

Cloud and Precipitation Particle Identification Using Cloud Radar and Lidar Measurements: Retrieval Technique and Validation

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Abstract

This paper describes a technique for identifying hydrometeor particle types using airborne HIAPER Cloud Radar (HCR) and High Spectral Resolution Lidar (HSRL) observations. HCR operates at a frequency of 94 GHz (3 mm wavelength), while HSRL is an eye-safe lidar system operating at a wavelength of 532 nm. Both instruments are deployed on the NSF-NCAR HIAPER aircraft. HCR is designed to fly in an underwing pod and HSRL is situated in the cabin. The HCR and HSRL data used in this study were collected during the Southern Ocean Clouds, Radiation, Aerosol Transport Experimental Study (SOCRATES). Comprehensive observations of the vertical distributions of liquid and mixed-phase clouds were obtained using in-situ probes on the aircraft and remote sensing instruments. Hydrometeor particle types were retrieved from HCR, HSRL, and temperature fields with a newly-developed fuzzy logic particle identification (PID) algorithm. The PID results were validated with in-situ measurements collected onboard the HIAPER aircraft by a 2D-Stereo (2D-S) cloud probe. Particle phases derived from the PID results compare well with those obtained from the 2D-S observations and agree in over 70 % of cases. Size distributions are also consistent between the two methods of observation. Knowledge of the particle type distribution gained from the PID results can be used to constrain microphysical parameterization and improve the representation of cloud radiation effects in weather and climate models.

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Key Points:

- A fuzzy logic hydrometeor particle identification method is presented that uses cloud radar and lidar observations collected during field campaigns.
- Comparisons with independent in-situ measurements show good agreement.

Abstract

This paper describes a technique for identifying hydrometeor particle types using airborne HIAPER Cloud Radar (HCR) and High Spectral Resolution Lidar (HSRL) observations. HCR operates at a frequency of 94 GHz (3 mm wavelength), while HSRL is an eye-safe lidar system operating at a wavelength of 532 nm. Both instruments are deployed on the NSF-NCAR HIAPER aircraft. HCR is designed to fly in an underwing pod and HSRL is situated in the cabin. The HCR and HSRL data used in this study were collected during the Southern Ocean Clouds, Radiation, Aerosol Transport Experimental Study (SOCRATES). Comprehensive observations of the vertical distributions of liquid and mixed-phase clouds were obtained using in-situ probes on the aircraft and remote sensing instruments. Hydrometeor particle types were retrieved from HCR, HSRL, and temperature fields with a newly-developed fuzzy logic particle identification (PID) algorithm. The PID results were validated with in-situ measurements collected onboard the HIAPER aircraft by a 2D-Stereo (2D-S) cloud probe. Particle phases derived from the PID results compare well with those obtained from the 2D-S observations and agree in over 70 % of cases. Size distributions are also consistent between the two methods of observation. Knowledge of the particle type distribution gained from the PID results can be used to constrain microphysical parameterization and improve the representation of cloud radiation effects in weather and climate models.

1 Introduction

The knowledge of cloud and precipitation particle types, that is, their phase and size distribution, aids our understanding of cloud microphysical and dynamic processes, and their representation in weather and climate models. Accurate observations of particle characteristics are essential for the development of microphysical parameterization schemes. They help to reduce biases in radiative effects in earth simulation system models, and to improve estimates of liquid and ice water content. Sophisticated weather and climate models use bin microphysics parameterization schemes that represent explicit particle size distributions of the liquid and ice phases (Paukert et al., 2019). In the past decade, particle size distributions were tracked using Lagrangian schemes (Morrison et al., 2020).

Condensation, freezing, evaporation, and melting lead to the production of liquid and frozen particles, which play a crucial role in the earth's radiation budget by scattering shortwave

radiation and absorbing and re-emitting longwave radiation. However, the radiative properties of liquid and frozen particles are different, as their dielectric constant, size, and concentrations are not the same. Therefore, the erroneous representation of liquid and frozen particles causes significant biases in cloud radiation and earth radiation budgets. Accurate identification of particle phase is especially important for stratocumulus clouds as they are a dominant cloud type, covering large regions of the globe (Wood, 2012).

In numerical weather forecast and climate simulation models, cloud water is partitioned into liquid and ice, which is parameterized as a function of temperature between -40°C and 0°C (DelGenio et al., 1996). In a self-contained air parcel with liquid and ice particles, and in the absence of any external dynamical forcing, theoretical studies suggest that the glaciation time scale is on the order of an hour (Korolev & Isaac, 2003). However, observational studies indicate that supercooled liquid droplets and frozen particles can continue to exist in individual layers or in mixed phase conditions for much longer periods, even days (de Boer et al., 2011). Specifically, observations of stratocumulus boundary layer clouds in mid-latitude and polar regions show a thin layer of cloud liquid droplets at the top of the clouds, while cloud droplets, drizzle, and frozen particles coexist within the cloud (Korolev & Isaac, 2003).

While in-situ measurements are considered the best means for observing microphysical properties of clouds and precipitation particles, they are often limited in spatial and temporal extent. Remote sensing instruments are well suited to expand hydrometeor observations spatially and temporally. For example, cloud radar and lidar measurements were used to retrieve the effective radius of droplets and the liquid water content in stratiform precipitation (Vivekanandan et al., 2020). However, since remote sensing instruments do not provide direct measurements of particle phase, type, and size, retrieval algorithms are necessary for the microphysical characterization of particles. Individual remote sensing fields, such as reflectivity alone, cannot be used to discriminate between liquid and ice, as there is, for example, a significant overlap in observed reflectivity values between liquid and frozen precipitation. The combination of polarimetric Doppler radar and lidar measurements reduces ambiguity in differentiating liquid from frozen particles (Shupe, 2007).

Many of the current techniques for identifying hydrometeor particles in remote sensing observations use thresholds or rigid boundaries (Ceccaldi et al., 2013; Kikuchi et al., 2017;

Shupe, 2007). They also often lack validation due to the difficulty of obtaining independent in-situ measurements. Because of the aforementioned overlap in remote measurements for different particle types, rigid boundaries can misclassify particle types. Fuzzy-logic methodologies are well suited for classifying hydrometeors with overlapping and smooth transition boundaries in clouds and precipitation (J. Vivekanandan et al., 1999). Neural networks and machine learning techniques can also be used for classifying hydrometeor types.

This paper describes a fuzzy logic methodology for identifying cloud and precipitation particle types using airborne cloud radar and lidar observations. It was developed and validated using measurements from the Southern Ocean Clouds, Radiation, Aerosol Transport Experimental Study (SOCRATES) field campaign. Section 2 describes the remote sensing and in-situ instruments and corresponding datasets. Section 3 describes components of the PID algorithm and the fuzzy logic method. Particle type identification results from remote measurements and comparisons with in-situ observations are presented in Section 4. Conclusions are drawn in Section 5.

2 Description of instruments and datasets

2.1 HIAPER Cloud Radar (HCR) and High Spectral Resolution Lidar (HSRL)

As part of its mission to aid the scientific community in observational field campaigns, the Earth Observing Laboratory (EOL) at the National Center for Atmospheric Research (NCAR) deploys the High-performance Instrumented Airborne Platform for Environmental Research (HIAPER), a Gulfstream V research aircraft. Two of the instruments requestable by the scientific community as part of the HIAPER instrument suite are the HIAPER Cloud Radar (HCR, Vivekanandan et al., 2015) and the Gulfstream V High Spectral Resolution Lidar (HSRL).

HCR is a dual-polarimetric millimeter-wavelength W-band radar that is deployed in an underwing pod on HIAPER. It has collected data in four major and one minor field campaigns, ranging in location from the Southern Ocean to the tropics (Albrecht et al., 2019; Fuchs-Stone et al., 2020; McFarquhar et al., 2020; Rauber et al., 2017). Care has been taken to optimize radar calibration and data quality, and provide additional data products, such as reanalysis fields or melting layer altitude (Ellis et al., 2019; Romatschke, 2021; Romatschke et al., 2021; Romatschke & Dixon, 2022). HCR observations are computed with a resolution of ~20 m in

range and a temporal resolution of 10 Hz. The along-track spatial resolution is a function of aircraft speed and the dwell time of the sample. At typical flight speeds of 200 ms^{-1} , the 10 Hz temporal resolution yields a sample volume of approximately 20 m in the direction of flight. The HCR beam's footprint is 3 m at a range of 250 m and it increases to 180 m at 15 km in range. Polarimetric and Doppler radar fields are calculated from the measured in-phase and quadrature (I/Q) time-series data. The dynamic range of the HCR reflectivity is between -35 and +30 dBZ and can be estimated with a 1-2 dB accuracy (Romatschke et al., 2021).

The HSRL is a calibrated lidar (Razenkov et al., 2008) and operates at a wavelength of 532 nm with a pulse repetition frequency of 4000 Hz and a power of 300 mW. It uses a high-repetition, low-pulse energy laser which meets the eye-safety criteria of the American National Standards Institute (ANSI) at all ranges. It samples the atmosphere with a temporal resolution of 2 Hz and a range resolution of 7.5 m. HSRL measures the backscatter coefficient and depolarization properties of atmospheric aerosols and clouds, and the cloud extinction coefficient.

The PID method described in this study was developed using data collected during the SOCRATES field campaign, where HCR, HSRL, and in-situ cloud probes were deployed on the HAIPER aircraft (McFarquhar et al., 2020). The combination of co-located remote sensing and in-situ observations makes SOCRATES data especially valuable as they provide the opportunity to verify the results of the PID method. The aircraft flew 15 research flights (RFs) consisting of north-south transects south of Hobart, Australia, between 15 January and 24 February, 2018. The Southern Ocean is a large heat reservoir and influences the atmospheric and oceanic circulation of the entire Southern Hemisphere and beyond. To expand upon sparse observations of clouds over the Southern Ocean, HCR and HSRL obtained comprehensive observations of boundary layer structure and vertical distributions of liquid, frozen, and mixed-phase clouds.

For the purposes of this study, HCR and HSRL data were resampled onto a common grid. The HCR data was averaged to 2 Hz to match HSRL's temporal resolution. Then in the vertical the HSRL range gate closest to each HCR gate was used to re-sample the 7.5 m HSRL data onto the 19 m HCR range resolution. Both instruments are capable of operating in nadir and zenith pointing modes. HCR has a rotatable reflector which allows for 240° cross-track scanning and the antenna is stabilized when staring in nadir or zenith directions. HSRL can be manually turned

to point either nadir or zenith through specially designed windows in the aircraft floor and ceiling. (HSRL points 4 degrees off zenith and nadir to avoid specular reflection from horizontally-oriented ice particles.) During SOCRATES the radar and lidar operator intended to point both instruments in the same direction at all times but since the manual rotation of HSRL takes about half a minute, some discrepancies in the pointing direction were unavoidable. The datasets were merged only when the two instruments were pointing in the same direction, within some margin of pointing error. Also, since the HSRL pointing angle is fixed relative to the aircraft, it pointed off zenith/nadir during aircraft turns. Therefore, during aircraft turns the data sets were not merged and the HSRL data were set to missing.

The radar fields that were used in the HCR-HSRL combined PID algorithm development are reflectivity (DBZ), radial velocity (VEL), linear depolarization ratio (LDR), and spectrum width (WIDTH). The lidar variables were the aerosol backscatter coefficient (BACKSCAT) and the lidar linear depolarization ratio (LLDR). The altitude of the lowest melting layer at each time step was utilized in post-processing (Romatschke, 2021). Note that we differentiate between the freezing level of 0 °C and the melting layer where actual melting occurs. Outside of regions with significant updrafts, the melting layer is generally located below the freezing level of 0 °C (Romatschke, 2021). In addition, ERA5 temperatures (TEMP, European Centre for Medium-Range Weather Forecasts, 2018) interpolated to the HCR-HSRL time-range grid (Romatschke et al., 2021) were used. The proposed PID method was applied to data from all HCR-HSRL combined and HCR-only field campaigns. All data is available in the EOL Field Data Archive (NCAR/EOL Remote Sensing Facility, 2022a, 2022b, 2022e, 2022c, 2022d, 2022f).

A trimmed-down version of the PID algorithm can be applied to the HCR radar fields alone (Section 3.4) to provide particle information for field campaigns where HSRL was not deployed. This HCR stand-alone algorithm was created using the 10 Hz HCR data.

2.2 2D cloud probes

To tune the PID scheme and validate the results (Section 4) we used in-situ measurements collected by the 2-Dimensional Stereo (2D-S) cloud probe (Lawson et al., 2006) which was deployed on HIAPER during SOCRATES. The cloud probe imaged particles with diameters ranging from 0.01 to 1.28 mm. Specifically, for PID validation, we used the University of Washington Ice-Liquid Discriminator (UWILD) particle phase classifications and size

distributions, which are based on the 2D-S measurements and available in the EOL Field Data Archive (Atlas et al., 2021; Mohrmann et al., 2021). The UWILD dataset provides the phase of all detected particles in different size bins at a 1 Hz resolution which we compared with the particle phases and sizes derived with the PID scheme. UWILD data is available for RF01 to RF14 - no cloud probe data was collected in RF15.

3 The PID algorithm

The PID algorithm consists of three basic data processing steps. In the pre-processing step, we determine which subsets of the radar and lidar fields can be used for specific purposes, and mask unsuitable data. The second step applies a fuzzy logic scheme to identify the particle types. In the post-processing step, minor adjustments are made to the particle classification based on a priori knowledge.

3.1 Pre-processing

The PID technique retrieves particle size and particle phase (liquid and frozen). Variables suitable for size characterization are DBZ and VEL (which we will call the size-defining fields). LDR and LLDR (the phase-defining fields) are used to distinguish between liquid and frozen particles. The TEMP field only provides a weak indication of particle phase as liquid particles can be observed well below the freezing point (Houze, 2014). BACKSCAT offers a limited capability for detecting particle phase, but it is not reliable by itself. Therefore it is only used in regions where LLDR is also present. In earlier versions of the PID algorithm, the HCR Doppler spectrum width field was also included but we found that it did not provide additional value. It was therefore eliminated to simplify the algorithm.

In the warm regions below the melting layer, only liquid particles are expected to be present. We therefore do not use the phase defining fields LDR, LLDR, and BACKSCAT below the melting layer. TEMP is retained to constrain the melting particles (Section 3.2) to within a certain distance of the melting layer. The remaining fields, DBZ and VEL, discriminate between the different particle sizes in the warm regions.

Particle phase discrimination is most challenging above the melting layer because both, supercooled liquid and frozen particles, can exist at temperatures well below freezing. We rely on the major phase-defining fields LDR and LLDR to distinguish liquid from frozen particles.

However, these fields exist only where the weak cross-pol signal is above the noise floor. As DBZ and VEL are unsuitable for phase discrimination, and TEMP alone does not fulfill the purpose, no attempt is made to determine particle phase in regions where neither of the phase-defining fields is usable. TEMP is unused in these areas as it does not benefit size estimation.

It is important to note that the Doppler velocity is the sum of the particle fall speed and the air motion. Ideally, particle size is inferred from particle fall speed alone, without the air motion component, and it is therefore not appropriate to use VEL in areas of significant air motion. To find such areas a velocity texture field is used (Romatschke & Dixon, 2022). The texture field is a measure of the smoothness of the VEL field on the horizontal dimension. VEL is not used in areas with high velocity texture values above the melting layer.

3.2 Fuzzy logic scheme

Fuzzy logic is a powerful tool for classifying hydrometeors in HCR and HSRL field measurements. Its biggest strength is that it combines a range of input fields instead of relying on fixed thresholding of values from individual fields. It also allows for smooth transitions between various cloud and precipitation particle type classifications.

The core components of a fuzzy logic method are the membership functions (MFs). The MFs describe how likely a specific value of a measured input field is a member of the desired output hydrometeor classification on a scale of 0 (no member) to 1 (member). Since the values of the MFs vary between 0 and 1, they can more realistically represent the degree to which a particular measurement identifies a specific hydrometeor type. Initial shapes of the MFs were determined using information from previous studies (Houze, 2014; Shupe, 2007).

The PID algorithm with the initial MFs was applied to a subset of the SOCRATES observations (the tuning data), consisting of 27 representative cases observed throughout the field campaign. The duration of the tuning cases ranged from a few minutes to over 20 minutes. They encompass about half of the times when coincident remote sensing and cloud probe data were available. The PID results from this initial analysis were visually compared to cloud probe data and the MFs were then carefully adjusted to improve the accuracy of the PID algorithm in an iterative process. Note that this section focuses on the description of the methodology and details on how cloud probe data were processed and compared to PID results are described later in Section 4.2. The algorithm with the final MFs was then applied to all data. We chose manual

tuning over the use of an analytical optimization tool since it can take a vertical offset of 100-200 m between the cloud probe and the first valid HCR and HSRL range gates into account (see Sections 3.3 and 4.4 for details on this offset and how it can affect the comparison). Manual tuning also allowed adjustments for known problems in the cloud probe dataset.

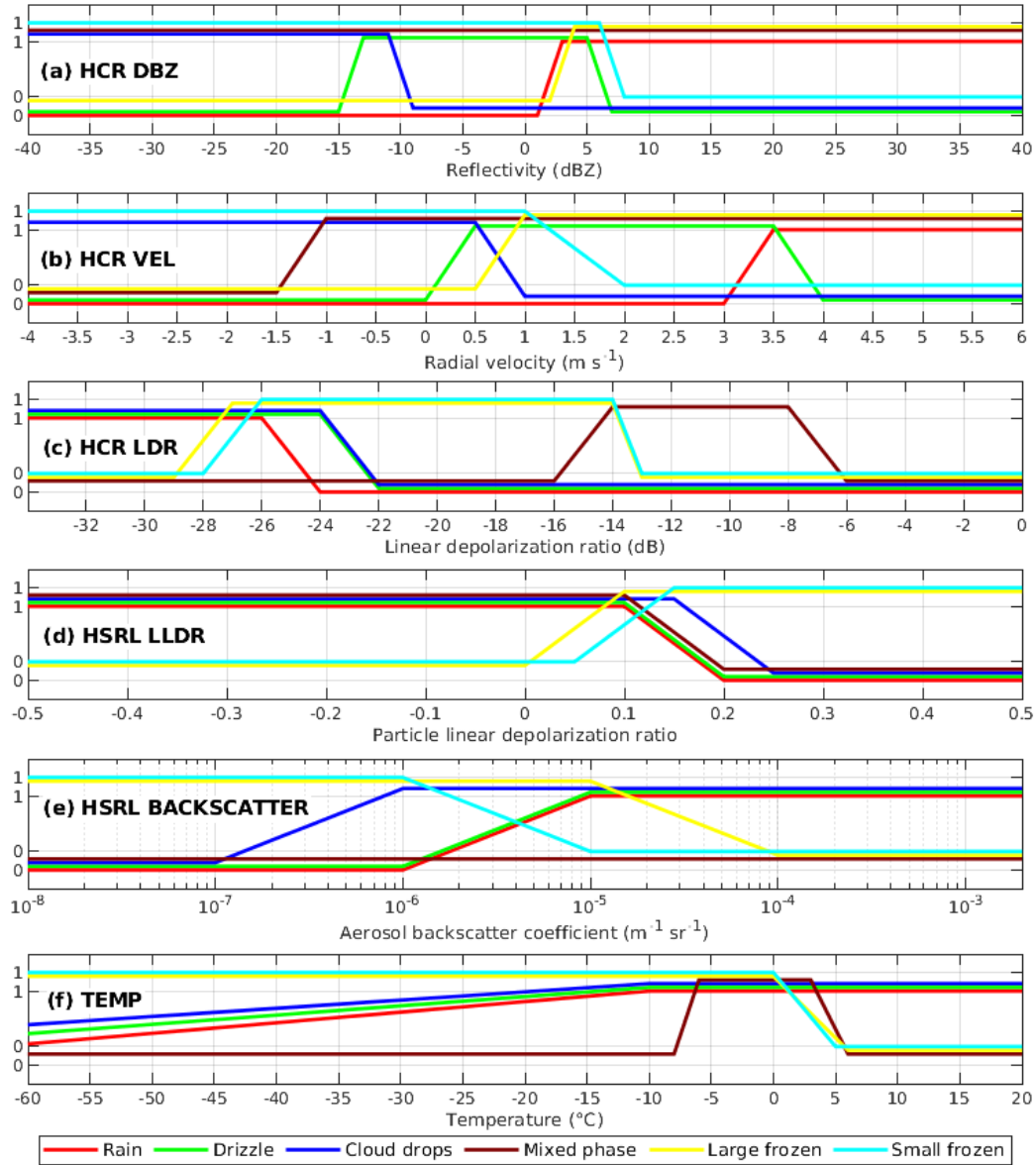


Figure 1. Membership functions for the six input fields (top to bottom) and six initial hydrometeor types (colored lines).

The six input fields for the fuzzy logic scheme are DBZ, VEL, LDR, LLDR, BACKSCAT, and TEMP (Section 2.1) which were initially mapped to six output fields: three liquid categories with decreasing drop sizes (rain, drizzle, cloud drops), two frozen categories

(large frozen, small frozen), and one category representing melting particles (melting). The MFs are shown in Figure 1.

The MFs of the size-defining fields were chosen to represent the particle types from small to large. The small classes (cloud drops, small frozen) are most likely in the low DBZ regions, while increasing reflectivity suggests drizzle and ultimately raindrop-sized and large frozen particles (Figure 1a). Melting particles can occur at all reflectivity values. VEL MFs roughly follow fall speeds described in (Houze, 2014) which were adjusted to match to the corresponding DBZ categories during the tuning process (Figure 1b).

The MFs of LDR and LLDR are low for axisymmetric particles such as liquid drops, but high for irregularly shaped ice particles in zenith and nadir pointing (Figure 1c and d). In other words LDR and LLDR are higher in areas with frozen particles due to their non-spherical shape. BACKSCAT is higher in high concentrations of small liquid drops than in small concentrations of ice-dominated regions (Figure 1e, Shupe, 2007). Interestingly, during the tuning process we found that the phase change from liquid to ice occurs at higher LLDR values for small particles than for large ones. For BACKSCAT, the ice to liquid transition occurs at smaller values for large than for small particles. The highest LDR values are associated with melting particles, mostly in the bright band region (Romatschke, 2021).

As already mentioned, TEMP is only a mild indicator of particle phase in cold regions. Nonetheless, the likelihood of liquid drops still decreases with decreasing (Figure 1f). Melting particles are unlikely to occur at very low temperatures. In regions of above 0 °C temperatures, frozen particles are unlikely to occur. However, as it was observed that there can be a significant vertical distance between the freezing level and the melting layer (Romatschke, 2021), we phase out frozen and melting particles from 0 °C to 5 °C.

Once the shapes of the MFs were determined, they were used to map the input fields to the so-called fuzzy fields where each input value is then represented by a value between 0 and 1. This step created 36 fuzzy fields (P_i^j), from the six particle types (i) and six input fields (j). Each fuzzy field was then multiplied with a predetermined weight (W_j) which represents the robustness of the respective input field for determining particle phase or size and the measurement accuracy of the input field. The weights were adjusted during the tuning phase and set to 22% for DBZ, 16% for VEL, 16% for LDR, 16% for LLDR, 14% for BACKSCAT, and

16% for TEMP. The weighted fuzzy fields ($P_i^j W_j$) were summed to produce a single aggregated field (Q_i) for each of the six particle types:

$$Q_i = \sum_{j=1}^6 P_i^j W_j. \quad (1)$$

The aggregated field with the maximum value was identified as the likely particle type for the given observations.

The mathematical operations involved in the above-described fuzzy logic procedure are (a) mapping of the input variables to the fuzzy fields, (b) multiplication of the fuzzy fields with the weights and aggregation, and (c) finding the maximum among the aggregated values for particle-type identification. The simplicity and efficiency of the method is suitable for real-time classification and display of hydrometeor types.

3.3 Post-processing

In the first post-processing step, classifications of particles above the melting layer where neither LDR nor LLDR is present were reassigned. Particles identified as cloud liquid and small frozen were grouped in a new small particle category (cloud), and drizzle, rain, melting, and large frozen particles were classified as an additional large particle category (precipitation). This step is necessary because a phase assessment without the phase defining fields is ambiguous. However, there is one exception to this rule. As described in Section 4.3, regions with very low DBZ values are dominated by liquid phase particles. Therefore particles in regions with no phase defining fields, but $DBZ \leq -30$ dBZ were identified as cloud liquid.

In the next step, the liquid particles above the freezing level were identified and labeled as supercooled (SC). Hence, the eleven final particle classes are rain, SC rain, drizzle, SC drizzle, cloud liquid, SC cloud liquid, melting, large frozen, small frozen, cloud, and precipitation.

In the warm region below the melting layer we do not allow frozen particle types, or melting particles in regions with no LDR and no LLDR. Grid points fulfilling these criteria were replaced with the nearest neighboring particles of the non-frozen categories. Only a small number of particles were re-classified in this post-processing step.

One last post-processing step was necessary because HCR samples the first valid data at range gate 18 at a range of 107 m off the aircraft, while HSRL starts sampling at range gate 21

(165 m). To avoid unrealistic category borders at gate 21, we checked whether the first three valid HCR gates (18, 19, and 20) were assigned the same category, but a different category from the first HSRL range gate 21. If that was the case, we removed the phase classification from the first three valid HCR range gates and replace them with the cloud or precipitation categories. More trust was put into the range gate with both HCR and HSRL measurements since our analysis (Section 4.2) showed that PID from combined measurements is likely more accurate.

3.4 HCR stand-alone algorithm

To identify particle types for field campaigns where HCR was deployed, but HSRL was not, we created a version of the PID algorithm that uses only HCR data. The principle of the algorithm is the same as for the HCR-HSRL combined algorithm. It was based on the same membership functions but only for the DBZ, VEL, LDR, and TEMP input fields. The weights in the fuzzy logic scheme were set to 34% for DBZ and 22% for the other three fields. The HCR stand-alone algorithm relies on LDR as the sole phase defining field. Therefore, regions where LDR was not valid were classified as cloud or precipitation, except for regions of $DBZ \leq -30$ dBZ, which were set to cloud liquid (Section 4.3). The limited coverage of LDR lead to a significantly reduced number of pixels with phase classification.

4 Results and validation

4.1 PID example

An example of the PID results for 19 January, 2018, between 4:25 and 4:30 UTC, is shown in Figure 2g. During this time, HCR and HSRL were operated in nadir pointing mode and sampled a mostly stratiform precipitating cloud. Measurements of all input fields for the PID scheme are shown in Figure 2a-f. Note that per the standard radar-based convention, downward motion in VEL is positive in nadir pointing mode but negative while zenith pointing.

The spatial variation in HCR and HSRL measurements suggests that liquid, frozen, and melting hydrometeors were present in the sampled cloud (Figure 2a-e), and this is reflected in the derived PID fields from the HCR/HSRL combined (Figure 2g) and HCR stand-alone algorithms (Figure 2h). The vertical distribution of the identified hydrometeors is physically consistent, as liquid particles are observed in the warm regions and frozen particles above the melting layer. As expected, regions with large values in the size defining fields DBZ and VEL were assigned to the large particle categories rain, SC rain, large frozen, and precipitation.

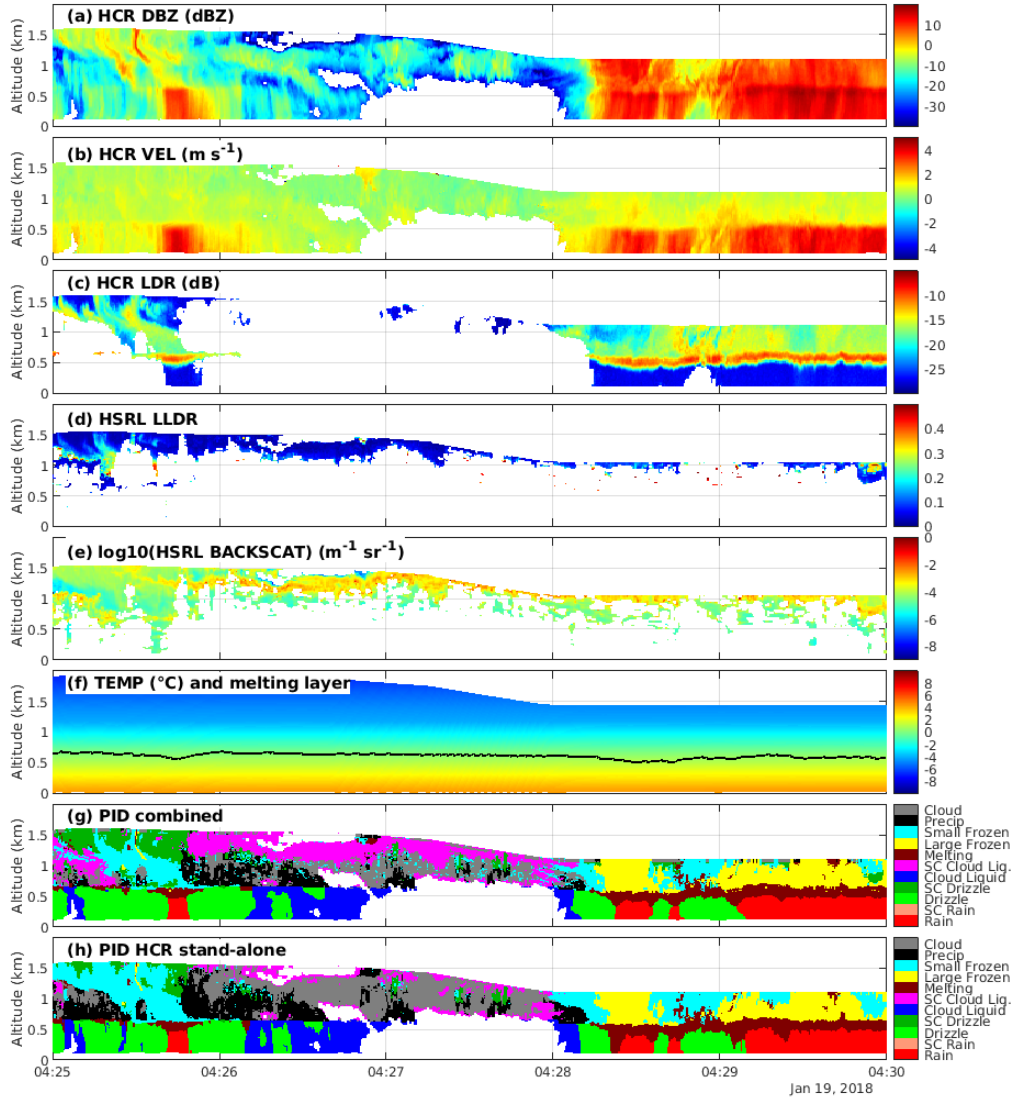


Figure 2. HCR fields: (a) DBZ, (b) VEL, (c) LDR, (d) WIDTH, (e) TEMP, (f) ICING, (g) PID combined, and (h) PID HCR stand-alone.

A relatively narrow band around the melting layer altitude (Figure 2f) shows the highest values of LDR (Figure 2c), especially in regions with large particles above and below. High LDR values are associated with hydrometeor melting (Romatschke, 2021), which is consistent with the melting classification in the PID field. Above the melting layer, particle phase was assigned in regions where either LDR, LLDR, or both were measured, or $\text{DBZ} \leq -30$ dBZ. Liquid particles were observed in regions with low LDR and LLDR, but high BACKSCAT.

Comparing the HCR/HSRL combined PID (Figure 2g) with the HCR stand-alone PID generally shows good agreement, although the combined algorithm shows enlarged drizzle regions (e.g. 04:25 to 04:26). The combined algorithm could retrieve particle phase in low

reflectivity regions because of the availability of LLDR (Figure 2g) where the HCR stand-alone algorithm only provided the cloud or precipitation categories (Figure 2h). The expanded areas with phase classification demonstrate the benefit of a combined deployment of HCR and HSRL for unambiguous detection of particle phase in low reflectivity regions.

4.2 Validation of hydrometeor phase

To assess the performance of the HCR-HSRL combined, and HCR stand-alone algorithms, PID classifications were validated quantitatively by comparing them with in-situ data. The UWILD in-situ cloud probe algorithm (Section 2.2) uses a machine learning approach to classify each particle in 2D-S cloud probe images as either liquid or ice phase, and records its size (Atlas et al., 2021; Mohrmann et al., 2021). It also provides a 1 Hz aggregated product, which separates all particles, time-stamped within one second, into liquid and ice phase, and then sorts them into 50 logarithmically spaced size bins. The 1 Hz product was used to validate the results of the PID scheme.

In the first part of our validation, we focus on the phases detected by the PID scheme and compare them to the phases provided by UWILD. It is important to note that HCR measurements are dominated by the largest particles present in a sampling volume in the Rayleigh scattering regime. For a W-band radar, particles up to a diameter of 0.3 mm are in the Rayleigh region while particles larger than 0.3 mm are in the Mie region (Ellis & Vivekanandan, 2011; Zhang, 2019). For example, a few large snowflakes in a volume that is otherwise dominated by a large concentration of small liquid drops will result in a classification of large frozen, as return power is proportional to the 6th power of the particle sizes. HSRL variables are not dominated by the largest particles. However, in the combined algorithm the HCR input fields were assigned combined weights of 54% whereas the HSRL variables were assigned 30% (Section 3.2). The results are therefore dominated by the HCR variables and to compare UWILD data with PID results, the analysis focuses on the largest particles detected by UWILD. In the 1 Hz aggregated UWILD product, from the large end of the size bin spectrum, the total number of particles in each size bin were cumulatively added until a minimum of 20 particles was reached. We call the aggregated size bins with these largest particles the *UWILD bucket*. We then calculated the liquid fraction for the UWILD bucket by dividing the number of liquid particles by the total number of particles at each 1 s time step (similar to the liquid fraction used by Atlas

et al., 2021). The average size of the UWILD bucket was recorded and used for size validation (Section 4.2.2). Since HSRL measurements are not sensitive to the largest particles, all UWILD particles were used to calculate statistics for the LLDR regions (see below).

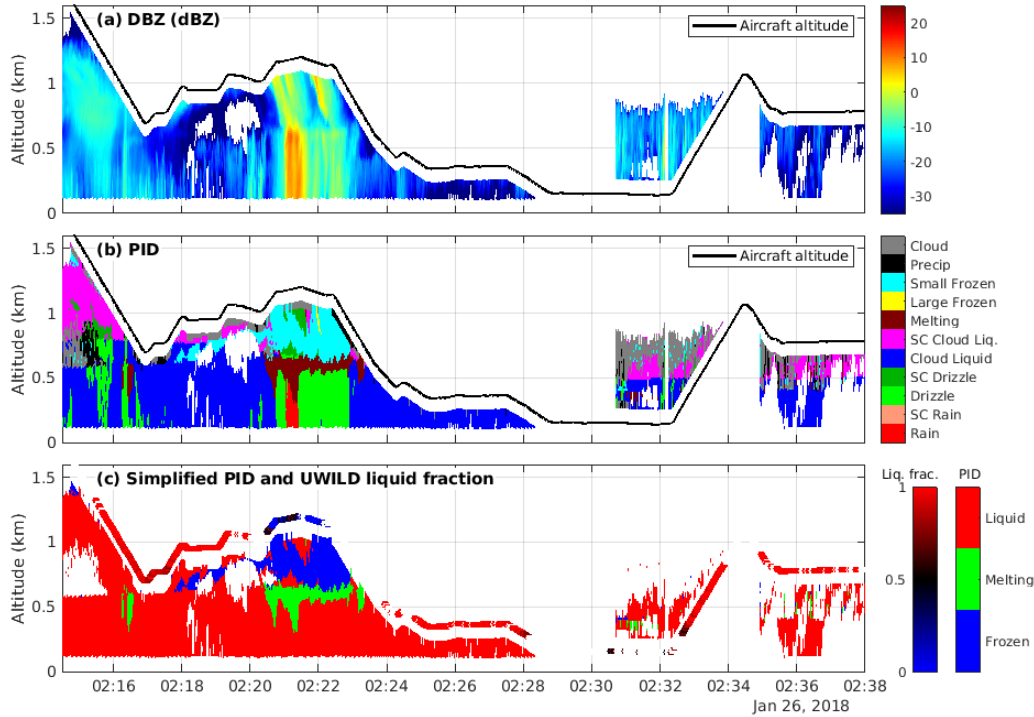


Figure 3. (a) HCR DBZ and (b) PID (color shading) and aircraft altitude (black line). (c) Simplified PID (color shading) and UWILD liquid fraction (colored line at aircraft altitude).

The UWILD liquid fraction was visually compared to the PID categories during the tuning phase (Section 3.2). To aid this comparison, we simplified to only three PID categories, frozen, liquid, and melting, by combining the different liquid and frozen categories accordingly. The simplified PID categories were plotted and the UWILD liquid fraction was added to the plots as a line at flight altitude. All SOCRATES data was plotted after the final tuning, to detect strengths and weaknesses of both datasets. The main conclusions drawn from this visual comparison of PID and UWILD phase detections are illustrated in an example (Figure 3), which shows both nadir and zenith pointing data collected on January 26, 2018, from 02:14 to 02:38 UTC.

Overall the comparison shows good agreement between the UWILD and the PID phases. UWILD liquid fractions tend to be high where the PID scheme detects liquid particles and low in areas of frozen particles (Figure 3c). Liquid fractions of around 0.5 are observed in transition

areas between frozen and liquid particles (e.g., between 02:20 and 02:21). Regions with disagreement between the UWILD and PID phases are sometimes observed below the melting layer where UWILD shows some frozen particles (e.g., from 02:30 to 02:31). These occasional discrepancies are explained with the findings of Atlas et al. (2021) who point out that the UWILD algorithm sometimes misclassifies large liquid drops as frozen particles. Since our analysis focuses on the large end of the size spectrum, this known problem affects the comparison. Another observation is that HCR and HSRL are often able to detect hydrometeors in areas where UWILD does not detect anything (e.g. between 02:22 and 02:24). We speculate, that owing to the larger sample volume, the remote sensing instruments are more sensitive to the presence of very small particles, as UWILD does not classify particles with area equivalent diameters of less than 0.056 mm (Atlas et al., 2021), and in sparsely populated regions.

To facilitate a statistical comparison between the UWILD and PID phases for the times not included in the tuning data (which we call the validation data) liquid fractions were computed from the simplified PID classification. For the comparison with the UWILD liquid fraction, we were interested in the remote sensing observations closest to the aircraft to minimize spatial separation between the remote and in-situ data. For each second in the UWILD dataset, we collect the PID results between two seconds before and two seconds after the UWILD timestamp, and from the first six valid HCR-HSRL range gates, which correspond to ranges of ~107 to 203 m from the aircraft. This sample volume is referred to as a *PID bucket*. The PID bucket consists of 54 pixels: nine pixels along-track (i.e., in time) and six range pixels. It is important to note that the vertical offset between the UWILD data, which was collected on the aircraft, and the remote sensing measurements, can affect the comparison results (Section 4.4). A liquid fraction for the PID bucket was estimated by dividing the number of liquid pixels by the total number of non-empty pixels, provided the total number of non-empty pixels was larger than 14 (~25% of the total 54 pixels). Melting pixels in the simplified PID bucket were equally distributed between the liquid and frozen phases. Also, the dominant (i.e., most frequently occurring) PID category for each PID bucket was recorded.

The PID liquid fraction and the UWILD liquid fraction represent different temporal and spatial domains. The UWILD bucket corresponds to 1 second of data while the PID bucket corresponds to 4.5 seconds and the PID bucket volume is therefore significantly larger than that of the UWILD bucket. The difference in volume is unavoidable because of the vertical offset.

However, it can compensate for some of the effects of the offset, as explained in the following. If the aircraft is flying in a horizontally and vertically homogeneous region with particles of only frozen (e.g. 02:22:20 UTC, Figure 3c) or only liquid phase (e.g. 02:26:00, Figure 3c), the liquid fraction calculated from both the UWILD and the PID buckets will be close to 0 or 1, respectively, and the different volumes have no effect on the comparison. This was the most frequent case. The volume difference comes into play in transition areas where both frozen and liquid particles exist (02:21:10 UTC, Figure 3c). Because these transition areas are rarely vertically aligned, they will likely be observed at slightly different times in the two datasets because of the vertical offset between the measurement locations. By spreading the PID bucket in time, the likelihood of including grid points of both phases increases and the liquid fraction will therefore have more resemblance to the liquid fraction from the UWILD bucket. Therefore, we argue that the liquid fractions, although derived in very different ways, are still reasonably comparable.

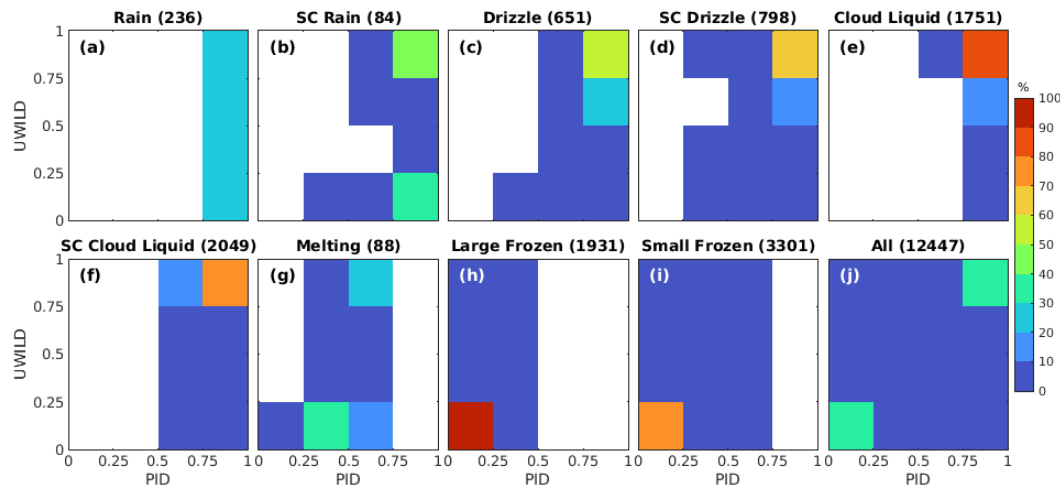


Figure 4. Heat map of PID (x-axis) vs UWILD (y-axis) liquid fractions. Shown are percentages of total data points (color scale). The number of points is shown in the panel titles.

The overall correlation coefficient between the two liquid fractions in the validation data is 0.75. However, given the sampling volume differences in the calculation of the two liquid fractions, the correlation coefficient needs to be approached with caution. We therefore conducted a heatmap comparison between the PID and UWILD liquid fractions (Figure 4), which shows good overall agreement between the UWILD and combined PID datasets. If the datasets were in perfect agreement, fractional values would align along the diagonal from the bottom left to the top right. The lower-left corner represents particles identified as frozen by both

methods (liquid fraction equals zero) and the upper right corner represents particles identified as liquid by both methods (liquid fraction equals one). Values near the upper left and bottom right corners represent disagreement in particle phase identification. Both datasets favor a binary distribution of classifications as either frozen (close to zero) or liquid (close to one). The values in between, which indicate mixed conditions, are sparsely populated. (This is the reason we chose a heat map display over a scatter plot.)

Table 1. Comparison between UWILD and PID liquid fractions: hit rate, and number of samples.

	Hit rate (%)	Samples
Combined all	72	12447
Combined rain	22	236
Combined SC rain	44	84
Combined drizzle	57	651
Combined SC drizzle	68	798
Combined cloud liquid	88	1751
Combined SC cloud liquid	71	2049
Combined melting		88
Combined large frozen	95	1931
Combined small frozen	72	3301
HCR stand-alone	77	11665
LLDR regions	61	8200
LDR LLDR overlap regions	77	11310

About 36.0% of particles were classified as frozen (Figure 4j) and 35.5% were classified as liquid by both algorithms. The remaining particles were evenly distributed over the other bins, none of which exceeded 10%. This even distribution of the remaining particles indicates that there is no overall systematic bias. We calculated a hit rate by adding up the percentages that lie on the aforementioned diagonal. For all particles combined, the hit rate is 72% (Table 1).

Analyzing the particle categories individually, it is apparent that most of the SOCRATES flight tracks in the verification dataset occurred above the melting layer and less than 1,000

verification data points were collected in the rain, drizzle, and melting categories, respectively. The SC rain category is also sparsely populated (84), reflecting the fact that SOCRATES occurred in an environment not conducive to strong convection, which is a prerequisite for rain particles being lifted above the melting layer. The only warm particle category with a significant number of samples (1751) is cloud liquid. For both large and small frozen particles both methods identified a large proportion of particles as frozen and the hit rates of 95% and 72% underline the good agreement between the UWILD and PID results. For the liquid categories, cloud liquid and SC cloud liquid also have high hit rates of 88% and 71% respectively. SC drizzle has a hit rate of 68%, which is lower than the hit rate of cloud liquid. Rain, SC rain, and drizzle have hit rates of 22%, 44% and 57% respectively, which are low due to the small number of samples, especially in the first two of these categories. The melting category cannot be verified with the UWILD dataset since the latter does not identify melting particles.

To validate the performance of the phase-defining fields from HCR (LDR) and HSRL (combination of LLDR and BACKSCAT) separately, we first applied the above-described validation method to the HCR stand-alone results. The correlation coefficient between the liquid fraction from the HCR stand-alone PID results and the UWILD liquid fraction is 0.79, slightly higher than the correlation coefficient of the combined PID. The hit rate is 77%. We then applied the validation scheme to regions where LDR is not observed, but LLDR is, to validate the performance of the LLDR-BACKSCAT combination. Note that all sizes of the UWILD dataset were used for this comparison instead of just the largest ones. The resulting correlation coefficient of 0.44 is relatively low. However, the hit rate of 61% still indicates significant skill. The best comparison results are obtained in regions where all three phase-defining fields are measured: the correlation coefficient is 0.82 and the hit rate is 77%.

It is encouraging that results from regions where not all phase-defining fields are measured still show positive skill. The results from the HCR stand-alone algorithm promise robust particle identification for field campaigns in which HSRL is not deployed. However, the excellent results from regions with all three phase-defining fields, and the expanded data regions with phase classification resulting from the addition of LLDR, highlight the benefit of deploying HCR and HSRL together. It is also worth mentioning that during the visual inspection of the PID results we rarely found non-realistic boundaries of PID categories where regions with all phase

defining fields bordered regions with fewer phase defining fields. In most cases particle phase did not change at such boundaries, which again points to the skill of the phase defining fields.

4.3 Cloud liquid in regions of low DBZ

In earlier versions of the PID algorithm (not published) we did not include the post-processing step which classifies $\text{DBZ} \leq -30$ dBZ as cloud liquid (Section 3.3). However, during our work on the PID scheme, we noticed that regions above the melting layer with very low reflectivities were mostly classified as cloud liquid in regions where LDR, LLDR, or both were observed. We analyzed the frequency of occurrence of the particle classes in regions of $\text{DBZ} \leq -30$ dBZ (Figure 5). It is evident that the vast majority of particles are in the SC cloud liquid and cloud liquid categories (67% combined) while only 29% of particles were in the frozen categories (the remaining 4% were classified as melting). When we restricted the classification to regions with LDR but no LLDR, the liquid percentage even increased to 97%. Based on these inferences, we assigned low reflectivity areas with the SC cloud liquid classification. The threshold of -30 dBZ was chosen empirically after conducting sensitivity studies where we varied this threshold over a certain range. At threshold values below ~ -26 dBZ the liquid percentage stabilized to just below 70%. Therefore, a threshold of -30 dBZ is a conservative choice that ascertains that a possible overestimate of liquid stays below 30%.

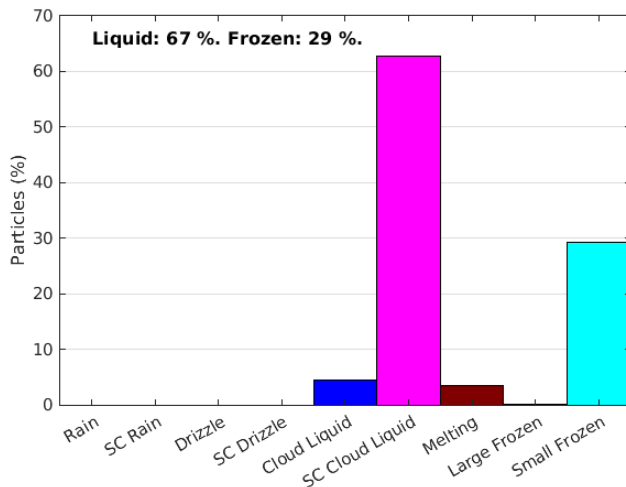


Figure 5. Particle categories of data points with $\text{DBZ} \leq -30$ dBZ where LDR, LLDR, or both were observed.

The finding that low reflectivities are mostly observed in liquid regions is interesting and somewhat surprising. Future studies will investigate whether this phenomenon is temperature-dependent.

4.4 Caveats for the phase classification

Overall, the high correlation coefficients and hit rates from an independent dataset validate the quality of the PID results. This section presents limiting factors that may account for the discrepancies in the results and circumstances where caution in the interpretation of the PID results is warranted.

Occasional misclassifications of liquid drops below the melting layer as frozen in the UWILD dataset (Atlas et al., 2021) is likely reflected in some of the results where PID classifies liquid but UWILD classifies frozen particles.

The most significant limiting factor to the comparison between PID and UWILD data is the spatial offset of about 100 to 200 m between the 2D-S probe and the remote sensing observations (Section 3.3). Comparisons of phase classifications of the two datasets are likely less affected by this offset in areas of convection, where we expect more homogeneity in the vertical. In regions of stratiform clouds, which dominated in SOCRATES, the effect can be significant. It will be particularly strong in cases where the aircraft was flying at the upper or lower edge of a cloud. It has been previously observed that a liquid hull often surrounds ice-dominated clouds at their outer boundaries (Korolev & Isaac, 2003). PID results strongly confirm this observation. If the aircraft flies at the top edge of a cloud within this liquid hull, UWILD will report a high liquid fraction, while PID from the nadir pointing instruments, which measure the ice inside the cloud, will report frozen particles.

The current version of the PID scheme does not include a mixed-phase category that could identify regions where both liquid and frozen particles co-exist within the same sample volume. The PID will therefore miss mixed phase regions below the sampling grid resolution. It can identify mixed-phase regions if the dominant phase changes in consecutive grid points.

The classification of low reflectivity regions as cloud liquid likely somewhat overestimates the presence of liquid (Section 4.3). While we considered flagging these regions as mixed phase we ultimately decided against this idea, to keep the PID classes simple. Considering

that small liquid drops are associated with aircraft icing conditions and pose a significant risk for aviation, we decided to err on the side of overestimating liquid.

4.5 Hydrometeor size

In addition to phase discrimination, the PID scheme provides information about the sizes of the particles by classifying them as large and small for the frozen categories and rain sized, drizzle sized, and cloud droplet sized for the liquid categories. To verify that the actual size distribution of these categories follows the implied distribution, and to assign quantitative size estimates to these qualitative category names, we used the same PID bucket that was used to calculate the PID liquid fraction and recorded the dominant (i.e. most frequent) PID category at each UWILD time step (Section 4.2). Then, for each PID category, we found the associated times in the UWILD dataset and averaged the mean size of the particles in the UWILD bucket that were recorded during the UWILD processing (Section 4.2). This procedure was carried out for the whole dataset which included both the tuning and verification times. The results show that the PID categories indeed follow the expected size distribution (Figure 6).

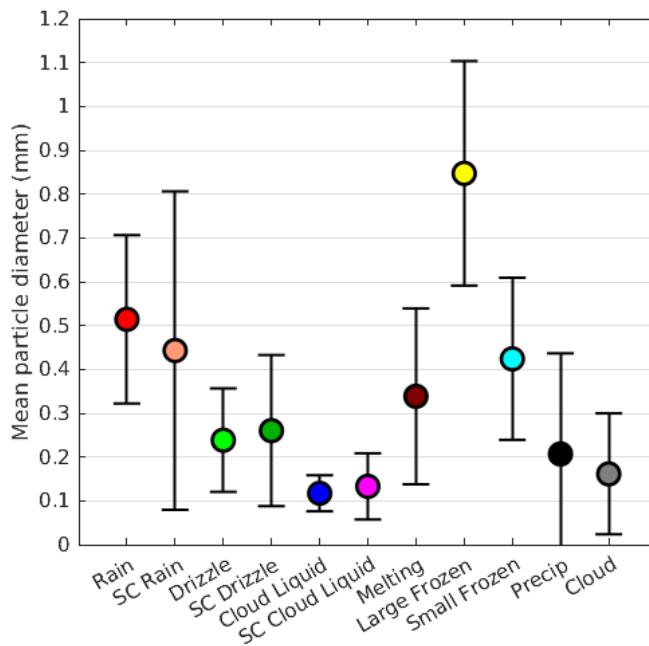


Figure 6. Mean particle diameter for each PID category (colored dots). The black brackets show one standard deviation.

With a mean diameter of 0.51 mm, rain has the largest average size of the liquid categories followed by SC rain with 0.44 mm. The mean drop size of rain is on the low end of

the size spectrum usually attributed to rain (Houze, 2014). The small raindrop size can likely at least partially be attributed to the fact that larger particles are more likely to be partially truncated by the image buffer of the 2D-S probe (Atlas et al., 2021). Also, in an extratropical region such as the Southern Ocean it is reasonable to expect smaller raindrop sizes. The small number of samples in the rain and SC rain categories (Table 1) may also play a role. The mean diameters of SC drizzle (0.26 mm), and drizzle (0.24 mm) are smaller than those of the rain categories, and fall well within the size ranges generally associated with drizzle drops (Houze, 2014).

The cloud liquid (0.12 mm), SC cloud liquid (0.13 mm), and cloud (0.16 mm) categories have the smallest diameters, as expected. However, the average diameters are larger than those usually attributed to cloud droplets (Houze, 2014). The inflated size of the cloud liquid categories is likely caused by the lower detection boundary of UWILD of 0.056 mm. In fact, UWILD mostly does not detect any particles when PID detects cloud droplets and the actual mean particle size of the cloud liquid categories is therefore likely significantly smaller.

Particles in the melting category, which are mostly observed close to the melting layer, have an average diameter of 0.34 mm, which is between the rain and drizzle particles and smaller than the frozen particles.

Even though large frozen particles are the largest, with an average diameter of 0.85 mm, they are still significantly smaller than expected for a category that includes snowflakes. However, the limitations of the 2D-S probe in measuring large particles likely underestimated the large frozen particle size. The actual diameters of the large frozen particles will extend to larger sizes than are reflected here. The mean diameter of the small frozen particles is reasonable at 0.42 mm with a large standard deviation. Interestingly, there is almost no overlap between the size ranges of the large and small frozen categories, with a separation boundary at 0.6 mm.

The precipitation category has an average particle diameter of 0.21 mm which may seem small at a first glance. However, we need to keep in mind that the precipitation category is only assigned in regions where neither LDR nor LLDR are observed. These regions have generally low backscattered powers and the precipitation in this category is therefore expected to be on the low end of the precipitating categories. The precipitation category also has a large standard deviation.

From Figure 6 and the previous discussion, we attribute the approximate size ranges listed in Table 2 to the PID categories.

Table 2. Approximate PID category particle diameter ranges.

PID category	Lower bound (mm)	Upper bound (mm)
Rain	0.3	
SC rain	0.1	
Drizzle	0.1	0.4
SC drizzle	0.1	0.4
Cloud liquid		0.2
SC cloud liquid		0.2
Melting	0.1	0.5
Large frozen	0.6	
Small frozen	0.2	0.6
Precip		0.4
Cloud		0.3

5 Conclusions

Remote sensing observations from the airborne HIAPER Cloud Radar (HCR) and High Spectral Resolution Lidar (HSRL) collected in 15 research flights during the SOCRATES field campaign over the Southern Ocean were used for the development of a PID scheme. It discriminates between liquid and frozen cloud and precipitation particles of different sizes, and classifies them into eleven particle categories. The fuzzy logic based PID method results in smooth transitions between particle types instead of fixed borders and combines several different input fields into a robust PID classification. The mathematical steps are simple, linear, algebraic operations, hence the PID technique can be implemented for real-time applications. A trimmed-down version of the algorithm can be used for HCR data alone.

In-situ measurements collected onboard the HIAPER aircraft by a 2D-S cloud probe, which had previously been processed with machine learning methods, were used to tune the algorithm and verify the PID results. A comparison between the phases derived from the HCR and 2D-S cloud probe measurements shows over 70% agreement, which is encouraging given

the comparison's limitations, such as a spatial offset between in-situ and remote measurements. The sizes of the PID particle categories derived from the 2D-S size distributions fall within the expected ranges.

Adding particle identification capabilities to HCR, and HCR and HSRL in combination, significantly increases the cloud and precipitation particle information available to the research community. The PID field adds a two-dimensional (time-range) dataset that provides vertical slices through clouds and precipitation systems, to the one-dimensional (time) cloud probe data, which are only available at the flight level. Also, the combination of the large sample volume and the sensitivity of the remote sensing instruments provides hydrometeor phase and size information in areas where cloud probe data is limited. PID is available for all past HCR and HCR/HSRL combined field campaigns and will be provided in the standard datasets of future campaigns.

The spatial distribution of both hydrometeor phase and size, derived from remote sensing observations in the PID scheme, can constrain microphysical parameterization in weather and climate models and improve the representation of cloud radiation effects. Quantification of precipitation amounts can be improved by modifying the techniques used for their estimation based on particle type.

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Data availability statement

All data is available in the EOL Field Data Archive <https://data.eol.ucar.edu>: HCR 10 Hz data at <https://doi.org/10.5065/D68914PH> (NCAR/EOL Remote Sensing Facility, 2022e) and HCR/HSRL 2 Hz data at <https://doi.org/10.5065/D64J0CZS> (NCAR/EOL Remote Sensing

Facility, 2022c), and UWILD data at <https://doi.org/10.26023/PA5W-4DRX-W50A> (Atlas et al., 2021).

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