

Cloud Phase Simulation at High Latitudes in EAMv2: Evaluation using CALIPSO Observations and Comparison with EAMv1

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Abstract

This study performs a comprehensive evaluation of the simulated cloud phase in the U.S. Department of Energy (DOE) Energy Exascale Earth System Model (E3SM) atmosphere model version 2 (EAMv2) and version 1 (EAMv1). Enabled by the CALIPSO (Cloud-Aerosol Lidar and Infrared Pathfinder Satellite Observation) simulator, EAMv2 and EAMv1 predicted cloud phase is compared against the GCM-Oriented CALIPSO Cloud Product (CALIPSO-GOCCP) at high latitudes where mixed-phase clouds are prevalent. Our results indicate that the underestimation of cloud ice in simulated high-latitude mixed-phase clouds in EAMv1 has been significantly reduced in EAMv2. The increased ice clouds in the Arctic mainly result from the modification on the WBF (Wegner-Bergeron-Findeisen) process in EAMv2. The impact of the modified WBF process is moderately compensated by the low limit of cloud droplet number concentration (CDNC) in cloud microphysics and the new dCAPE_ULL trigger used in deep convection in EAMv2. Moreover, it is found that the new trigger largely contributes to the better cloud phase simulation over the Norwegian Sea and Barents Sea in the Arctic and the Southern Ocean where large errors are found in EAMv1. However, errors in simulated cloud phase in EAMv1, such as the overestimation of supercooled liquid clouds near the surface in both hemispheres and the underestimation of ice clouds over Antarctica, persist in EAMv2. This study highlights the impact of deep convection parameterizations, which has not been paid much attention, on high-latitude mixed-phase clouds, and the importance of continuous improvement of cloud microphysics in climate models for accurately representing mixed-phase clouds.

1 **Cloud Phase Simulation at High Latitudes in EAMv2: Evaluation using CALIPSO**
2 **Observations and Comparison with EAMv1**

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15 Key Points:

- 16 • EAMv2 substantially improves cloud ice phase at high latitude regions, while biases in
17 liquid phase shown in EAMv1 remain.
- 18 • Updated tuning parameters in WBF process and deep convection are important for
19 reduced negative bias in ice phase clouds.
- 20 • The new dCAPE_ULL trigger in deep convection is largely responsible for the better
21 cloud phase simulation over high-latitude oceans.
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Abstract

This study performs a comprehensive evaluation of the simulated cloud phase in the U.S. Department of Energy (DOE) Energy Exascale Earth System Model (E3SM) atmosphere model version 2 (EAMv2) and version 1 (EAMv1). Enabled by the CALIPSO (Cloud-Aerosol Lidar and Infrared Pathfinder Satellite Observation) simulator, EAMv2 and EAMv1 predicted cloud phase is compared against the GCM-Oriented CALIPSO Cloud Product (CALIPSO-GOCCP) at high latitudes where mixed-phase clouds are prevalent. Our results indicate that the underestimation of cloud ice in simulated high-latitude mixed-phase clouds in EAMv1 has been significantly reduced in EAMv2. The increased ice clouds in the Arctic mainly result from the modification on the WBF (Wegner-Bergeron-Findeisen) process in EAMv2. The impact of the modified WBF process is moderately compensated by the low limit of cloud droplet number concentration (CDNC) in cloud microphysics and the new dCAPE_ULL trigger used in deep convection in EAMv2. Moreover, it is found that the new trigger largely contributes to the better cloud phase simulation over the Norwegian Sea and Barents Sea in the Arctic and the Southern Ocean where large errors are found in EAMv1. However, errors in simulated cloud phase in EAMv1, such as the overestimation of supercooled liquid clouds near the surface in both hemispheres and the underestimation of ice clouds over Antarctica, persist in EAMv2. This study highlights the impact of deep convection parameterizations, which has not been paid much attention, on high-latitude mixed-phase clouds, and the importance of continuous improvement of cloud microphysics in climate models for accurately representing mixed-phase clouds.

44 **1. Introduction**

45 Clouds play an essential role in global climate through interactions with radiation and
46 hydrological cycle. The extensive coverage and strong radiative effects make clouds an
47 important modulator of the energy budget at the surface and top of the atmosphere (TOA). Cloud
48 radiative effects are controlled by cloud optical depth and other optical properties that are closely
49 related to cloud microphysical properties such as amount, size, shape, and thermodynamic phase
50 of cloud hydrometeors (Curry et al., 1996; Curry & Ebert, 1992; Shupe & Intrieri, 2004).
51 Compared to the sensitivity to cloud ice water, cloud albedo tends to be more sensitive to
52 variations in cloud liquid water. The shortwave radiative cooling effect due to liquid water
53 usually dominates the net cloud radiative effect in mixed-phase clouds, highlighting the
54 importance of cloud thermodynamic phase on cloud radiative forcing (Sun & Shine, 1994). In
55 addition, differences in microphysical properties between liquid and ice are critical for global
56 precipitation. Satellite observations have demonstrated that most of the Earth's precipitation
57 originates from the ice phase and mixed-phase cloud processes, while warm rain mechanisms are
58 more critical for precipitation over tropical and subtropical oceans (Field & Heymsfield, 2015;
59 Heymsfield et al., 2020; Mülmenstädt et al., 2015). The distinct roles of cloud liquid and cloud
60 ice on precipitation formation make cloud phase one of the key factors influencing the
61 hydrological cycle in the Earth system. Moreover, the amount of cloud water in the liquid and ice
62 phase in the present-day climate can also have a significant impact on the future climate (Bjordal
63 et al., 2020; Lohmann & Neubauer 2018; Tsushima et al., 2006). If clouds in the present-day
64 climate have a lower ice water amount, the phase transition from ice to liquid would be less
65 significant in the future warming climate, which would result in a weaker negative cloud phase

66 feedback and thus a warmer future climate (Murray et al., 2021; Tan et al., 2016). Therefore,
67 understanding processes controlling cloud phase is crucial to future climate change.

68

69 Mixed-phase clouds, composed of both liquid and ice, are frequently observed in high-
70 latitude regions (Hu et al., 2010; McFarquhar et al., 2021; Shupe, 2011). In the Arctic, mixed-
71 phase clouds were observed for up to ~40% of the time during the Surface Heat Budget of the
72 Arctic Ocean (SHEBA) field campaign (Intrieri et al., 2002; Shupe et al., 2006). There are
73 substantial seasonal variations in the occurrence of Arctic mixed-phase clouds. Both ground-
74 based and spaceborne data suggest that the maximum frequency of occurrence of mixed-phase
75 clouds typically occurs in the late summer and fall while the minimum is in winter (Cox et al.,
76 2014; Shupe et al., 2011; D. Zhang et al., 2010). Although multi-layer clouds are also observed,
77 single-layer stratiform mixed-phase clouds are one of the ubiquitous cloud types in the Arctic
78 (Shupe et al., 2006). These single-layer stratiform mixed-phase clouds are usually located within
79 the boundary layer, topped by a supercooled liquid layer from which ice particles are formed and
80 precipitate (de Boer et al., 2009; Shupe et al., 2006, 2011). Temperature and moisture inversions
81 are commonly found above or near the cloud top, which implies the importance of complicated
82 interactions among radiation, large-scale advection, turbulence, cloud microphysics, and surface
83 processes on promoting the persistent Arctic mixed-phase cloud system (Morrison et al., 2012;
84 Sedlar et al., 2012).

85

86 The Southern Ocean (SO) and Antarctica are the other regions where mixed-phase clouds
87 are commonly observed. Adhikari et al. (2012) used Cloud-Aerosol Lidar and Infrared
88 Pathfinder Satellite Observation (CALIPSO) and CloudSat observations to study the seasonal

89 and interannual variability of cloud distributions in the Antarctic. They showed that more than
90 60% of the total cloudiness were low-level clouds, and larger cloud occurrence was found during
91 summer than winter. The large occurrence of low-level supercooled liquid clouds is also
92 confirmed from the Measurements of Aerosols, Radiation and Clouds over the Southern Ocean
93 (MARCUS) field campaign (McFarquhar et al., 2021). For instance, McFarquhar et al. (2021)
94 found that cloud base temperature of over 49% of nonprecipitating clouds was below 0°C over
95 the SO. At McMurdo station on the Ross Island, data collected from the U.S. Department of
96 Energy (DOE) Atmospheric Radiation Measurement (ARM) West Antarctic Radiation
97 Experiment (AWARE) field campaign further suggested that cloud frequency of occurrence,
98 cloud height, and cloud thickness of Antarctic clouds are quite different from those in the Arctic
99 (Lubin et al., 2020; D. Zhang et al., 2019).

100

101 Cloud microphysical processes often occur at a scale smaller than a typical grid box used
102 in global climate models (GCMs). They have to be parameterized in these models. Large
103 uncertainties in numerical simulations of mixed-phase cloud properties are often associated with
104 cloud microphysics parameterizations (Bodas-Salcedo et al., 2016; Forbes & Ahlgrimm, 2014;
105 Morrison et al., 2020; Xie et al., 2008, 2013). For example, for GCMs that participated in the 5th
106 phase of the Coupled Model Intercomparison Project (CMIP5), the temperature at which
107 simulated mixed-phase clouds have equal amounts of liquid and ice was found to vary by 40°C
108 (McCoy et al., 2015). Such a sizeable inter-model spread is primarily caused by uncertainties in
109 the representation of cloud microphysical processes in GCMs (McCoy et al., 2015, 2016).
110 Furthermore, the equilibrium climate sensitivity (ECS) estimated from the 6th phase of the
111 Coupled Model Intercomparison Project (CMIP6) models also vary significantly. The mean ECS

112 has increased by 1.5°C compared to that of CMIP5 models (Bodas-Salcedo et al., 2019;
113 Gettelman et al., 2019; Zelinka et al., 2020). The changed model behavior in simulated cloud
114 phase is one of the primary reasons for higher ECSs in many CMIP6 models (Bjordal et al.,
115 2020; Lohmann & Neubauer, 2018).

116

117 To better understand and quantify biases in modeled clouds, instrument simulators have
118 been developed and incorporated in GCMs to enable consistent comparisons between model
119 outputs and satellite observed cloud quantities. The Cloud Feedback Model Intercomparison
120 Project (CFMIP) Observation Simulator Package (COSP) (Bodas-Salcedo et al., 2011; Swales et
121 al., 2018) has been widely used in model evaluation studies (Cesana et al., 2012; Cesana &
122 Chepfer, 2012; Kay et al., 2016; Y. Zhang et al., 2010, 2019). The advantage of COSP satellite
123 simulators is that they can transfer grid-mean model quantities to quantities that satellites would
124 directly measure from space. In addition, the simulated cloud horizontal subgrid distribution and
125 vertical overlap are treated in the simulator to permit definition-consistent comparisons between
126 model and observation. The diagnostic power of satellite simulators has been demonstrated in
127 Kay et al. (2012) and English et al. (2014) by evaluating the Community Atmosphere Model
128 version 5 (CAM5) against a suite of various satellite products. They showed that model cloud
129 biases can be better identified using simulators by excluding the ambiguities in cloud definitions
130 between model and observation. Y. Zhang et al. (2019) also systematically evaluated clouds
131 simulated from the atmosphere component of the DOE Energy Exascale Earth System Model
132 (E3SM, Golaz et al., 2019) version 1 (EAMv1, Rasch et al., 2019; Xie et al., 2018). They found
133 that although EAMv1 performs better than most of the CFMIP models, biases such as the
134 underestimation of optically thin to intermediate clouds and the overestimation of optically

135 intermediate to thick clouds can result in substantial errors in the simulation of cloud radiative
136 effects.

137

138 As illustrated in earlier studies (e.g., Y. Zhang et al., 2019; Zhang et al., 2020), EAMv1
139 largely increases supercooled liquid clouds compared to its predecessor CAM5, leading to
140 overestimated liquid clouds over high-latitude regions in -20°C to -40°C temperature range for
141 both hemispheres. On the other hand, ice cloud fraction is moderately underestimated at
142 temperatures warmer than -40°C . Supercooled liquid fraction (SLF) is therefore substantially
143 larger than CAM5 for temperatures colder than -13°C . The Classical Nucleation Theory (CNT)
144 scheme (Hoose et al., 2010; Wang et al., 2014) used for heterogeneous ice nucleation and the
145 overly reduced Wegner-Bergeron-Findeisen (WBF) process rate were primarily responsible for
146 different cloud phase simulations between EAMv1 and CAM5. With considerable changes in
147 model physics parameterizations and model tuning during the development of E3SM version 2
148 (E3SMv2) (Golaz et al., 2022) atmosphere model (EAMv2) from its precedent version EAMv1,
149 we would like to examine whether these biases in the simulated cloud phase in EAMv1 are
150 reduced in EAMv2. Enabled by the CALIPSO simulator included in the COSP package in
151 E3SM, we will systematically evaluate model simulated cloud phase against GCM-Oriented
152 CALIPSO Cloud Product (CALIPSO-GOCCP) over both the Arctic and Antarctic regions where
153 mixed-phase clouds prevail. Detailed sensitivity experiments are also designed to understand the
154 physical reasons behind changes in mixed-phase cloud simulation from EAMv1 to EAMv2.

155

156 The paper is organized as follows. Section 2 introduces EAMv1 and EAMv2 and the
157 major difference between these two models. The setup of model experiments is also included.

158 CALIPSO-GOCCP product is described in section 3. Section 4 presents the evaluation of
159 modeled cloud phase in the Arctic and Antarctic, and results of sensitivity experiments are
160 discussed in section 5. Finally, the summary and discussion are provided in section 6.

161

162 **2. Models and Model Experiments**

163 **2.1. EAMv1 Model**

164 EAMv1 serves as the baseline for understanding the EAMv2 model performance.
165 EAMv1 is the atmosphere model of the first version of the U.S. DOE Energy Exascale Earth
166 System Model (Rasch et al., 2019; Xie et al., 2018). EAMv1 runs on the spectral element (SE)
167 dynamical core with 1° horizontal resolution and 72 vertical layers with a top at ~0.1 hPa (64
168 km). The second version of Morrison and Gettelman (MG2) two-moment bulk microphysics
169 parameterization prognoses mass mixing ratios and number concentrations of cloud
170 hydrometeors (liquid droplet, ice particle, raindrop, and snow particle) and treats complicated
171 microphysical processes in stratiform clouds (Gettelman & Morrison, 2014; Gettelman et al.,
172 2015). The CNT scheme is coupled with MG2 to treat the heterogeneous ice nucleation in
173 mixed-phase clouds (Hoose et al., 2010; Wang et al., 2014). Immersion, deposition, and contact
174 freezing are considered in the CNT scheme, and their freezing rates are determined based on the
175 properties of mineral dust and black carbon aerosols. A probability distribution function (PDF) is
176 considered for the contact angle between dust aerosols and droplets to represent the
177 heterogeneity in immersion freezing ability for individual dust particles. The higher-order
178 turbulence closure scheme CLUBB (Cloud Layers Unified By Binormals) is utilized to unify the
179 treatment of planetary boundary layer turbulence, shallow convection, and cloud macrophysics
180 (Golaz et al., 2002; Larson, 2017; Larson & Golaz, 2005; Bogenschutz et al., 2013). Aerosol

181 properties and aerosol processes are determined by the four-mode version of Modal Aerosol
182 Module (MAM4) (Liu et al., 2012, 2016; Wang et al., 2020). The deep convection scheme
183 follows Zhang and McFarlane (1995) (ZM, hereafter). Other major parameterizations in EAMv1
184 include a linearized ozone photochemistry mechanism (Linoz2) (Hsu & Prather, 2009) and the
185 Rapid Radiative Transfer Model for GCMs (RRTMG) for the radiative transfer calculation
186 (Iacono et al., 2008; Mlawer et al., 1997).

187

188 **2.2. Updated Parameterization in EAMv2**

189 Compared to EAMv1, EAMv2 includes several essential upgrades in the model structure
190 and physics parameterizations to improve the model capability of predicting the water cycle and
191 future climate (Golaz et al., 2022). One major change is the use of separate parameterized
192 physics and dynamics grids (Hannah et al., 2021). The average horizontal grid spacing is ~110
193 km for the dynamic grid and ~165 km for the physics grid. This new physics grid has little
194 impact on modeled climate, but it is one of the two main factors (the other is a new semi-
195 Lagrangian passive tracer transport) that makes EAMv2 approximately two times faster than
196 EAMv1.

197

198 Several important changes are made for the model physics. The second version of
199 CLUBB (CLUBBv2) is implemented in EAMv2 (Larson, 2017). CLUBBv2 shares the same
200 philosophy as CLUBBv1, but it includes new options to enhance CLUBB's gustiness and
201 prognostic treatment of momentum fluxes. The call of estimates of CLUBB's PDF is also moved
202 to a position ahead of advancing CLUBB's predictive fields, so that saturation is adjusted before
203 the calculation of microphysics. For deep convective clouds, a new convection trigger function is

204 incorporated in the ZM scheme in EAMv2 (Xie et al., 2019; Wang et al., 2020). The new trigger
205 emphasizes the controlling role of the dynamic Convective Available Potential Energy (dCAPE)
206 (Xie & Zhang, 2000) due to large-scale advective tendencies of temperature and moisture on the
207 convective onset, and also includes the Unrestricted Launch Level (ULL) feature allowing the
208 initiation for both surface-driven convection and elevated convection between surface and 600
209 hPa (Wang et al., 2015). Following Ma et al. (2021), a number of tuning parameters are
210 recalibrated in CLUBB, ZM deep convection, and microphysics schemes to improve the
211 simulation of cloud and precipitation. To improve the representation of surface exchanges of
212 heat, moisture, and momentum over land and ocean, subgrid-scale treatment for surface wind
213 gustiness is also incorporated following the formulation from Redelsperger et al. (2000) (Harrop
214 et al., 2018; Ma et al., 2021). Meanwhile, the emitted size distribution of mineral dust is
215 modified to allow more emissions of coarse dust to the atmosphere (Feng et al., 2022); and the
216 dust refractive indices in the shortwave bands are updated using derived values from the
217 AERONET measurements (Dubovik et al., 2000). A new ozone (O₃) module is introduced to
218 preserve the sharp cross-tropopause gradient and improve the stratosphere-troposphere exchange
219 flux of O₃ (Tang et al., 2021). Other changes in model physics include implementing a minimum
220 cloud droplet number concentration (CDNC) of 10 cm⁻³ in cloud microphysics and retuning the
221 gravity wave drag parameters. See Golaz et al. (2022) for details about the EAMv2 model.

222

223 **2.3. Model Experiments**

224 In this study, 11 years of free-run simulations are performed using EAMv1 and EAMv2
225 with prescribed CMIP6 anthropogenic emissions and present-day climatologies of sea ice and
226 sea surface temperature. The last 10-year simulations are used in the model analyses. Sensitivity

227 experiments are designed to isolate the impact of new changes in EAMv2 on simulated mixed-
228 phase clouds. Table 1 lists the default EAMv1 and EAMv2 experiments as well as sensitivity
229 experiments for the four selected changes made in EAMv2. A complete list of parameters that
230 changed from EAMv1 to EAMv2 is provided in the supplementary material (Table S1) and can
231 also be found in the Appendix of Golaz et al. (2022).

232

233 The sensitivity experiments are based on EAMv2, and the four newly introduced model
234 features are individually reverted to their EAMv1 settings to examine their effects on cloud
235 phase simulation. The four changes include 1) the scaling factor on the WBF process, 2) the new
236 trigger function for deep convection initiation, 3) the tuning parameters associated with deep
237 convection, and 4) the minimum CDNC. First, as discussed in M. Zhang et al. (2019), modifying
238 the WBF process can significantly alter the phase partitioning of mixed-phase clouds in CAM5.
239 Y. Zhang et al. (2019) found that the scaling factor on the WBF process was unreasonably set to
240 0.1 to slow down the WBF process, which led to a considerable underestimation of ice clouds in
241 EAMv1. To address this issue, the parameter is recalibrated to 0.7 in EAMv2, which is carried
242 over from Ma et al. (2021). In the experiment “WBF01”, we revert the parameter back to 0.1 to
243 examine its impact on the simulation of cloud phase. Second, the detrained cloud water from
244 deep convection can substantially influence stratiform cloud microphysics as the detrained cloud
245 water to stratiform clouds can initiate the following cloud microphysical processes (Zhang et al.,
246 2013; Zhang & Bretherton, 2008). Using the new dCAPE_ULL convective trigger in EAMv2
247 can thus impact model convective activities and then stratiform cloud microphysical processes
248 through detrained cloud water from deep convection over the polar regions (Zhang et al., 2005).
249 In this study, we conduct the experiment “CAPE_Trigger” by replacing the new dCAPE_ULL

250 trigger with the original CAPE trigger in EAMv2 to study its impact. Third, as noted in Ma et al.,
 251 (2021) and Golaz et al., (2022), several tuning parameters are recalibrated for ZM deep
 252 convection scheme. To test the effect of these parameters on high latitude clouds, the experiment
 253 “ZM_Tuning” is performed by setting these parameters to values that are used in EAMv1.
 254 Finally, EAMv2 implemented a minimum CDNC in cloud microphysics. Microphysical
 255 processes related to cloud liquid water can be largely affected due to the change in CDNC. The
 256 experiment “No_Mincdnc” is conducted by removing the minimum threshold (10 cm^{-3}) to
 257 understand the impact of this change. Other changes made in EAMv2 are also tested, but they
 258 have relatively minor impacts on the simulated cloud phase at high latitudes.

259

260 Table 1. List of model experiments and parameter settings in EAMv2 and EAMv1

Model Experiment	Model Setup
EAMv2	Default EAMv2 model
EAMv1	Default EAMv1 model
WBF01	Same as EAMv2, but set the scaling factor on WBF process from 0.7 to 0.1
CAPE_Trigger	Same as EAMv2, but turn off the new dCAPE_ULL trigger and use the EAMv1 CAPE trigger
ZM_Tuning	Same as EAMv2, but set tuning parameters related with deep convection to values used in EAMv1
No_Mincdnc	Same as EAMv2, but reset the minimal number for cloud droplet (CDNC) from 10 cm^{-3} to 0

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262

263 3. CALIPSO-GOCCP Data

264 We use the 2006-2012 CALIPSO-GOCCP climatology dataset (version 2.68) (Chepfer et
 265 al., 2010) in the model evaluation. The CALIPSO-GOCCP product was developed particularly
 266 for evaluating clouds from the CALIPSO simulator, which is part of the COSP satellite simulator

267 package (Chepfer et al., 2008). It uses the measured total attenuated backscattered signal (ATB)
268 profiles at 532 nm from the Level 1 data of the Cloud-Aerosol Lidar with Orthogonal
269 Polarization (CALIOP), onboard the CALIPSO satellite (Winker et al., 2007, 2009). The
270 atmospheric profiles from the Goddard Modeling and Assimilation Office (GMAO) are used to
271 derive the molecular ATB profiles in the atmosphere free of clouds and aerosols (Bey et al.,
272 2001). Both ATB and molecular ATB profiles are averaged onto 40 vertical grids with height
273 intervals at 480 m and have a horizontal resolution of 330 m. Following the same algorithm in
274 the CALIPSO simulator, lidar scattering ratio (SR) profiles are derived by dividing the ATB
275 profile by the molecular ATB profile for cloud detection. Each vertical layer is labeled using
276 different SR thresholds as cloudy ($SR > 5$), clear ($0.01 < SR < 1.2$), unclassified ($1.2 < SR < 5$),
277 and fully attenuated ($SR < 0.01$). In addition, cloud phase is identified with an empirical phase
278 discrimination function between cross-polarized ATB (ATB_{\perp}) and ATB measured from the
279 CALIOP lidar. The phase discrimination is physically based on the difference in the change of
280 state of polarization of laser signal that backscattered after encountering liquid and ice particles
281 (Cesana & Chepfer, 2013). To facilitate the direct comparison with GCM outputs, monthly cloud
282 fraction data is diagnosed over a typical GCM grid box of $2^{\circ} \times 2^{\circ}$ horizontal resolution. The
283 monthly statistics of grid-mean total cloud fraction and cloud fraction in the diagnosed phase
284 (i.e., liquid, ice, and undefined) are summarized over a GCM grid box by dividing the number of
285 cloudy subcolumns during one month by the number of subcolumns that are not fully attenuated
286 during the same month. More details about the CALIPSO-GOCCP retrievals can be found in
287 Chepfer et al. (2010) and Cesana and Chepfer (2013).

288

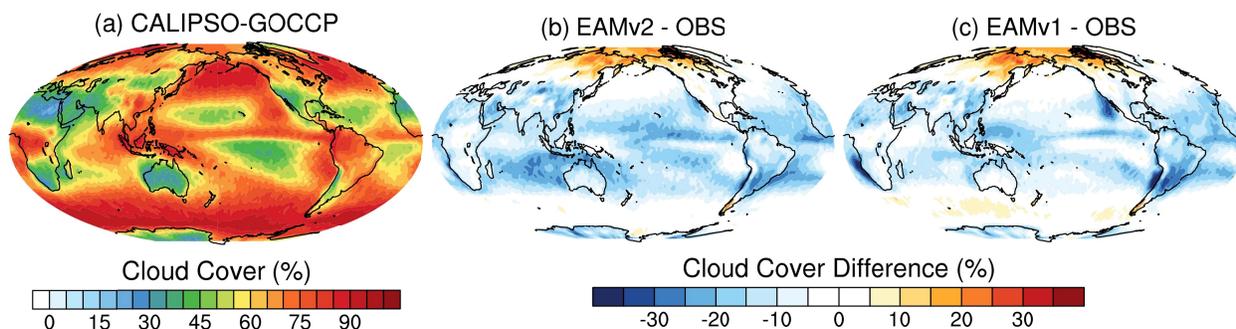
289 **4. Evaluation of Clouds**

290 **4.1. Global Cloud Cover**

291 Figure 1 shows the CALIPSO-GOCCP annual mean total cloud cover and cloud cover
292 biases in EAMv2 and EAMv1 simulations diagnosed from the CALIPSO simulator. Consistent
293 with earlier studies (Rasch et al., 2019, Xie et al., 2018, Y. Zhang et al., 2019), EAMv1 largely
294 underpredicts total cloud cover over the tropical and extratropical regions. Cloud cover is much
295 lower than CALIPSO-GOCCP over the west coasts of major continents in the subtropical
296 regions where marine stratocumulus clouds are prevalent. Negative biases are also found over
297 the tropical western Pacific area and over tropical and mid-latitude lands. With updated physics
298 parameterizations and model tuning parameters, EAMv2 shows considerable improvements in
299 simulating marine stratocumulus clouds near the west coasts of continents. Negative cloud bias
300 over subtropical lands and positive bias over the SO are also improved in EAMv2. However,
301 simulated clouds over the tropical Indian Ocean and subtropical Pacific Ocean become degraded.
302 In the Arctic, the excessive clouds produced by EAMv1 remain in EAMv2. In the following
303 sections, we will focus on high-latitude regions where mixed-phase clouds are present in most of
304 the year and have not been extensively evaluated in Golaz et al. (2022). We aim to understand
305 how the simulated cloud phase in EAMv2 differs from EAMv1 and the reasons behind the
306 identified differences. The improved understanding of the model behavior change from EAMv1
307 to EAMv2 will provide valuable information for future E3SM developments.

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311 Figure 1. Global map of annual mean total cloud cover from (a) CALIPSO-GOCCP and the total
 312 cloud cover difference between observation and CALIPSO simulator from (b) EAMv2 and (c)
 313 EAMv1.

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315

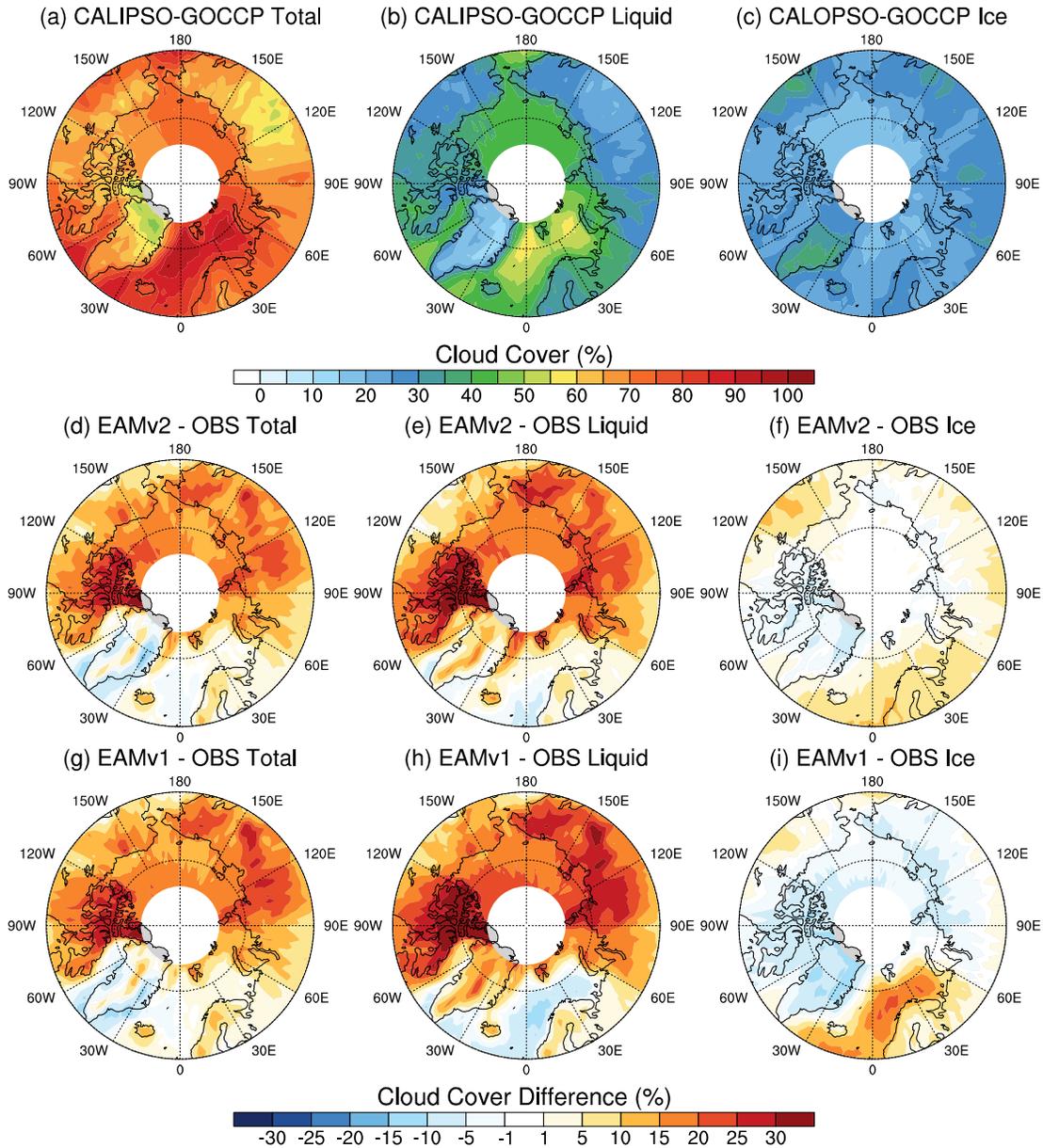
316 4.2. Arctic Cloud Cover and Cloud Phase

317 Figure 2 shows the North Pole map (poleward of 60°N) of annual mean total cloud cover
 318 and cloud cover in liquid and ice phases. Consistent with early observations (Shupe et al., 2006;
 319 Zhang et al., 2018), CALIPSO-GOCCP shows ubiquitous cloud coverage in the Arctic. There is
 320 a strong land-ocean contrast in the spatial distribution of cloud phase. For example, a larger
 321 liquid cloud fraction is observed over the ocean, while ice phase clouds are more extensive over
 322 lands. The maximum liquid-containing clouds can have up to 60% coverage near the Norwegian
 323 Sea and Barents Sea, dominating the observed total cloud cover in these regions. On the other
 324 hand, large ice cloud cover (up to 40%) is found over Greenland, North America, and Siberia.

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329 Figure 2. Arctic polar map of annual mean observed cloud cover in (a) total, (b) liquid phase, (c)

330 ice phase from CALIPSO-GOCCP. Differences between CALIPSO simulator generated total

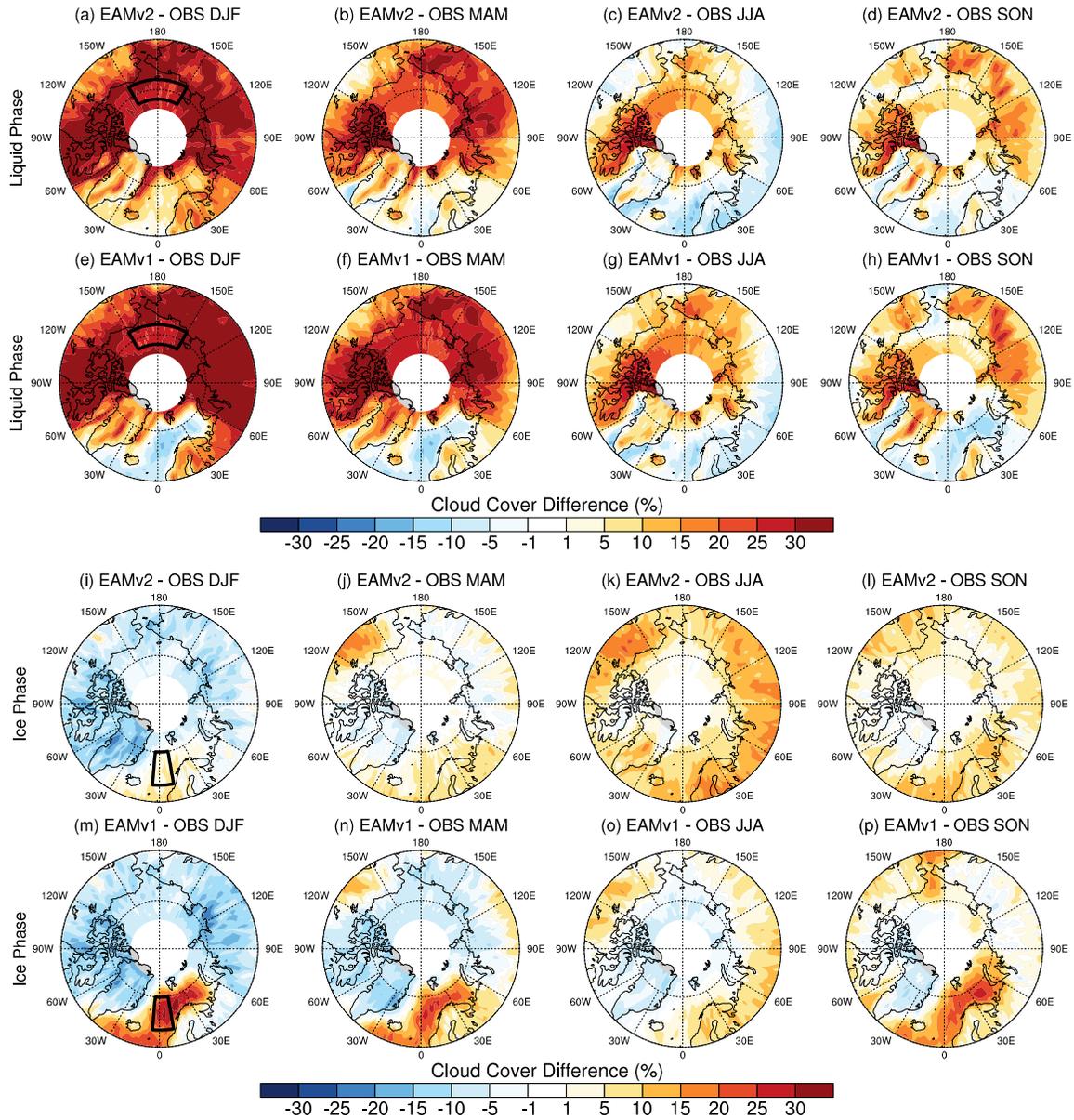
331 cloud cover and CALIPSO-GOCCP are shown in (d) for EAMv2 and (g) for EAMv1.

332 Differences in the liquid phase and ice phase are shown in (e) and (f) for EAMv2 and (h) and (i)

333 for EAMv1, respectively.

334

335 The CALIPSO-GOCCP observed contrast in cloud phase between ocean and land in the
336 Arctic is overall captured by EAMv2 and EAMv1 (figure not shown). However, total cloud
337 cover and cloud phase predicted by both models are substantially biased. As shown in Section
338 4.1, both EAMv2 and EAMv1 overestimate total cloud cover over nearly the entire Arctic except
339 Greenland, Norwegian Sea, and Barents Sea. In both models, these large positive biases are
340 mainly contributed from the overestimation of liquid clouds. Due to the decreased positive liquid
341 cloud bias, the overly predicted total clouds in EAMv2 are slightly smaller than those in EAMv1.
342 For ice clouds, cloud ice is moderately underestimated in EAMv1 over most of the Arctic. Such
343 a bias has been mostly reduced in EAMv2. As shown in Figure 2f, minimal bias is found over
344 the Arctic Ocean and Greenland compared to CALIPSO-GOCCP, although ice clouds become
345 somewhat overestimated over major Arctic lands. Another significant improvement in the
346 simulated cloud phase exists over the Norwegian Sea and Barents Sea. It is clear that ice (liquid)
347 cloud cover is too large (few) in EAMv1, and these biases are largely reduced in EAMv2.
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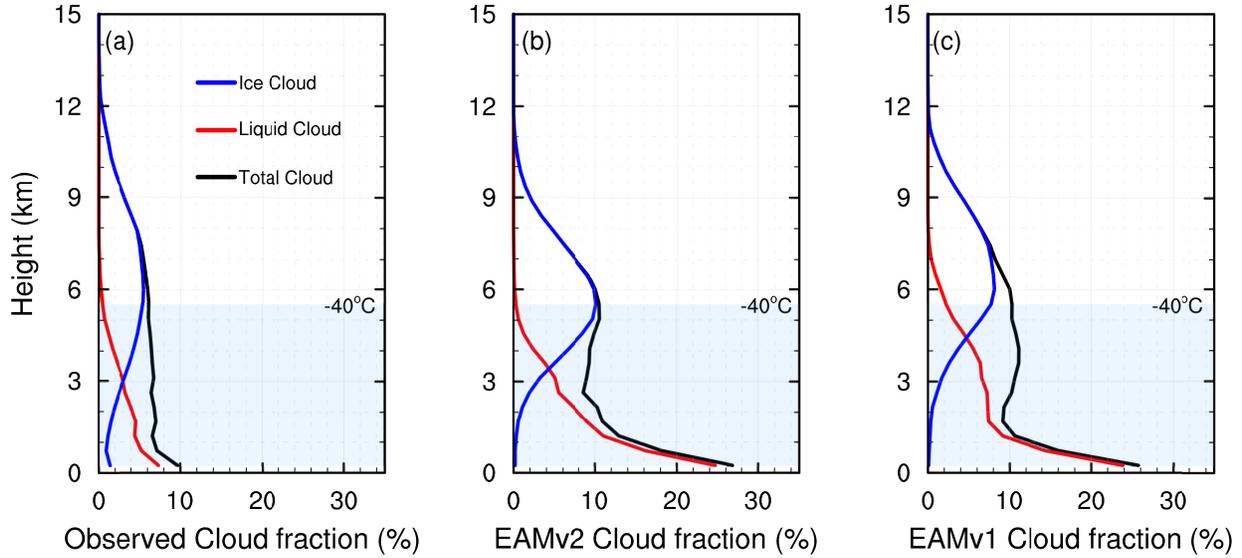


349

350 Figure 3. Arctic polar map of seasonal cloud cover biases between CALIPSO-GOCCP and
 351 EAMv2 and EAMv1. (a)-(d) and (e)-(h) are for EAMv2 and EAMv1 liquid clouds, respectively,
 352 while (i)-(l) and (m)-(p) are for ice clouds. Cloud cover and cloud phase from EAM models are
 353 predicted using the CALIPSO simulator. Black boxes shown in (a) and (e) represents the
 354 location of vertical profiles analyzed in Figure 4, while black boxes in (i) and (m) are shown for
 355 the location analyzed in Figure 5.

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The simulated cloud phase bias shows strong seasonal variations (Figure 3). Although the overestimation of liquid clouds is common across the year, both models show the most prominent biases in boreal winter and spring (i.e., DJF and MAM). These positive biases in liquid clouds are moderately reduced in EAMv2. During the same seasons (DJF and MAM), the modeled ice clouds are considerably under-predicted over most of the Arctic region in EAMv1. EAMv2 also to some extent reduces these negative biases. However, the ice clouds produced by EAMv2 are larger than the observations in summer and fall (i.e., JJA and SON). Over the Norwegian Sea and Barents Sea, it is interesting to note that cloud phase biases in EAMv1 differ significantly from the rest of the Arctic during winter, spring, and fall. For instance, the overestimation of ice clouds and underestimation of liquid clouds are found in all three seasons in EAMv1, which is opposite to the other regions. Compared to EAMv1, EAMv2 substantially alleviates these biases in cloud phase by decreasing (increasing) simulated ice (liquid) clouds over the Norwegian Sea and Barents Sea. We note that Arctic liquid cloud cover has a strong seasonal variation in CALIPSO-GOCCP, with the highest (lowest) cloud amounts in summer (winter). However, the contrast in simulated cloud cover between winter and summer is less significant in both models (Figure S1). With more constant cloud covers simulated throughout the years, a larger positive bias of liquid cloud cover is thus produced during boreal winter and spring in EAMs.



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Figure 4. Vertical profiles of total cloud cover (black), liquid cloud cover (red), and ice cloud cover (blue) over the Arctic Ocean. Cloud profiles are averaged in boreal winter (i.e., DJF) over the locations shown in black boxes in Figures 3(a) and 3(e). Profiles in (a)-(c) are for CALIPSO-GOCCP, EAMv2, and EAMv1, respectively. Blue shaded area represents the mixed-phase cloud temperature range (0 – -40°C) in ERA5 reanalysis data and EAM models.

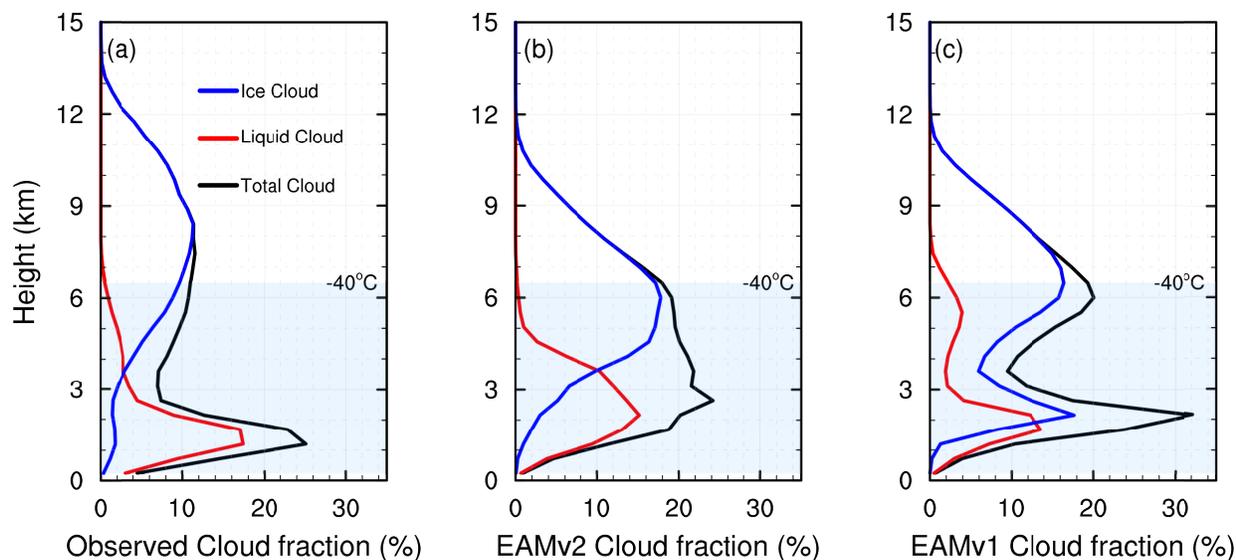
To better understand these model errors in the simulated cloud phase, cloud profiles are generated to quantify the bias in vertical structures. We first present the vertical structure of averaged clouds over the Arctic Ocean during the boreal winter (i.e., DJF) when the maximum bias in liquid cloud cover occurs in the EAM simulations. The location of averaged profiles is shown in Figures 3a and 3e, which represents the Arctic maritime condition. We also examined the cloud profiles under the Siberia and North America continental conditions. Because these three locations reveal similar results, only the cloud profiles under the maritime condition are presented here. As shown in Figure 4, clouds are observed at layers up to 12 km. Supercooled

392 liquid clouds are predominantly found at lower altitudes (< 5 km), with increased liquid cloud
393 fraction approaching the surface. Ice clouds dominate at mid to high altitudes (> 3 km), and these
394 clouds are in the mixed-phase regime below ~ 5.5 km. The two EAM models predict the correct
395 locations of supercooled liquid clouds, in good agreement with CALIPSO-GOCCP. However,
396 the simulated liquid cloud fractions are larger than observations particularly at layers below 1
397 km. Positive bias in these low-level liquid clouds largely contributes to the bias in total cloud
398 cover. The strong correlation between biases in low-level liquid clouds and total clouds (figure
399 not shown) confirms that the excessive low-level supercooled liquid clouds is the primary reason
400 for the overestimation of clouds over the Arctic Ocean, North America, and Siberia regions.

401

402 Cloud vertical profiles in Figure 4 also provide insights into the cause of underestimation
403 of ice clouds in both EAMs over the Arctic Ocean. It is shown that both models have insufficient
404 ice clouds at lower altitudes (< 2 km) compared to CALIPO-GOCCP. Although there are too
405 much ice clouds at altitudes between 4 and 8 km in both models, the underestimated ice clouds in
406 the lower troposphere likely lead to the negative bias shown in Figure 3. Meanwhile, Figure 4
407 shows that ice cloud fraction between 4 and 6 km is increased in EAMv2. Such an increase in ice
408 clouds is responsible for the overall reduction of negative ice cloud bias shown in Figure 3.

409



410
 411 Figure 5. Same as Figure 4 but for cloud profiles averaged over the Norwegian Sea during boreal
 412 winter. The location of the profile is shown in Figures 3(i) and 3(m).

413
 414
 415 To understand the change in simulated cloud phase between EAMv1 and EAMv2 over
 416 the Norwegian Sea and Barents Sea, we examine the vertical profiles of cloud cover averaged
 417 over the region indicated by black boxes in Figures 3i and 3m. The Arctic winter (i.e., DJF) is
 418 again selected due to the maximum cloud bias. Even though the observed feature that ice
 419 (liquid) clouds peak at higher (lower) altitudes is captured in both models, EAMv1 shows a
 420 second peak of ice cloud at ~2 km in Figure 5c, which is not evident in CALIPSO-GOCCP and
 421 EAMv2. The presence of the spurious “dual peak” vertical structure in EAMv1 contributes to the
 422 overestimation of ice clouds shown in Figures 2 and 3. As revealed in the sensitivity experiments
 423 (Section 5), the newly introduced dCAPE_ULL trigger in the ZM scheme is the primary reason
 424 for removing the unrealistic ice cloud layer in EAMv2. Furthermore, although the second peak in
 425 the ice cloud structure is eliminated, the ice clouds in EAMv2 are still biased. Figure 5 shows

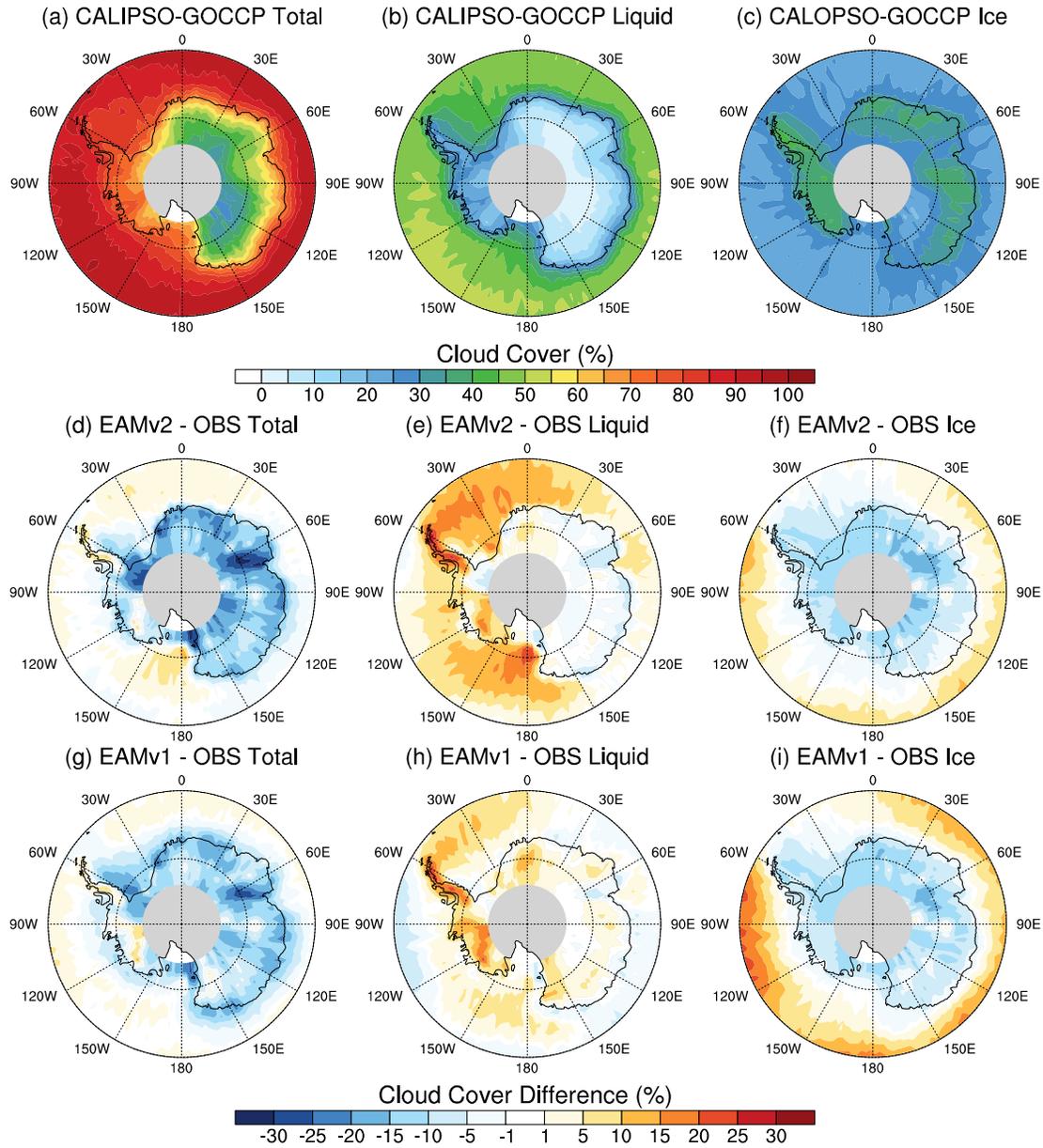
426 that the height where ice (liquid) cloud cover peaks is too low (high) in EAMv2 compared to
427 CALIPSO-GOCCP. The ice cloud cover is also overestimated in the mixed-phase cloud
428 temperature range (i.e., 0 – -40°C), whereas it is underestimated in the cirrus temperature range
429 (< -40°C). The compensating errors from different cloud types require further analysis.

430

431 **4.3. Clouds over SO and Antarctic**

432 The SO and Antarctic are the other regions where mixed-phase clouds prevail. Figure 6
433 shows the South Pole map (poleward of 60°S) of annual mean cloud cover observed by
434 CALIPSO-GOCCP and the biases in CALIPSO simulator-derived clouds from EAMv2 and
435 EAMv1. CALIPSO observations show that clouds are extensive (cloud cover > 90%) over the
436 SO, while there are relatively fewer clouds (cloud fraction < 60%) over Antarctica. Like the
437 Arctic, liquid-containing clouds are pronounced over the ocean with an annual mean coverage of
438 up to 50%. On the other hand, ice clouds are commonly found (cloud fraction ~40%) over the
439 Antarctic land.

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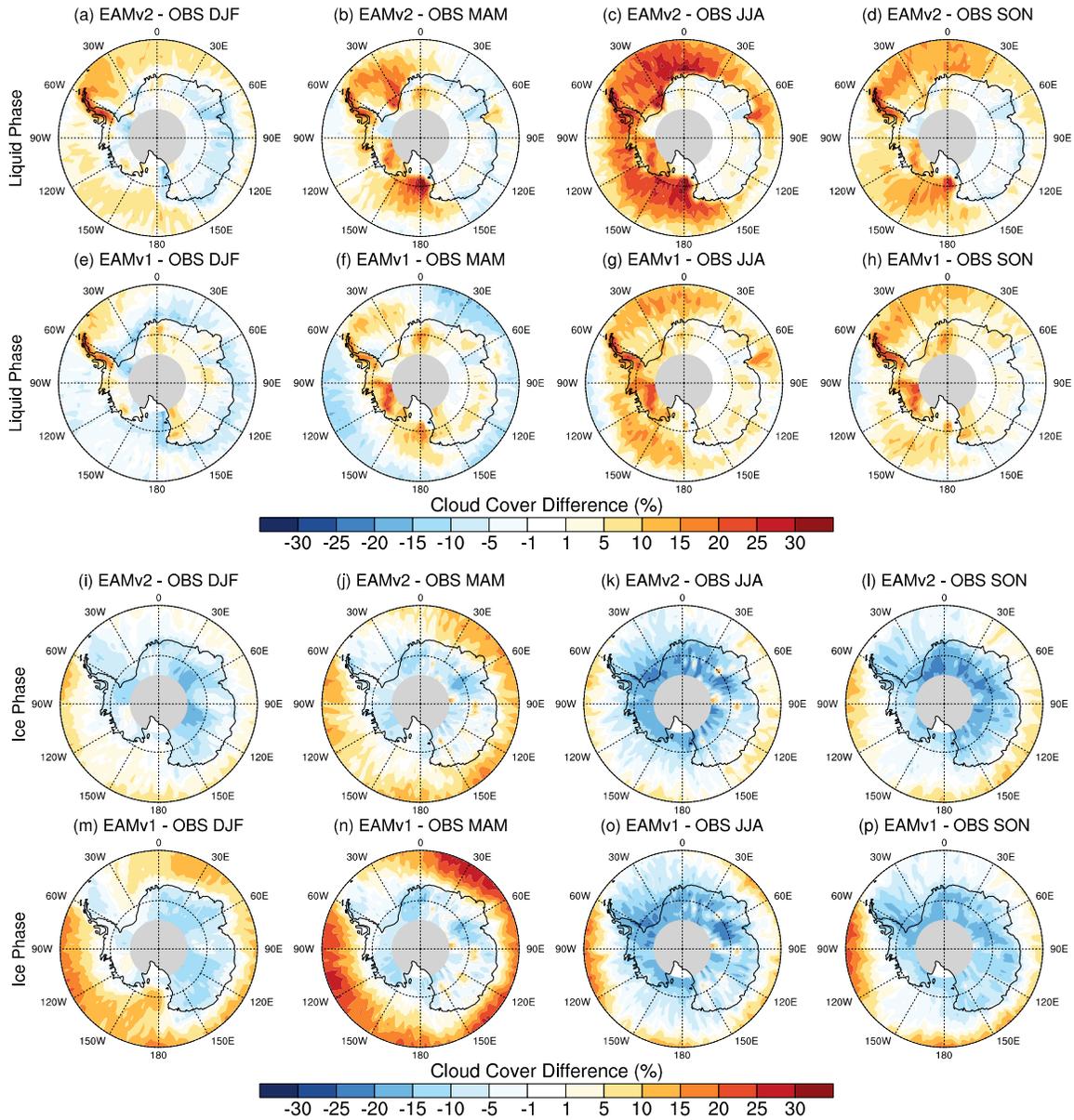
441
 442 Figure 6. Same as Figure 2 but for the observed cloud cover and cloud cover biases between
 443 model and observation in the Antarctic polar map.

444
 445
 446 Compared to CALIPSO-GOCCP, EAMv2 and EAMv1 behave similarly regarding the
 447 annual mean total cloud cover, with small positive biases over the SO and large negative biases

448 over the Antarctic land. Over the SO, the bias in liquid clouds generally shows an opposite sign
449 to that in ice clouds in both models, indicating error compensations in total cloud covers.
450 However, over the Antarctic land, the underestimation of total cloud cover is mainly due to the
451 under-predicted ice clouds in both models. It is seen that EAMv2 improves the simulation of ice
452 clouds, especially over the SO, while it shows larger positive bias in liquid clouds over the SO.
453

454 Differences in the simulated cloud phase between EAMv2 and EAMv1 are more evident
455 in their seasonality. Figure 7 indicates that the positive bias of liquid clouds from EAMv2 is
456 substantial in all seasons. The feature that liquid cloud bias is larger in colder seasons (i.e., JJA
457 and SON) is consistent with what has been discussed for the Arctic. Also consistent with the
458 Arctic, the overestimation of supercooled liquid clouds near the surface mainly contributes to the
459 positive bias in both liquid clouds and total clouds in EAMv2 over the SO (figure not shown).
460 Conversely, insufficient liquid clouds in EAMv1 over the SO during austral summer and fall
461 (i.e., DJF and MAM) offsets the overestimation of liquid clouds during austral winter and spring
462 (i.e., JJA and SON), making the annual liquid clouds generally comparable to observations
463 except over the Weddell Sea, the Amundsen Sea, and the Ross Sea. This underestimation of
464 liquid clouds in EAMv1 closely corresponds to the overestimation of ice clouds in the lower
465 troposphere (2–3 km) over the SO off the Antarctic continent (figure not shown). Intrigued by
466 the comparable ice cloud biases over the Norwegian and Barents Sea in the Arctic, the
467 suppression of deep convection initiation with the new trigger is found to substantially modify
468 cloud microphysical processes for cloud liquid and ice. This mechanism significantly changes
469 the cloud phase simulation over the open oceans in both hemispheres. A process-level analysis
470 will be discussed in Section 5.

471



472

473 Figure 7. Same as Figure 3 but for the Antarctic cloud cover biases in the liquid phase and ice

474 phase.

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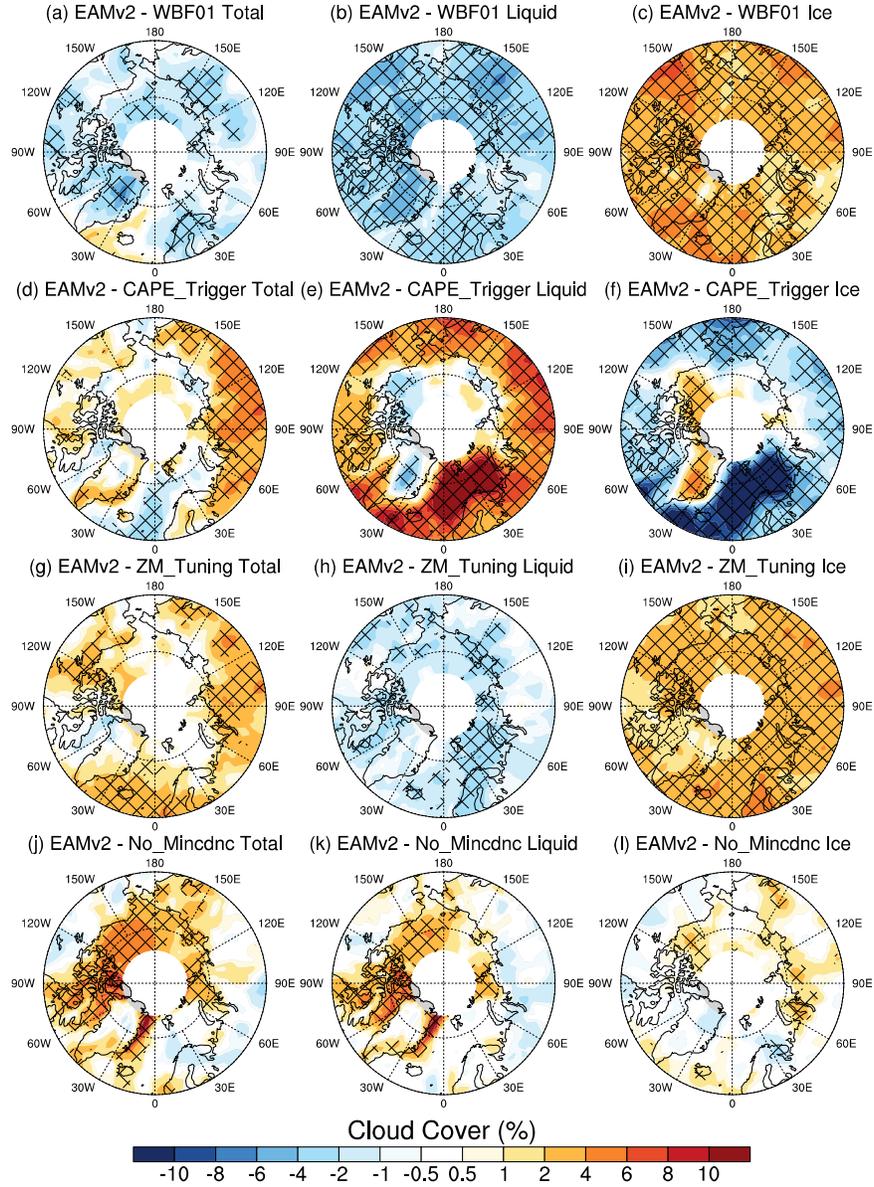
477 Over the Antarctic land, although liquid-containing clouds are less dominant than ice
478 clouds, EAMv2 reasonably predicts liquid cloud covers in all seasons, which is slightly
479 improved compared to EAMv1 (Figure 7). Substantial low biases are found in ice clouds all year
480 round in both models. The underestimation of ice clouds dominates total cloud errors as shown
481 earlier. The cross-section analysis indicates that both models predict insufficient high-level (> 10
482 km) ice clouds over Antarctica (figure not shown), which is likely the reason for the
483 underestimation of ice clouds presented on the Antarctic land.

484

485 **5. Model Sensitivity Experiments**

486 To further understand the reasons for the improved cloud phase in EAMv2, a set of
487 sensitivity experiments (Table 1) are performed based on the EAMv2 model. The design of each
488 sensitivity experiment has been introduced in Section 2.3.

489



490

491 Figure 8. Arctic polar map of annual cloud cover difference between sensitivity experiments and
 492 the default EAMv2 experiment. The left column is for total cloud cover, the middle column is for
 493 liquid cloud cover, and the right column is for ice cloud cover. (a)-(c) shows the experiment
 494 using the scaling factor of 0.1 on the WBF process; (d)-(f) shows the experiment without the new
 495 dCAPE_ULL trigger; (g)-(i) shows the experiment that sets the tuning parameters in deep
 496 convection to values that are used in EAMv1; and (j)-(l) removes the minimum CDNC in cloud

497 microphysics. Black crosses indicate regions that are statistically significant at the 90%
498 confidence level.

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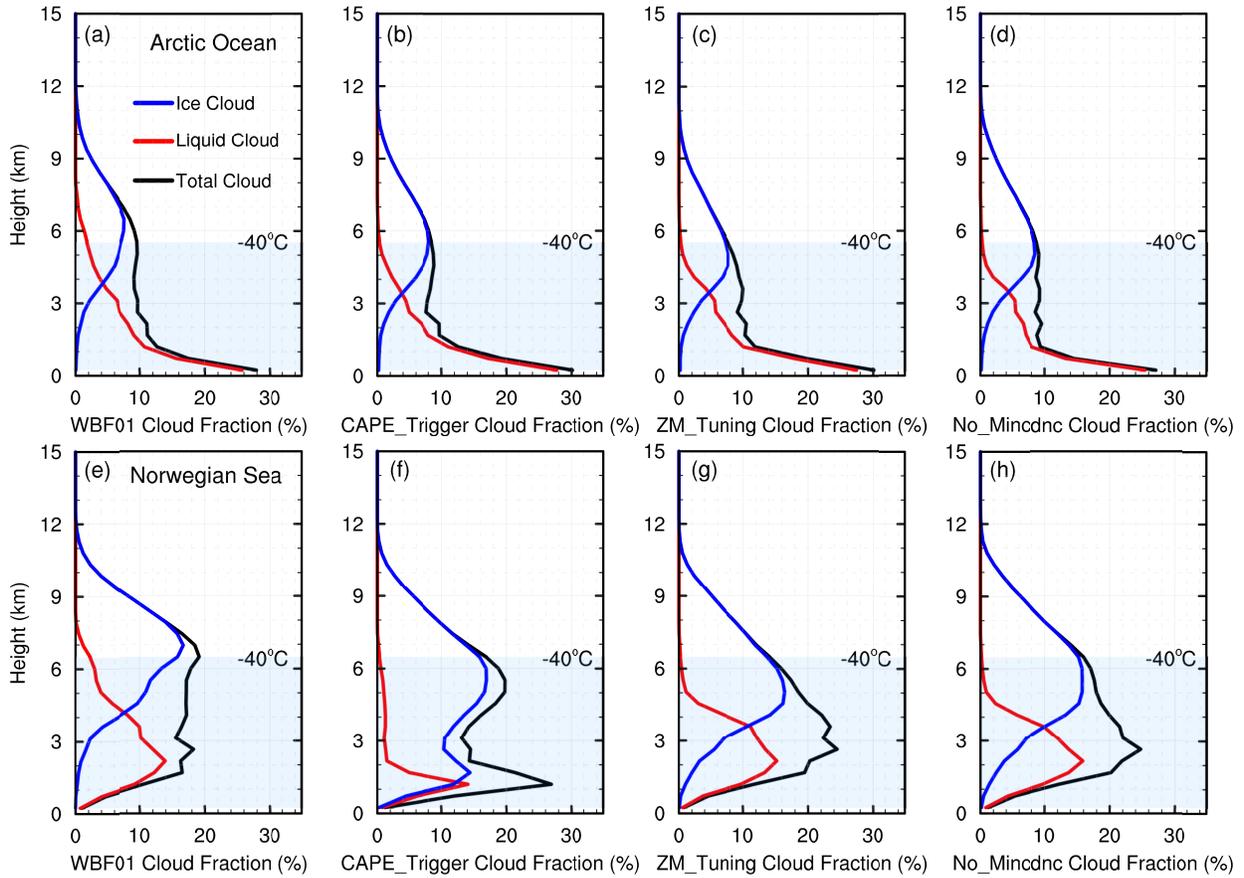
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501 For clouds in the Arctic, sensitivity experiments (Figure 8) indicate that changing the
502 scaling factor of the WBF process from 0.1 (default in EAMv1) to 0.7 (default in EAMv2)
503 significantly decreases liquid and increases ice cloud over the entire Arctic. Total cloud cover is
504 also decreased due to the enhanced glaciation of mixed-phase clouds. This is expected because
505 an increased WBF process rate can result in more occurrence of the total consumption of liquid
506 water in mixed-phase clouds and thus decrease cloud lifetime (M. Zhang et al., 2019).

507 Conversely, while recalibrated parameters for ZM scheme also increase ice cloud and decrease
508 liquid cloud, simulated total cloud cover is increased as shown in Figure 8g. Reduced convective
509 autoconversion efficiency and decreased ice particle size detrained from deep convection
510 probably prolong the lifetime of ice clouds (Ma et al., 2021). Note that the decrease of liquid
511 cloud due to the modified WBF process scaling factor and ZM tuning is largely canceled out by
512 the introductions of the new dCAPE_ULL trigger and the minimum CDNC. Figure 8 shows that
513 the new convective trigger plays an essential role over the Arctic lands, Norwegian Sea, and
514 Barents Sea, while the minimum CDNC is more influential over the Arctic Ocean. As discussed
515 in earlier sections, the overestimation of liquid cloud cover is an outstanding issue for both
516 models over the Arctic Ocean. However, even though the No_Mincdnc experiment gives a lower
517 liquid cloud fraction than the default EAMv2 over the Arctic Ocean, supercooled liquid clouds
518 are still overestimated near the surface without changing liquid cloud profiles (Figure 9d). Cloud

519 profiles over the Arctic Ocean are also insensitive to the other three sensitivity experiments
 520 (Figures 9a-9c), implying the role of other factors in this bias.

521



522

523 Figure 9. Vertical profiles of averaged cloud cover from sensitivity experiments. (a)-(d) are
 524 profiles over the Arctic Ocean with the same location and season shown in Figure 4. (e)-(h) are
 525 profiles over the Norwegian Sea; and the location and season are the same as Figure 5.

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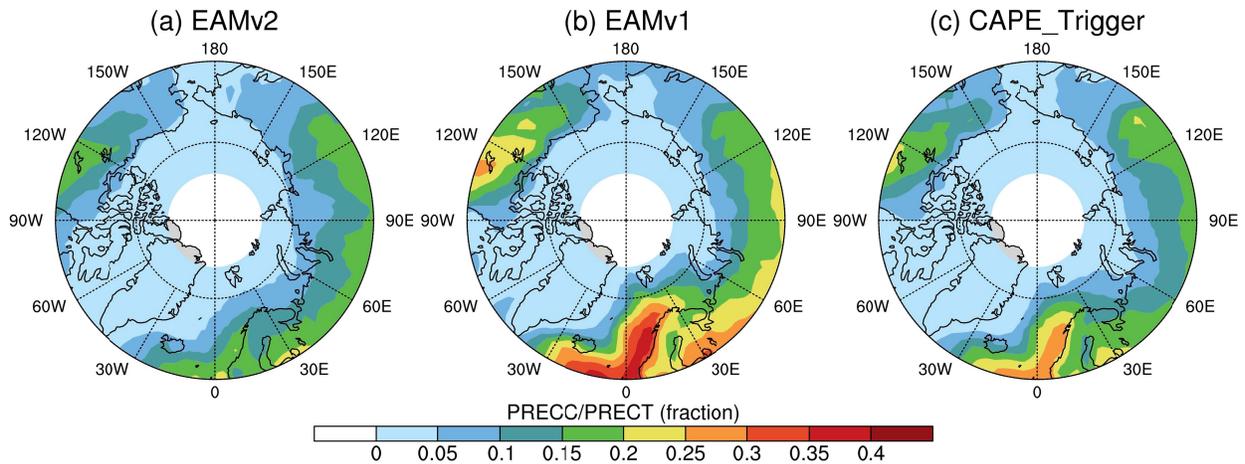
527

528 In terms of the model cloud fraction change over the Norwegian Sea, the new trigger
 529 significantly reduces the cloud phase error shown in EAMv1. This is confirmed by the fact that
 530 the CAPE_Trigger experiment, which turns off the new trigger, reproduces the spatial

531 distribution of cloud phase biases in EAMv1 and the “dual peaks” in the ice cloud vertical profile
 532 (Figure 9f). Further analysis suggests that the impact of the modified ZM scheme on simulated
 533 cloud phase mainly results from the reduced deep convection initiation. Xie et al. (2019)
 534 demonstrated that by introducing a dynamic constraint on convection initiation, the convection
 535 becomes less frequently triggered. As shown in Figure 10, convection contributes more to total
 536 precipitation in EAMv1 compared to EAMv2. Especially over the Norwegian and Barents Sea
 537 where cloud phase biases are substantial, convective precipitation occurs more frequently in
 538 EAMv1 and CAPE_Trigger than EAMv2. Through a separate one-year simulation test with deep
 539 convection related fields saved at each model time step, we found the initiation frequency of ZM
 540 scheme is reduced by 70-80% over the Norwegian and Barents Sea when the dCAPE_ULL
 541 trigger is used. However, how deep convection from ZM is linked to the E3SM cloud phase
 542 simulation needs a further analysis.

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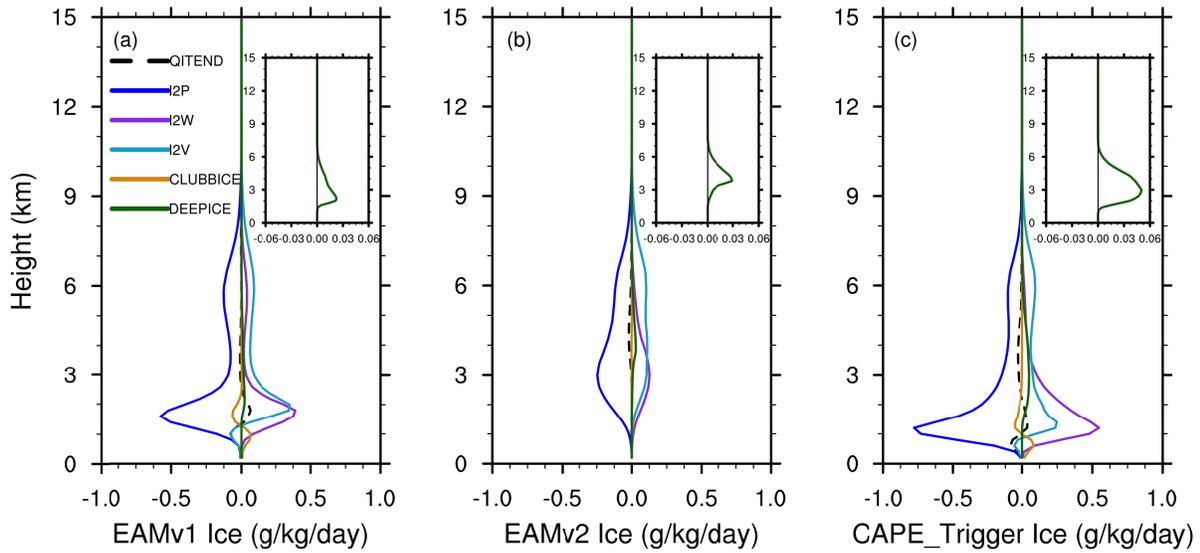


545

546 Figure 10. Arctic polar map of the annual fraction of convective precipitation rate over total
 547 precipitation rate. Results of EAMv2, EAMv1, and EAMv2 with the new trigger turned off are
 548 shown in (a), (b), (c), respectively.

549

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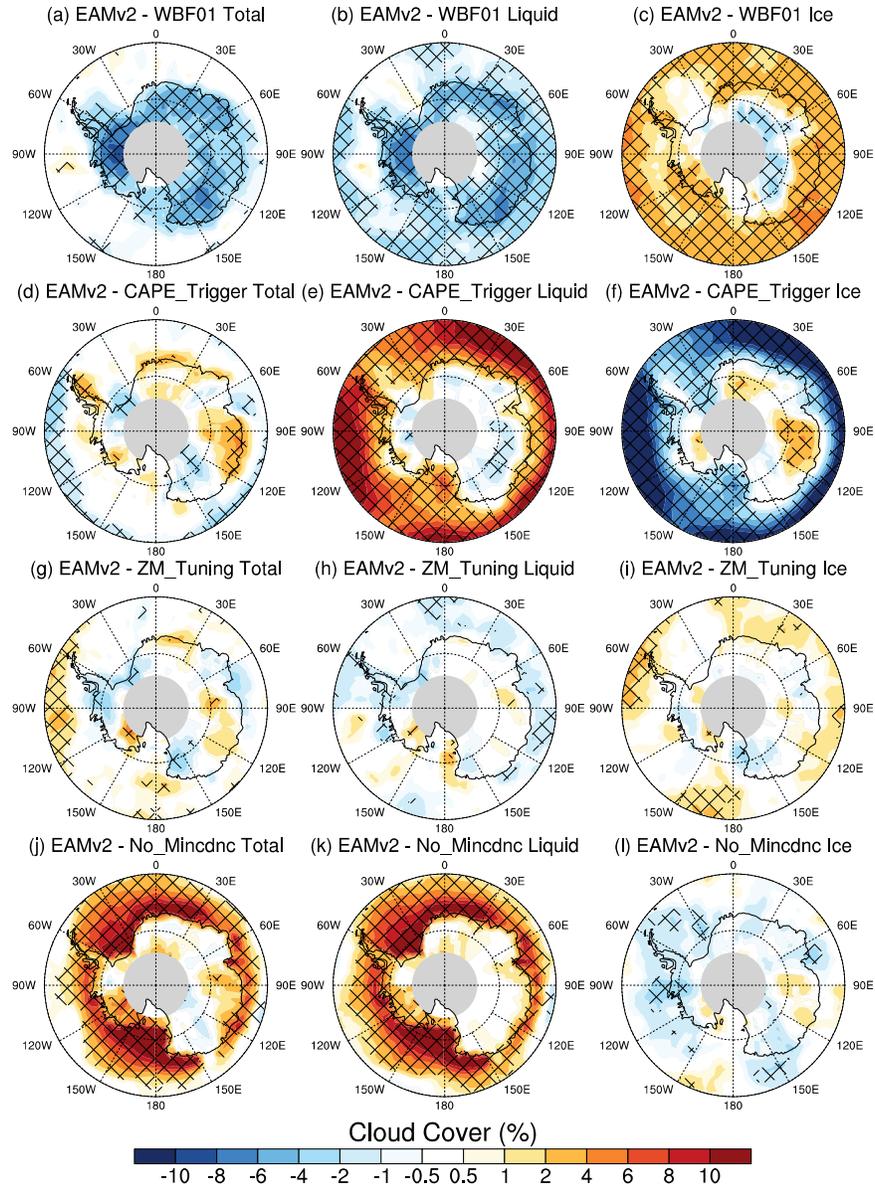


552 Figure 11. Profiles of ice-related process tendency rates from EAMv1 (left), EAMv2 (middle),
 553 and EAMv2 without the new trigger (right). Profiles are averaged over the Norwegian Sea with
 554 the same location and time period as Figure 5. Detrained ice from deep convection (DEEPICE,
 555 green) is highlighted in the right corner of each panel. The total tendency rate of ice processes
 556 (QITEND, dashed black), conversion rates between cloud ice and precipitation (I2P, blue), cloud
 557 liquid (I2W, purple), and water vapor (I2V, light blue), and cloud ice calculated in turbulent
 558 transport in CLUBB (CLUBBICE, dark orange) are shown.

559

560

561 A simple treatment of cloud microphysics is used in the ZM deep convection
562 parameterization. In both EAMv2 and EAMv1, once convection is triggered, cloud water is
563 detrained from deep convection to stratiform clouds. Detrained water is partitioned as pure liquid
564 when temperature is warmer than 268.15 K, and as pure ice when temperature is colder than
565 238.15 K with a linear interpolation in between. Figure 11 clearly shows that the peak of ice
566 cloud cover at ~2 km in EAMv1 (shown in Figure 5) corresponds well with the large process rate
567 of detrained ice. Detrained ice from deep convection peaks at a much higher altitude in EAMv2,
568 and the lower altitude peak is reproduced when the new trigger is turned off. With increased
569 cloud ice detrained from deep convection, process rates for the mass conversion from liquid and
570 vapor to cloud ice (i.e., I2W and I2V) are significantly accelerated in EAMv1 and
571 CAPE_Trigger. This further proves our hypothesis that detrained ice water caused by the too
572 frequent trigger of deep convection is the main reason for cloud phase biases over the Norwegian
573 and Barents Sea in EAMv1.
574



575

576 Figure 12. Same as Figure 8 but shows the Antarctic polar map.

577

578

579 For simulated cloud phase changes over the SO and Antarctic region, sensitivity
 580 experiments reveal that the effects from the scaling factor of the WBF process, the new
 581 dCAPE_ULL trigger, and the minimum CDNC are generally consistent to those in the Arctic

582 (Figure 12). For example, the WBF scaling factor (0.7) decreases liquid and increases ice clouds
583 nearly over the entire SO, but both the new trigger and the minimum CDNC offset this changed
584 cloud phase. It is clear from Figure 12 that the new trigger plays a similar role over the SO
585 compared to Norwegian and Barents Seas, which substantially reduces the excessive ice clouds
586 identified in EAMv1. However, the modified trigger together with the minimum CDNC also
587 contribute to the too large liquid clouds over the SO. It is interesting that, despite of the
588 noticeable impact from ZM related tuning parameters on cloud phase in the Arctic, these
589 parameters have minimal effects on simulated clouds at high latitudes in the Southern
590 Hemisphere. Meanwhile, changes in different physics schemes tend to impact different regions
591 in the Southern Hemisphere. For instance, the role of CDNC is more substantial over the SO
592 close to the Antarctic land, whereas the new trigger is more critical for the SO near mid-latitudes.
593 The WBF rescaling, on the other hand, is influential on liquid and total clouds over the Antarctic
594 land.

595

596 **6. Summary and Discussion**

597 In this study, we evaluate simulated cloud phase from EAMv2 and EAMv1 against
598 CALIPSO-GOCCP observations. EAMv2 simulated cloud phase is compared with that predicted
599 from EAMv1 to understand the model behavior change due to updated physics schemes and
600 model tuning during the EAMv2 development. The focus of the analysis is on clouds simulated
601 at high latitudes. In general, EAMv2 simulated total cloud cover over the Arctic region is still
602 overestimated compared to CALIPSO-GOCCP, like EAMv1. The overly predicted low-level
603 supercooled liquid phase clouds near the surface primarily contribute to the positive bias in total
604 clouds. The maximum cloud bias in liquid clouds is found in boreal winter, but the positive bias

605 is also found all year round. Although EAMv2 simulated liquid clouds insignificantly differ from
606 EAMv1, ice phase clouds are largely improved in EAMv2 over the Arctic. Not only has the
607 negative bias in ice clouds identified in EAMv1 been reduced, but also the overestimated ice
608 clouds over the Norwegian Sea and Barents Sea become comparable to CALIPSO-GOCCP.
609 Over the SO, compensating errors from liquid and ice phases and from different seasons result in
610 comparable annual mean total cloud covers in EAMv2 against observations. Compared to
611 EAMv1, positive biases in ice cloud cover are decreased in all seasons in EAMv2, but positive
612 biases in liquid cloud cover are enhanced. Over Antarctica, the underestimation of ice cloud
613 cover dominates the bias of total cloud in EAMv2, which is the same as EAMv1.

614

615 The primary reason for the improved cloud phase in EAMv2 is identified through a set of
616 sensitivity experiments. First, it is found that the suppression of convection initiation due to the
617 use of the new dCAPE_ULL trigger significantly improves the simulated cloud phase over the
618 open ocean (e.g., Norwegian Sea, Barents Sea, and SO) in both hemispheres. Interestingly, the
619 impact of modified trigger in the ZM scheme is crucial not only for tropical and subtropical
620 precipitation (Golaz et al., 2022; Xie et al., 2019) but also for high latitude stratiform cloud
621 phase. Note that the reduced initiation frequency of ZM scheme over high-latitude regions is
622 physically reasonable because deep convective conditions are less likely to be satisfied at high
623 latitudes than mid-latitudes and tropics in nature.

624

625 Second, it is found that changing the scaling factor of the WBF process from 0.1 to 0.7
626 substantially reduces the underestimation of cloud ice in EAMv1 simulated mixed-phase clouds.
627 Increased ice and decreased liquid clouds are significant within the mixed-phase cloud

628 temperature range (0 – -40°C) in both hemispheres, but excessive ice clouds are also produced
629 due to this tuning parameter in EAMv2. This suggests that a more accurate and physically based
630 representation of the WBF process in mixed-phase clouds is needed in the future model
631 development. For example, early studies have illustrated that the occurrence of WBF process is
632 expected only under limited conditions in mixed-phase clouds. Only when the local water vapor
633 pressure exceeds the saturation vapor pressure with respect to ice and remains lower than
634 saturation vapor pressure with respect to liquid, can the WBF process occur (Korolev, 2007; Fan
635 et al., 2011). Accurately representing the onset of WBF process based on cloud dynamics that
636 alters the local saturation can be helpful. Meanwhile, the WBF process is affected by the mixing
637 states between liquid and ice in mixed-phase clouds (Korolev et al., 2017). The heterogeneous
638 mixture of cloud hydrometeors can reduce the contact volume of liquid and ice, which further
639 affects the WBF process strength (Tan & Storelvmo, 2016; M. Zhang et al., 2019). Properly
640 representing the heterogeneity in the mixture between liquid and ice is also important for the
641 WBF process.

642

643 Finally, we find that introducing a minimum CDNC in cloud microphysics is also
644 responsible for increased liquid cloud cover in both hemispheres. This is because of the stronger
645 liquid water production in relatively clean conditions due to the removal of unrealistic small
646 CDNC by setting the low limit in EAMv2. We should note that other updates in cloud
647 microphysics schemes and model tuning as discussed in Golaz et al. (2022) can also influence
648 the simulated cloud phase. For example, recalibrated tuning parameters in deep convection
649 largely increase ice clouds over the Arctic, but the impact is negligible for the SO and Antarctica.
650 Moreover, the impacts of modified tuning parameters in CLUBB and microphysics scheme are

651 also examined (not shown). It is found that the recalibrated tunings in CLUBB and microphysics,
652 as well as the modified treatment of surface gustiness tend to slightly increase liquid clouds over
653 the SO (minimal change in the Arctic), but their impacts are not as large as what are shown in the
654 four sensitivity experiments.

655

656 Note that the cloud evaluation purely based on the CALIPSO-GOCCP observation is
657 influenced by the instrument limitation of CALIOP lidar. The attenuation of lidar signal due to
658 liquid layers may limit the ability of the CALIPSO satellite to detect low-level mixed-phase
659 clouds that are commonly observed at high latitudes. Therefore, an ongoing separate work
660 utilizing the DOE ARM program's ground-based remote sensing retrievals to evaluate modeled
661 mixed-phase cloud properties will complement our current study. The combined ground-based
662 radar and lidar measurements have provided reliable cloud detections and cloud property
663 retrievals of high-latitude mixed-phase clouds (Shupe et al., 2008, 2011; D. Zhang et al., 2019).
664 Model evaluation against the ARM ground-based measurements will be presented in a separate
665 study.

666

667 To conclude, EAMv2 has improved the simulated cloud climatology compared to
668 EAMv1. The better cloud ice phase prediction by EAMv2 should have an important impact on
669 the future climate simulation. However, the remaining cloud biases, such as the overestimation
670 of liquid clouds in the entire Arctic and the SO, as well as the underestimation of ice clouds over
671 the Antarctic land, require further improvements in the future model development. Detailed
672 cloud regime-based analysis is also necessary to further understand model cloud biases.

673

674

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684

685 **Data Availability Statement:** The model codes may be accessed at <https://github.com/E3SM->
686 [Project/E3SM](https://github.com/E3SM-). The model data used in this study can be accessible at
687 <https://portal.nersc.gov/archive/home/m/mengz/www/Zhang-E3SMv2-MixedPhaseClouds>. The
688 CALIPSO-GOCCP observational data is available online at
689 https://climserv.ipsl.polytechnique.fr/cfmip-obs/Calipso_goccp.html.

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Supporting Information for

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Cloud Phase Simulation at High Latitudes in EAMv2: Evaluation using CALIPSO

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Observations and Comparison with EAMv1

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17 **Contents of this file**

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Figures S1

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Tables S1

20

21 **Introduction**

22 This supporting information includes Table S1 and Figure S1. Table S1 lists the major
 23 differences in tuning parameters in cloud physics schemes between EAMv2 and EAMv1.
 24 Figure S1 shows the seasonal variability of liquid phase cloud cover from CALIPSO-
 25 GOCCP data and that simulated from EAMv2 and EAMv1 in the Arctic region.

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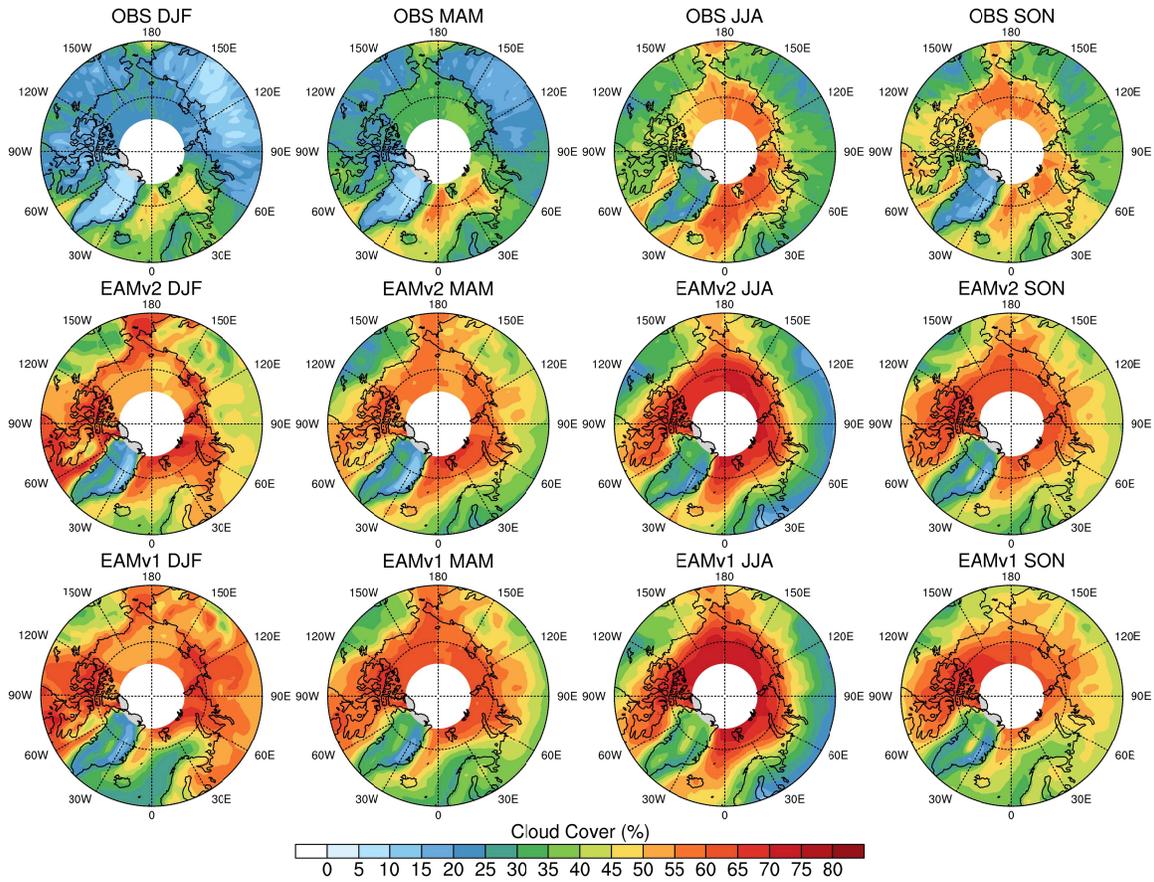
28 Table S1. List of parameters that are different between EAMv2 and EAMv1. Parameters
 29 highlighted in blue (i.e., deep convection related) and red are used in the sensitivity
 30 experiments analyzed in the main context.

31

Model Parameter	EAMv2	EAMv1
micro_minednc	1×10^6	0
micro_mg_berg_eff_factor	0.7	0.1
microp_aero_wsubmin	0.001	0.2
micro_mg_accre_enhan_fac	1.75	1.5
prc_exp1	-1.4	-1.2
so4_sz_thresh_icenuc	8×10^{-8}	5×10^{-8}
clubb_c1	2.4	1.335
clubb_c1b	2.8	1.335
clubb_c1c	0.75	1.0
clubb_c6rtb	7.5	6.0
clubb_c6rtc	0.5	1.0
clubb_c6thlb	7.5	6.0
clubb_c6thlc	0.5	1.0
clubb_c8	5.2	4.3
clubb_c11	0.7	0.8
clubb_c11b	0.2	0.35
clubb_c11c	0.85	0.5
clubb_c14	2.5	1.06
clubb_c_k10	0.35	0.3
clubb_c_k10h	0.35	0.3
clubb_gamma_coef	0.12	0.32
clubb_gamma_coefb	0.28	0.32
clubb_gamma_coefc	1.2	5.0
clubb_mu	5×10^{-4}	1×10^{-3}

clubb_wpxp_l_thresh	100	60
clubb_ice_deep	1.4×10^{-5}	1.6×10^{-5}
clubb_ipdf_call_placement	2	1
clubb_use_sgv	.true.	.false.
zmconv_trigdcape_ull	.true.	
zmconv_alfa	0.14	0.1
zmconv_c0_lnd	0.002	0.007
zmconv_c0_ocn	0.002	0.007
zmconv_mx_bot_lyr_adj	1	2
zmconv_tp_fac	2	0
cldfrc_dp1	0.018	0.045
seasalt_emis_scale	0.6	0.85
dust_emis_fact	1.5	2.05
effgw_beres	0.35	0.4
effgw_oro	0.375	0.25
gw_convect_hct	10	20
use_gw_energy_fix	.true.	.false.
linoz_psc_t	197.5	193

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41 Figure S1. Arctic polar map of the seasonality of liquid cloud cover from CALIPSO-
 42 GOCCP, EAMv2 and EAMv1. Liquid cloud covers from EAM models are predicted
 43 using the CALIPSO simulator.