant source of ice mass is ice crystal growth by deposition, while the dominant 871 sinks are snow formation by ice crystal aggregation (ice is converted to snow when cross-872 ing the aggregation cutoff size) and in the first 5 hours of evolution also accretion (ice 873 is removed when scavenged by falling snow). Sedimentation of ice crystals plays only a 874 secondary role. 875

We evaluated changing anvil cloud properties using present day SSTs, and SSTs 876 incremented by a uniform 4K increase to identify changes that might occur in anvils with 877 global warming. Figure 14 represents a summary of the main simulated changes in clouds. 878 In general, we observe an increase in COD for thick high clouds due to an increase in 879 detrained IWC and vapor. Ice mass sources and sinks increase, leaving the anvil cloud 880 lifetime roughly unchanged. Changes to anvil microphysics lead to more negative SWCRE 881 in the thick and intermediately thick any cloud stage in the first 10 hours of any cloud 882 evolution. The changes in the thin anvil stage are small, which leads to a net negative 883 CRE response along the full anvil lifecycle. 884

The estimation of cloud feedbacks along trajectories indicated a feedback of about 0.5 W m<sup>-2</sup> K<sup>-1</sup>. This result is consistent with the mean climate feedback computed with the help of radiative kernels in which the positive altitude feedback dominates over a smaller contribution due to the COD increase. The feedback may also have a negative component due to a shift in peak deep convective activity occuring at a later time in the morning, leading to more reflected SW radiation.

Our study shows how a Lagrangian approach can provide an in-depth and more intuitive perspective on anvil cloud evolution and its changes with global warming. Our approach is complementary to the standard global or regionally averaged climate feedback decompositions. In particular, it offers the following advantages over the standard mean climate perspective:

• It gives a direct estimation of cloud lifetimes

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- It offers an intuitive perspective on microphysical processes that control anvil evolution and radiative properties. It also allows computing Lagrangian mass budgets
- It provides a straightforward and unbiased way of separating cloud responses based on cloud development stage

Such Lagrangian approaches are needed if we want to fully understand the mech-902 anisms of the anvil cloud lifecycle and how they respond to global warming. A Lagrangian, 903 air parcel or hydrometer following approach can provide new insights into the evolution of cloud and other climate processes. The use of Lagrangian methods in high resolution 905 models is still limited and should be made a priority, particularly by the implementa-906 tion of online trajectory modules (Miltenberger et al., 2013). Follow-up studies using La-907 grangian methods could consider extending their simulations from months to years to 908 better control noise due to natural variability. An increased statistical significance of the 909 tracked features would for example open up new opportunities for studying potential ra-910 diative feedbacks caused by changes in the diurnal cycle of clouds, which currently can-911 not be captured by cloud feedback decomposition methods. 912

**Table A1.** 3 year JJA average net cloud radiative effects (CRE) anomalies with respect to reference simulation, net cloud feedback calculated by using Zelinka et al. (2012a) radiative kernels for Tropical Western Pacific. The adjustment term is computed as a difference between the cloud feedback and normalized CRE value.

	clim4K
$\Delta$ NET CRE [W m <sup>-2</sup> ]	-2.03
$\Delta$ temperature [K]	4.31
$\left  \begin{array}{c} \Delta NETCRE \\ \overline{\Delta temperature} \end{array} \left[ \mathbf{W} \ \mathbf{m}^{-2} \ \mathbf{K}^{-1} \right] \right.$	-0.47
calculated feedback [W m <sup>-2</sup> K <sup>-1</sup> ]	0.52
$\begin{tabular}{ l l l l l l l l l l l l l l l l l l l$	]   0.99

# Appendix A Cloud feedback estimation from changes in net CRE along detrained trajectories

CRE are defined as a difference between all-sky and clear sky radiative fluxes. A 915 change in CRE between the reference and a warmer climate is not equivalent to the change 916 in cloud feedbacks, although the patterns of change generally resemble each other (e.g. 917 Fig. 11 in Soden et al. (2008)). While cloud feedbacks refer only to the radiative effects 918 of changes in cloud properties with warming, CRE are defined as a difference between 919 full and clear sky radiative fluxes and therefore depends both on changes in clouds and 920 their radiative properties as well as changes in clear sky radiation. In simulations with 921 increased SSTs the atmospheric opacity increases mainly due to increased water vapor 922 concentrations. This effect is stronger in clear sky regions and thus leads to a more neg-923 ative CRE response compared with cloud feedbacks (Ceppi et al., 2017). 924

An accurate way of estimating cloud masking adjustments is to use technically chal-925 lenging partial radiative perturbation methods (Colman, 2003; Soden et al., 2004), which 926 goes beyond the scope of our work. We therefore estimate a cloud masking correction 927 term by using the difference between the computed CRE values for months June-August 928 in the 3-year long simulation (row 1 in Table A1), normalized by the change in global 929 surface temperature in the respective simulation (row 2 in Table A1), and the cloud feed-930 back calculations with the help of radiative kernels (Zelinka et al., 2012a) (row 4 in Ta-931 ble A1). The derived cloud masking agrees well with the masking terms computed from 932 offline radiative calculations with a series of GCMs (Soden et al., 2008; Zelinka et al., 933 2013; Yoshimori et al., 2020). 934

#### <sup>935</sup> Appendix B Calculation of ice crystal effective radius

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The ice size distribution is represented by a gamma function as

$$\Phi(D) = N_0 D exp^{-\lambda D} \tag{B1}$$

where D is the diameter, N<sub>0</sub> the intercept parameter, and  $\lambda$  is the slope parameter that is defined as:

$$\lambda = \left[\frac{\pi\rho N}{q}\right]^{-\frac{1}{3}} \tag{B2}$$

where  $\rho$  is the assumed bulk ice density of 500 kg m<sup>-3</sup>, q is the ice mass mixing ratio, and N is the ice number concentration. The effective radius is defined as the ratio of the third and second moments of the ice distribution, which can be expressed as

$$r_e = \frac{3\rho}{2\lambda\rho_i} \tag{B3}$$

 $\rho_i$  is the bulk density of pure ice (917 kg m<sup>-3</sup>). More details on the assumed ice distribution can be found in Morrison and Gettelman (2008).

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1292 1293 1294 1295 1296 1297 1298 1300 1301 1302 1303 1304 1305 1306 1307 1308 1309 1310 1311 1312 1313 1314 1315 1316 1317 1318	<ul> <li>10.1007/s003820100157</li> <li>Wernli, H., &amp; Davies, H. C. (1997). A Lagrangian-based analysis of extratropical cyclones .1. The method and some applications. Q. J. R. Meteorol. Soc., 123(538), 467-489. doi: 10.1256/smsqj.53810</li> <li>Wielicki, B. A., Barkstrom, B. R., Harrison, E. F., Lee, R. B., Smith, G. L., &amp; Cooper, J. E. (1996). Clouds and the Earth's Radiant Energy System (CERES): An Earth Observing System Experiment. Bull. Am. Meteorol. Soc., 77(5), 853-868. doi: 10.1175/1520-0477(1996)077(0853:CATERE)2.0.CO;2</li> <li>Wing, A., Stauffer, C., Reed, K., Becker, T., Satoh, M., Stevens, B., Ohno, T. (2019). Tropical clouds and convection in RCE simulations. Mykonos, Greece.</li> <li>Xie, S., Lin, W., Rasch, P. J., Ma, PL., Neale, R., Larson, V. E., Zhang, Y. (2018). Understanding Cloud and Convective Characteristics in Version 1 of the E3SM Atmosphere Model. J. Adv. Model. Earth Syst., 10, 1–27. Retrieved from http://doi.wiley.com/10.1029/2018MS001350 doi: 10.1029/2018MS001350</li> <li>Yoshimori, M., Lambert, F. H., Webb, M. J., &amp; Andrews, T. (2020). Fixed Anvil Temperature Feedback: Positive, Zero, or Negative? J. Clim., 33(7), 2719–2739. doi: 10.1175/jcli-d-19-0108.1</li> <li>Zelinka, M. D., &amp; Hartmann, D. L. (2010). Why is longwave cloud feedback positive? J. Geophys. Res. Atmos., 115(16), 1–16. doi: 10.1029/2010JD013817</li> <li>Zelinka, M. D., Klein, S. A., &amp; Hartmann, D. L. (2012a). Computing and partitioning cloud feedbacks using cloud property histograms. Part I: Cloud radiative kernels. J. Clim., 25(11), 3715–3735. doi: 10.1175/JCLI-D-11-00248.1</li> <li>Zelinka, M. D., Klein, S. A., &amp; Hartmann, D. L. (2012b). Computing and Partitioning Cloud Feedbacks Using Cloud Property Histograms. Part II : Attribution to Changes in Cloud Amount , Altitude , and Optical Depth. J. Clim., 25, 3736–3736. doi: 10.1175/JCLI-D-11-00249.1</li> </ul>

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## Supporting Information for "A Lagrangian perspective on tropical anvil cloud lifecycle in present and future climate"

Blaž Gasparini<sup>1</sup>, Philip J. Rasch<sup>2</sup>, Dennis L. Hartmann<sup>1</sup>, Casey J. Wall<sup>3</sup>,

Marina Dütsch<sup>1</sup>

 $^1 \mathrm{University}$  of Washington, Seattle, Washington, USA

<sup>2</sup>Pacific Northwest National Laboratory, Richland, Washington, USA

 $^3 \mathrm{Scripps}$ Institution of Oceanography, University of California San Diego, USA

### Contents of this file

- 1. Text S1 to S3  $\,$
- 2. Figure S1 to S4
- 3. Table S1  $\,$

#### Additional Supporting Information (Files uploaded separately)

1. Captions for Movie S1

#### Introduction

The supporting material includes 4 additional figures that either show more support of the study's main findings (Fig. S1, S2, S4, Table S1) or reveal additional information that help interpret some of the study's results (Fig. S3). Text S1. The decay of anvil cloud fraction is not significantly biased by our decision to consider only trajectories not encountering any significant ice detrainment tendency after the initial 4 hours of the evolution (Fig. S1). Interestingly, the lifetime slightly decreases with the inclusion of such trajectories, most likely due to stronger resolved vertical velocities near regions of active convection, which loft the trajectories, often ending above the cloud top.

The standard set of trajectories uses a minimum IWC limit of 0.1 mg kg<sup>-1</sup> for the determination of a cloud. The lifetime decreases by about 2.5 hours when using an order of magnitude larger ice mixing ratio limit in the definition of a cloud lifetime, similar to that used by Mace, Deng, Soden, and Zipser (2006), while a lower ice limit would not change the cloud lifetime (Fig. S2a). The lifetime was also found to be sensitive to the minimum cloud fraction allowed for calling an air parcel cloudy. The lifetime increases by about 2.5 hours when using a limit of 1% cloud fraction instead of the default value of 10%. On the other hand, the lifetime decreases by 2 hours when increasing the limit from 10% to 30% (Fig. S2b).

**Text S2.** We provide additional discussion in support of the cloud feedback calculation presented in Fig. 12. The discussion is supported by the cloud fraction histograms based on the instantaneous cloud fraction values computed by the ISCCP cloud simulator (Fig. S3), which are used in the cloud feedback calculations. The model-derived cloud fraction shows a clear maximum above 310 hPa for all COD bins (Fig. S3a). The high cloud fraction computed by the ISCCP simulator shifts to higher pressure levels (Fig. S3d) and

shows a small cloud fraction increase in warmer climate (Fig. S3e,f). In contrast, the low level cloud fraction decreases with warming in all COD bins (Fig. S3d-f).

Note that the cloud fraction values based on ISCCP simulator can differ from the model simulated ones (Pincus et al., 2012). For example, ISCCP simulator indicates an increase in high cloudiness for the clim4K with respect to the climREF simulation, whereas E3SM alone indicates a decrease (Fig 11a). The ISCCP estimate is used in the cloud feedback calculation and results in the positive LW and negative SW high cloud amount feedback (see Fig. 12b) as expected in the case of the high cloud fraction increase. When considering the amount feedback for all clouds (Fig. 12a), the LW and SW feedback components change sign, with the LW amount feedback being negative and the SW feedback being positive. This is typical of a decrease in high cloud fraction, in the apparent contrast to the results of Fig. 12b and is an artifact of the cloud amount feedback calculation, which assumes a fixed cloud distribution in pressure and optical depth levels. In particular, the proportion of high vs. low clouds has to remain constant, which is in violation of the simulated cloud differences, leading to a biased total cloud amount feedback (for a more complete discussion please refer to Zelinka, Klein, and Hartmann (2012) and the supplementary material of Zelinka, Zhou, and Klein (2016)).

High clouds have a strong effect on the OLR and are therefore expected to dominate the changes in altitude feedbacks, with only a small contribution from low clouds. It is therefore surprising to see the high cloud altitude feedback resulting in only about 50% of the total altitude cloud feedback (confront Figs. 12b and 12a). However, as a dif-

ference from the amount feedback, the calculation of cloud altitude feedback considers the non-proportionate change in cloud fraction, i.e. the residual between the actual and proportionate cloud fraction change. The residual (and therefore the altitude feedback) is large when considering clouds of all altitudes, due to the differences in the proportionality of high vs. low clouds in the warmer simulation (high cloud fraction increases, low cloud fraction decreases). The difference between the actual and proportionate cloud fraction changes decreases when considering high clouds only, leading to a smaller altitude feedback (Fig. 12b).

Finally, the optical depth feedback is large and negative for high clouds, which is consistent with the observed shift of the high cloud distribution in Fig. S3c towards larger COD bins. In contrary, low clouds exhibit no large optical depth shifts. The total optical depth cloud feedback is therefore as expected dominated by the high cloud feedback component, caused by an increase in ice water content (Fig. 11g).

**Text S3.** The values of both SW and LW CRE averaged along detraining trajectories are larger when, as a difference from the main manuscript (Table 3), the trajectories experiencing detrainment after the first 4 hours of the evolution are included in the statistical analysis (Table S1). This is an expected result: the additional detrainment leads to direct injections of ice and vapor, which increase the thick and intermediately thick anvil cloud fraction. While the impact of detrainment events encountered by trajectories after the first 4 hours of the cloud evolution is not negligible, these late detrainment events are not strong enough to change the qualitative picture of anvil cloud evolution including the relative importance of source and sink processes, ice cloud properties, or radiative effects.

Movie S1. 2-week long animation of the OLR simulated by the REF simulation (in filled contours). Tracked MCS are delineated by red contour lines. The plotted trajectories are colored based on their ice water content. Trajectories are plotted only as long as their ice water content is larger than 0.1 mg kg<sup>-1</sup>. Each trajectory segment gradually fades through time, becoming fully transparent 12 hours after the trajectory overpass. The starting locations of trajectories are represented by red crosses.

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X - 6

**Table S1.** Mean changes in cloud radiative effects (CRE) during 24 h along all computed trajectories. This includes also trajectories that experienced significant detrainment tendencies after the first 4 hours of the evolution, which were excluded from the analysis considered in the main part of the manuscript.

	REF	4K-REF
[ LW CRE [W m-2 ]	87.2	8.1
SW CRE [W $m^{-2}$ ]	-94.5	-11.0
$[ NET \ CRE \ [W \ m^{-2} ] ]$	-7.4	-2.9
NET feedback $[W m^{-2} K^{-1}]$	/	0.3



**Figure S1.** As Fig. 6 but with all trajectories considered (i.e. including those affected by subsequent detrainment of ice after hour 4 of the evolution).



Figure S2. Sensitivity tests of anvil cloud decay when using different in-cloud IWC limits for cloud definition and a constant minimum cloud fraction limit of 10% (a). Sensitivity tests with different minimum cloud fraction limits considered in the definition of anvil cloud and a constant minimum in-cloud IWC limit of 0.1 mg kg<sup>-1</sup> (b).



**Figure S3.** ISCCP cloud fraction histograms for (a) climREF, (b) clim4K simulations, and their anomaly (d). c) shows the changes in high and non-high cloud fraction as a function of cloud optical depth, averaged along cloud top pressure axis. Panel e) shows the changes in cloud fraction binned by cloud top pressure and averaged along optical depths. f) shows the respective cloud fraction anomalies.

X - 9





Figure S4. (a) Cloud fraction, (b) vertical velocity, (c) convective mass flux from the convective parameterization, (d) cloud liquid, (e) clear sky heating rates, (f) relative humidity with respect to water (for T>273 K), ice (for T<253 K), or a mixture between the two (for 273>T>253 K), (g) cloud ice, (h) in-cloud ice crystal effective radius, and (i) in-cloud ice crystal number concentration averaged for all gridpoints between 20°S and 20°N. The quantities are plotted as a function of temperature between the surface and approximately the tropopause level. Shaded areas cover the space between all 3 annually averaged values for each of the simulations.