

1           **Quantification of Boundary Layer Mixing over the**  
2           **Southern Ocean Using In-Situ and Remotely-Sensed**  
3           **Measurements**

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7           **Key Points:**

- 8           • We describe a new methodology which quantifies boundary layer mixing using  
9           measurements of suspended particle surface area  
10          • Observations and forecasts show that the Southern Ocean boundary layer is  
11          well-mixed 92% of the time  
12          • Optical properties of low-level Southern Ocean cloud are closely tied to the  
13          physicochemical characteristics of boundary layer particles

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## Abstract

We demonstrate that the temporal correlation between the abundance of particulate surface area at sea-level and measurements of ceilometer backscatter can be used to quantify boundary layer mixing. Throughout an austral summer voyage to the Ross Sea, correlations between the two quantities were consistently high, identifying that the Southern Ocean boundary layer was frequently well-mixed. This provides indirect evidence that the optical characteristics of low-level Southern Ocean cloud are fundamentally related to the abundance and physicochemical properties of boundary layer particles. Following this analysis, we define simple criteria for which the boundary layer is likely to be well-mixed. We found that if sea-level wind speeds exceeded  $8 \text{ m s}^{-1}$  or if the near-surface air was 3 K cooler than the sea surface, a well-mixed boundary layer was always observed. Overall, these conditions are satisfied 92% of the time between 40–70°S based on forecasts from the Antarctic Mesoscale Prediction System.

## Plain Language Summary

Particles suspended in the atmosphere (aerosol) act as seeds for cloud droplet formation. The abundance of such particles directly influences the opacity of clouds, while their physical and chemical characteristics govern if and when those cloud droplets freeze. As a result, both the amount of solar radiation a cloud can reflect back to space and thus, the temperature of waters below, are sensitive to the quantity and type of particles available. We present a new methodology for understanding the conditions in which low-level clouds have direct access to the large and diverse reservoir of particles in the surface layer. We find that conditions for mixing particles up from the surface and into low-level cloud are satisfied 92% of the time over the Southern Ocean based on regional weather forecasts. This suggests that the particles we observe near the surface almost always play a significant role in cloud formation.

## 1 Introduction

Despite the small scale of aerosol–cloud interactions, errors in how they are represented within global climate models can cause significant climatological biases in the radiative balance. In particular, uncertainties in predicting cloud phase lead to substantial biases in the cold sector of Southern Ocean cyclones (Bodas-Salcedo et al., 2014). While the abundant cyclones of the Southern Ocean (Irving et al., 2010) occur solely as a function of synoptic conditions, global climate model’s predictions of cloud phase in the cold sector of Southern Ocean cyclones (Vergara-Temprado et al., 2018), and in the wider Southern Ocean (Schuddeboom et al., 2019), are extremely sensitive to the properties of particles in the underlying boundary layer. Understanding the conditions in which these particles can reach cloud base is therefore important in correctly predicting a cloud’s optical properties.

As wind speeds have increased over the Southern Ocean (Young et al., 2011; Hande, Siems, & Manton, 2012), there is significant interest in how naturally-produced particles impact cloud formation and the optical properties of the resultant clouds (McCoy et al., 2015), and whether this interaction represents a substantial climate feedback (Korhonen et al., 2010). It is well-known that increasing the population of cloud condensation nuclei (CCN) directly increases the opacity of the overlying cloud (Twomey, 1977). Increases in winds over the region will enhance the flux of sea spray particles (SSPs) from breaking waves (Hartery et al., 2020). These particles are the only local source of ice-nucleating particles (INPs) in the Southern Ocean (DeMott et al., 2016), a region almost devoid of INPs (Bigg & Hopwood, 1963). Not only are ice clouds much less opaque (Hu et al., 2010), they are

64 much more likely to precipitate (Borys et al., 2003). Thus, changes in the abundance  
65 of SSPs may have significant impacts on cloud radiative properties.

66 One of the challenges in unravelling aerosol–cloud interactions over the South-  
67 ern Ocean is that the region is frequently covered in cloud (80% of the time; Haynes  
68 et al. (2011)), resulting in a sparsity of boundary layer observations from space.  
69 While observational records of radiosondes from Macquarie Island provide rich data  
70 on the thermodynamic structure of the Southern Ocean boundary layer (Hande,  
71 Siems, Manton, & Belusic, 2012), the lack of accompanying observations of CCN or  
72 INPs leaves a gap in our understanding of how these particles interact with cloud.  
73 Previous research, such as the dedicated ACE-1 (Russell et al., 1998), SOCEX  
74 (Boers et al., 1998), HIPPO (Wofsy, 2011) and more recently SOCRATES cam-  
75 paigns have used aircraft observations to bridge this knowledge gap. However, air-  
76 craft can only fly in a limited range of conditions, as the strong vertical wind shear  
77 and icing within boundary layer cloud present dangers. By contrast, ship-based  
78 measurements can be made in nearly all conditions. Here, we use measurements on  
79 the R/V *Tangaroa* during a voyage to the Ross Sea in 2018 to establish conditions  
80 in which particles near the surface are turbulently mixed to cloud base. Establishing  
81 conditions when sea-level measurements are relevant to cloud will enable future re-  
82 search to better exploit sea-level measurements in aerosol–cloud interaction studies,  
83 and adds value to near-surface measurements.

## 84 2 Measurements

85 Over the course of a voyage between New Zealand and the Ross Sea, a passive  
86 cavity aerosol spectrometer probe (PCASP-100X; Droplet Measurement Technolo-  
87 gies) and a differential mobility particle sizer (DMPS, TSI) measured the ambient  
88 concentration of particles suspended in the atmosphere at 2 m a.s.l. The PCASP  
89 measured the number concentration size spectra of particles suspended in the  
90 boundary layer in 30 size bins (0.1–3.0  $\mu\text{m}$ ) every minute. The DMPS measured  
91 the number concentration size spectra in the size range 0.02–0.3  $\mu\text{m}$  every 10 min-  
92 utes. Following Modini et al. (2015) and Quinn et al. (2017), we fit three lognormal  
93 size distributions to estimate the average diameter and number concentration of  
94 Aitken, accumulation and sea spray particles. The PCASP was used exclusively to  
95 estimate the average size and abundance of SSPs, while the DMPS was used for the  
96 Aitken and accumulation particles. When data from the DMPS were not available,  
97 the PCASP was used to constrain the abundance and size of accumulation parti-  
98 cles. Further details on sampling set-up and analysis, including correction factors  
99 for losses through the sampling line, are described in Hartery et al. (2020). We also  
100 measured the total number of cloud condensation nuclei (CCNC-100; Droplet Mea-  
101 surement Technologies) from the same sampling conduit that drew ambient air to  
102 the PCASP and DMPS. A measurement of the average number of ambient CCN was  
103 made twice an hour at intervals of 0.1% supersaturation between 0.2–1.0%.

104 A ceilometer (CHM-15K; Lufft) measured vertical profiles of attenuated  
105 backscattered light ( $\lambda = 1064 \text{ nm}$ ),  $\beta$ , over the R/V *Tangaroa* every minute at a  
106 resolution of 15 m. For each profile, the instrument also estimated the cloud base  
107 height (CBH). A raw quality control flag provided by the instrument was used to  
108 screen for field-of-view contamination from fog or residual precipitation on the outer  
109 optical window. A micro-rain radar (MRR-2; Metek) operated in close proximity  
110 was also used to detect and screen for precipitation events. Both fog and precipita-  
111 tion events were a common occurrence on this voyage (Kuma et al., 2019).

112 The NZ MetService’s Automated Weather Station (AWS) was positioned above  
113 the bridge of the R/V *Tangaroa* at 22.5 m. Relevant measurements included am-  
114 bient pressure, air temperature, relative humidity, wind speed, and wind direction.

115 AWS measurements were corrected to a height of 10 m as detailed in Hartery et al.  
 116 (2020). The bulk seawater temperature was measured at a depth of 5.5 m below  
 117 sea level with a thermistor (SBE38; Sea-Bird Scientific). We used the COARE 3.5  
 118 bulk-flux algorithms (Edson et al., 2013) to calculate the sea skin temperature from  
 119 the bulk temperature.

120 Sixty meteorological balloons were launched during the voyage. The radioson-  
 121 des (iMet-ABx; InterMet) recorded pressure, relative humidity, temperature and  
 122 wind speed. The radiosondes were launched twice daily once the ship passed the  
 123 60<sup>th</sup> parallel.

124 Regional meteorological forecasts were downloaded from the Antarctic  
 125 Mesoscale Prediction System (AMPS). AMPS initializes a new forecast every twelve  
 126 hours, with subsequent output provided every three hours. AMPS uses the Mellor-  
 127 Yamada-Janjić (MYJ) scheme, a 2.5-level closure model of turbulence, to predict  
 128 the behaviour of the planetary boundary layer (PBL). The height of the PBL pre-  
 129 dicted by AMPS is the height at which the turbulent kinetic energy falls below a  
 130 pre-determined threshold (Janjić, 2001). The AMPS data used in this study were  
 131 downloaded from: <https://www.earthsystemgrid.org/project/amps.html>. Fol-  
 132 lowing common practice (Jolly et al., 2016), only forecasts between 12–21 hours were  
 133 used, which provides a 12 hour spin-up.

### 134 3 Methods

135 The suspended particle cross-sectional surface area,  $A$ , was calculated from the  
 136 number concentration size spectra measured by the PCASP:

$$137 \quad A = \int \frac{dn}{d \log D_p} \pi \left( \frac{D_p}{2} \right)^2 d \log D_p \quad (1)$$

138 Where  $D_p$  is the particle diameter and  $n$  is the partial concentration of particles.  
 139 The surface area is dominated by the sea spray and accumulation mode particles  
 140 (97%, on average; Fig. 1d), which the PCASP can readily measure.

141 To quantify the boundary layer mixing state, we calculated the Spearman  
 142 Rank correlation between the time-series of  $A$  (Eq. 1), and the attenuated backscat-  
 143 ter measured by the ceilometer,  $\beta(z)$ . The attenuated backscatter was calculated  
 144 from the raw, range-corrected signal using a nominal value for the lidar con-  
 145 stant of  $1 \times 10^{-11}$ . However, the attenuated backscatter is a function not only of  
 146 the backscatter coefficient of particles, but also the backscatter coefficient from  
 147 molecules and the atmospheric transmission from the surface to the sample volume  
 148 (and back). As such, the Spearman Rank correlation was used as the correlation  
 149 coefficient, since non-linearities in the attenuated backscatter could potentially arise  
 150 from variations in these other factors. These correlations were calculated over a  
 151 moving window 12 hours wide. Shorter temporal windows risked correlating under-  
 152 lying instrument sampling noise from Poisson counting statistics. To avoid contami-  
 153 nation from cloud backscatter, only measurements below the 10<sup>th</sup>-percentile of CBH  
 154 were studied. The observations were also screened based on the ceilometer’s quality  
 155 control flag discussed in Section 2. Since the thermal properties of seawater result in  
 156 a very minor diurnal cycle in surface temperature (Schluessel et al., 1990), diurnal  
 157 cycles in PBL depth are rarely observed over the open ocean. Hence, correlations  
 158 between surface particulate and particulate aloft are determined by the presence  
 159 of turbulence or convection alone, where high correlations indicate a well-mixed  
 160 boundary layer.

161 To classify the boundary layer mixing state, we used two measures of atmo-  
 162 spheric stability: the Brunt-Väisälä Frequency,  $N$ , and the vertical shear strength,

163 *S*. These were calculated from the AWS measurements and the radiosondes, where:

$$164 \quad N^2 = \frac{g}{\theta_v} \frac{\partial \theta_v}{\partial z}$$

$$165 \quad S^2 = \left( \frac{\partial u}{\partial z} \right)^2 + \left( \frac{\partial v}{\partial z} \right)^2 \quad (2)$$

166 where  $g$  is the gravitational acceleration,  $\theta_v$  is the virtual potential temperature,  $u$   
 167 and  $v$  are the zonal and meridional components of the wind vector, and  $z$  the height  
 168 above sea level. These measures were then used to calculate the Richardson number,  
 169 *Ri*:

$$170 \quad Ri = \frac{N^2}{S^2} \quad (3)$$

171 The Richardson number arises in the time-dependent equation for the develop-  
 172 ment of turbulent kinetic energy, and generally predicts that turbulence will subside  
 173 for large values, and strengthen for low, or negative values (Richardson, 1920).  
 174 For radiosonde measurements, gradients were calculated using a 30 s wide linear  
 175 Savitzky-Golay filter. For a typical balloon ascent rate of 5 m s<sup>-1</sup>, this corresponds  
 176 to an altitude resolution of 150 m. For AWS measurements, gradients were calcu-  
 177 lated between the 10 m level and sea-level according to the COARE 3.5 bulk-flux  
 178 algorithms (Edson et al., 2013). To differentiate between the two, subscripts  $g$  and  $b$   
 179 are used to denote the gradient and bulk Richardson number. Finally, we calculated  
 180 the lifted condensation level (LCL) from the AWS measurements as an estimate of  
 181 CBH (Romps, 2017).

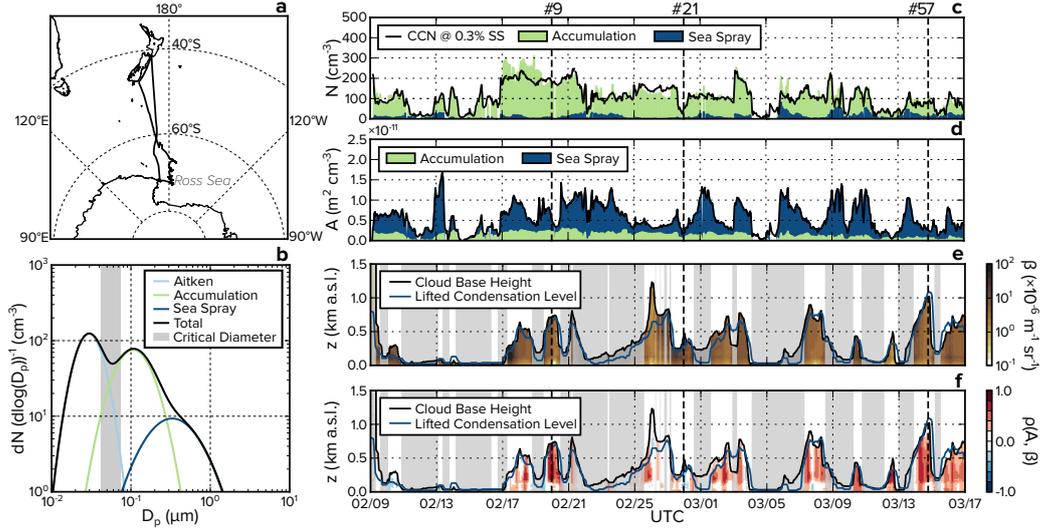
## 182 4 Results

### 183 4.1 Time Series Analysis

184 Throughout the voyage to and from the Ross Sea (voyage track shown in  
 185 Fig. 1a), the number–size distribution of particulate was predominantly trimodal.  
 186 This is consistent with previous observations in marine settings (Bates et al., 1998;  
 187 Quinn et al., 2017). Particles in the smallest two modes, the Aitken (30 nm,  $\sigma =$   
 188 1.4) and accumulation modes (100 nm,  $\sigma = 1.6$ ), are concomitant. These particles  
 189 are nucleated in-situ from the condensation of oxidized marine gasses and grow via  
 190 self-coagulation and condensation. In contrast, sea spray particles (400 nm,  $\sigma = 2$ )  
 191 are directly generated from breaking ocean waves, and tend to be much larger than  
 192 particles in the Aitken and accumulation mode (Prather et al., 2013).

193 A representative size distribution of particles observed in the Southern Ocean  
 194 marine boundary layer is shown in Fig. 1b. The bifurcation of the Aitken and accu-  
 195 mulation modes occurs when these particles pass through non-precipitating cloud,  
 196 since only the largest particles are activated (Hoppel et al., 1986). Previous research  
 197 has shown that the supersaturation of water vapour within nascent marine stratus  
 198 is relatively modest (<0.3%) (Hegg et al., 2009). An estimation of the activation  
 199 diameter based on a supersaturation of 0.3%, and a range of particle hygroscopicity  
 200 parameters is also shown in Fig. 1b. This coincides well with the local minimum  
 201 between the Aitken and accumulation mode.

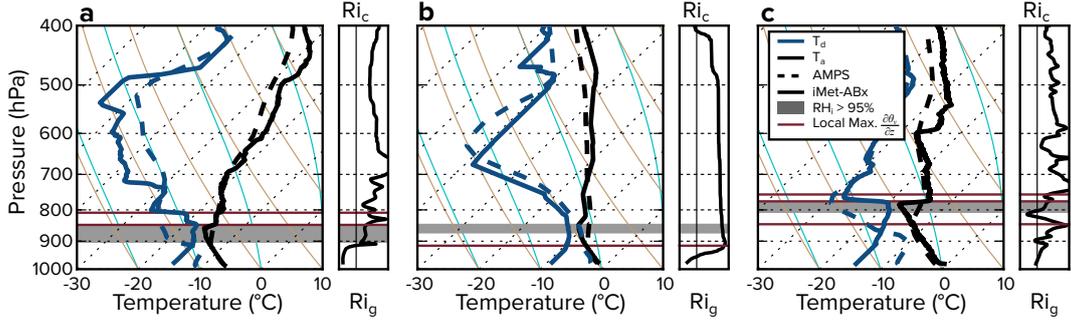
202 Fig. 1c displays the number of particles in both the accumulation and sea  
 203 spray modes, as these are the only particles relevant to cloud formation. This is  
 204 compared to the number concentration of CCN measured at a fixed supersaturation  
 205 of 0.3%. As expected, these two measurements are highly correlated. Across the  
 206 entire voyage, SSPs did not comprise a substantial fraction of CCN (14%). However,  
 207 in the latter half of the voyage we encountered several low pressure systems. These  
 208 cyclones were accompanied by high winds, resulting in substantial wave-breaking  
 209 and subsequent SSP generation in the region. This led to an enhanced relevance of  
 210 SSPs to CCN (20%).



**Figure 1.** (a) The track of the R/V *Tangaroa* during the Marine Environment and Ecosystem Voyage. (b) A typical size distribution for particles in the Southern Ocean. The expected range of cloud activation diameters for marine stratus is shown in grey. (c) The sea-level abundance of sea spray particles (SSPs; blue filled region) and accumulation mode particles (green filled region) is compared to the abundance of cloud condensation nuclei (CCN) at a supersaturation of 0.3% (black line). (d) The abundance of suspended surface area was calculated from the measured particle size distributions (Eq. 1). (e) A contour plot of the attenuated backscatter coefficient measured by the CHM-15K ceilometer. The lifted condensation level (LCL) and cloud base height (CBH) are also shown for reference. (f) Spearman Rank correlation coefficients between the sea-level abundance of particulate surface area and ceilometer backscatter are shown. Time periods when the ceilometer optical window was obscured by precipitation or by fog are shaded.

211 Fig. 1d shows the abundance of suspended particle surface area. Despite the  
 212 relatively low abundance of SSPs, the total amount of particulate surface area is  
 213 strongly dominated by variations in their abundance. In Fig. 1e we show the time  
 214 series of attenuated backscatter profiles measured by a coincident ceilometer, along  
 215 with running averages of cloud base height (CBH) and the lifted condensation level  
 216 (LCL). As previously discussed in (Kuma et al., 2019), the tight correspondence  
 217 between CBH and the LCL over the Southern Ocean implies that CBH is primarily  
 218 a function of surface temperature and relative humidity.

219 We used a Spearman Rank correlation analysis between suspended particle  
 220 surface area at sea-level (Fig. 1d) and ceilometer backscatter from particles over-  
 221 head (Fig. 1e) to assess whether our measurements at the surface were representa-  
 222 tive of the below-cloud population of CCN. Fig. 1 displays strong correlations  
 223 between these two quantities throughout the voyage when fog or precipitation did  
 224 not obscure the ceilometer observations. This suggests that the Southern Ocean  
 225 boundary layer was consistently well-mixed throughout this measurement campaign.  
 226 While correlations below 150 m seemed to be consistently weaker than aloft, this  
 227 was primarily a result of the CHM-15K’s sensitivity to near-field scattering. In a  
 228 comparison to the NIES lidar the CHM-15K systematically under-estimated the at-  
 229 tuated backscatter coefficient for altitudes less than 200–300 m (Jin et al., 2018).  
 230 Systematic errors in the near-range can result from a mis-calibrated lidar overlap  
 231 function.



**Figure 2.** a–c The left-hand panel shows Skew Temperature – log Pressure plots for three different radiosondes launched from the R/V *Tangaroa* (#9, #21, and #57; see Fig. 1 for launch time). Thin cyan and gold curves represent moist and dry adiabats, respectively. Thick, solid lines represent measured values, while thick, dashed lines are forecasts from the Antarctic Mesoscale Prediction System (AMPS). Local maxima in the gradient of virtual potential temperature ( $\partial\theta_v(\partial z)^{-1}$ ) were used to identify layer boundaries, while the relative humidity over ice ( $RH_i$ ) was used to identify cloud structures. The right-hand panel of each radiosonde shows the gradient Richardson Number,  $Ri_g$ , compared to the critical Richardson number for turbulence,  $Ri_c = 0.25$ .

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## 4.2 Radiosonde Analysis

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To validate the correlation analysis, we studied three representative radiosonde profiles from the 60 launched during the voyage. These are presented in Fig. 2a–c. The three radiosondes were selected to place our results from the correlation analysis within a more conventional analysis of boundary layer mixing. The radiosondes selected contrast conditions in which correlations between sea-level and column surface area were negative (b) and positive (a & c). To understand the state of mixing in the boundary layer, we calculated the gradient Richardson number,  $Ri_g$ , along these profiles.

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Radiosonde #9 (R9), represented a classically well-mixed boundary layer (Fig. 2a). Throughout the boundary layer, values of  $Ri_g$  were low, reflecting the strong vertical wind shear present from sea-level to cloud base. This agrees with our correlation analysis, which found strong correlations that persisted up to cloud base (Fig. 1f). In contrast, the weakly negative correlations throughout the launch of R21 indicated that the boundary layer was likely decoupled from the cloud. While low near sea-level, the value of  $Ri_g$  quickly grew throughout the boundary layer due to low vertical wind shears (R21, Fig. 2b). As a result, the boundary layer decoupled from the sub-cloud layer near 925 hPa. Boundary Layer decoupling occurred in R57, too; however in this case, the decoupled boundary layer was overlaid by a strongly sheared sub-cloud layer (Fig. 2c). In contrast to R21, correlations were high throughout R57. This suggests that mixing of particulate across the below-cloud inversion during R57 was possible as a result of the weak inversion ( $0.6 \text{ K km}^{-1}$ ) separating the layers and large vertical shear present in both the sub-cloud layer and boundary layer ( $Ri_g < 0.25$ ). By comparison, the below-cloud inversion observed during R21 was much stronger ( $3 \text{ K km}^{-1}$ ); which, in addition to the lack of vertical wind shear, strongly inhibited mass transfer from the boundary layer up to the cloud.

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Finally, despite differences in the mixing state the temperature profile in the boundary layer very closely followed a dry adiabat in all three cases. This provides

261 additional confirmation that the CBH should occur approximately at the LCL, as it  
 262 does in Fig. 1e & 1f.

### 263 4.3 Mixing State Classification

264 Throughout the voyage, the correlation analysis showed that the boundary  
 265 layer was either poorly-mixed, well-mixed, or contained fog (Fig. 1f), with the most  
 266 commonly-observed state being the well-mixed boundary layer. The boundary layer  
 267 was labeled ‘well-mixed’ if correlations were positive. It contained fog if the relative  
 268 humidity was 100% or the CBH was lower than 50 m. Failing either criteria, the  
 269 boundary layer was labeled ‘poorly-mixed.’ From these definitions, we optimized a  
 270 decision-tree classification system to predict the state of boundary layer mixing. For  
 271 predictor variables, we used the near-surface square of the Brunt-Väisälä frequency,  
 272  $N^2$ , and the wind speed,  $U_{10}$ .

273 We found that when the surface layer was stable ( $N^2 > 0$ ), fog was present.  
 274 However, if the surface layer was unstable and either of the following conditions were  
 275 met, then the boundary layer fell into the well-mixed category:

$$276 \quad \begin{aligned} N^2 &\leq -1.5 \times 10^{-3} \text{ s}^{-2} \\ U_{10} &\geq 7.8 \text{ m s}^{-2} \end{aligned} \quad (4)$$

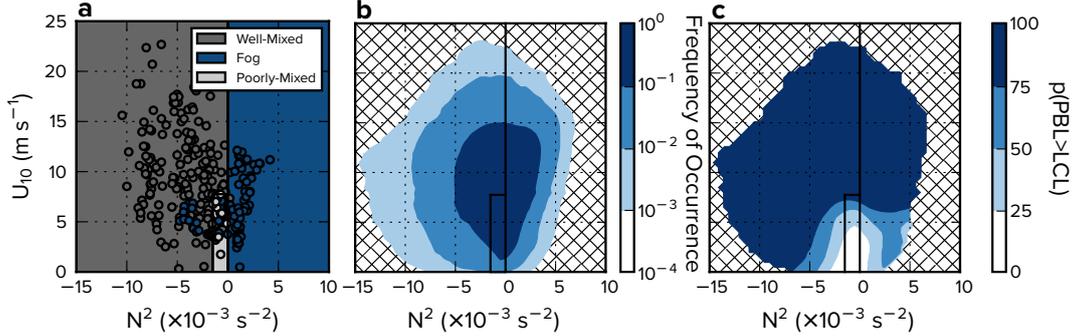
277 Otherwise, the boundary layer was poorly-mixed. In Fig. 3a these conditions are  
 278 compared to the original data labels. We find that the criteria identified above pro-  
 279 vide sufficient, but not necessary conditions for a well-mixed boundary layer. Since,  
 280 even in poorly-mixed conditions, the boundary layer was observed to be well-mixed  
 281 47% of the time. Similarly, a stable surface layer almost guaranteed the presence of  
 282 fog, but was not necessary for it to be observed. For instance, from February 13<sup>th</sup> to  
 283 17<sup>th</sup> a semi-continuous fog was present in spite of near-surface instability. Despite  
 284 these inconsistencies, the decision tree had an overall accuracy of 85% within our  
 285 observation period.

286 We believe that the blending of the mixing state of the boundary layer across  
 287 these thresholds is a result of air mass history. It is a well documented feature of the  
 288 atmosphere that while the Richardson number must drop below a critical threshold  
 289 for turbulence to initiate ( $Ri_g < 0.25$ )(Taylor, 1931; Miles, 1961), the Richardson  
 290 number of a turbulent system can pass back over this threshold and the system will  
 291 remain turbulent, even for much higher values of  $Ri_g$  (Galperin et al., 2007). The  
 292 resulting hysteresis leads to a large classification uncertainty in calm, near-neutral  
 293 conditions. We believe our classification results are subject to this type of hysteresis.

### 294 4.4 Boundary Layer Mixing over the Wider Southern Ocean

295 To extrapolate our results to broader spatial and temporal scales, we used fore-  
 296 casts from AMPS to examine rates of occurrence of the various mixing states. The  
 297 forecasts were validated against observations from radiosondes (Fig. 2; Table S1).  
 298 Overall, the measurements and predictions of the variables of interest were very well-  
 299 correlated and these relationships were highly statistically significant ( $p < 0.001$ ).

300 A joint histogram presented in Fig. 3b shows how often different boundary  
 301 layer states occurred over the Southern Ocean based on estimates from AMPS.  
 302 Overall, forecasts predict that the boundary layer is well-mixed 49% of the time,  
 303 poorly-mixed 8% of the time, and contains fog 43% of the time. Since the presence  
 304 of fog implies a total coupling between boundary layer aerosol and cloud, this means  
 305 that low-level cloud are potentially influenced by boundary layer particles 92% of  
 306 the time.



**Figure 3.** (a) The correlation analysis was used to decide whether the boundary layer was “well-mixed”, “poorly-mixed”, or if fog was present. Two variables,  $U_{10}$  and  $N^2$ , which describe the strength of turbulence from shear and instability, were used to classify these periods. (b) A joint histogram shows the frequency with which any combination of the bulk  $N^2$  and  $U_{10}$  was predicted over the Southern Ocean by the Antarctic Mesoscale Prediction System (AMPS) within the February–March, 2018 period. Both land and coastal seas ( $<100$  km) were masked. (c) The probability that the height of the planetary boundary layer (PBL) predicted by AMPS was deeper than the lifted condensation level (LCL).

307 We then calculated the probability that the planetary boundary layer (PBL)  
 308 thickness exceeded the LCL under those conditions in Fig. 3c. As observed in  
 309 Fig. 1e & 1f, CBH often occurred at the LCL. Comparing the thickness of the PBL  
 310 to the LCL therefore gives us a good measure of aerosol–cloud coupling from AMPS.  
 311 In unstable conditions, Fig. 3c agrees well with the threshold criteria in Eq. (4). It  
 312 also gives a better sense of the hysteresis of turbulence. The predictions from AMPS  
 313 suggest that while aerosol–cloud coupling can occur when the boundary layer stability  
 314 drops below the threshold in Eq. (4), coupling is not guaranteed at low wind  
 315 speeds until  $N^2$  falls below  $-4 \times 10^{-3}$  s<sup>-2</sup>. Similarly, near-surface winds must surpass  
 316  $8$  m s<sup>-1</sup>; which is in agreement with Eq. (4).

317 In stable conditions, AMPS predicted that the PBL was not always guaranteed  
 318 to be deeper than the LCL. However, when the atmosphere was stable, we only ever  
 319 observed fog (Fig. 3a). This indicates that within AMPS, the PBL was virtually  
 320 non-existent in calm, stable conditions. Overall, however, Fig. 3c confirms that the  
 321 Southern Ocean boundary layer is consistently well-mixed.

## 322 5 Discussion

323 Overall, we found that correlations between the abundance of suspended particle  
 324 surface area measured at sea-level and ceilometer backscatter were consistently  
 325 high throughout our observation period in the Southern Ocean (Fig. 1f). Given this  
 326 strong relationship, we can infer that turbulence, convection, or a combination of the  
 327 two is continually mixing particles from sea level up to cloud base height to main-  
 328 tain these high correlations. As a result, the optical thickness of the overlying cloud,  
 329 which is partially determined by cloud droplet number and cloud phase, is sensitive  
 330 to both the abundance and physicochemical properties of the particles measured at  
 331 the surface. This highlights the value of ship-based observations in aerosol–cloud  
 332 interaction studies, as these measurements are relevant to understanding the detailed  
 333 processes defining cloud formation and cloud properties in this region.

334 However, a well-mixed marine boundary layer is not always guaranteed, it is  
335 often stratified into a near-surface boundary layer and a sub-cloud layer (Garratt,  
336 1994). Radiosondes launched from Macquarie Island (54.62°S, 158.85°E) over the  
337 past two decades found that the boundary layer was well-mixed just 17.8% of the  
338 time; further, clouds were only present within the mixed boundary layer 68% of  
339 this time (12% overall) (Hande, Siems, Manton, & Belusic, 2012). The correlation  
340 analysis and forecasts of occurrence from the Antarctic Mesoscale Prediction Sys-  
341 tem (AMPS) we present here are thus markedly different. Forecasts from AMPS  
342 show that the boundary layer in the wider Southern Ocean region is well-mixed from  
343 sea-level to cloud base 92% of the time.

344 Part of the discrepancy between our results and previous radiosonde analyses  
345 may depend on whether weak temperature inversions prohibit mass transfer. Since,  
346 even in a stratified boundary layer it is still possible for boundary layer particulate  
347 to efficiently mix into overlying cloud. For example, in the Aerosol Characterization  
348 Experiment, wind shear within the sub-cloud layer was often strong enough to mix  
349 particulate from the boundary layer and into cloud (Russell et al., 1998). Indeed,  
350 Hande, Siems, Manton, and Belusic (2012) found that in half of the cases where the  
351 boundary layer was stratified by a temperature inversion, the layer overlying the  
352 boundary layer was significantly sheared. Here, we show that surface area correla-  
353 tions persist above inversions of at least  $0.6 \text{ K km}^{-1}$  (Fig. 1f & 2). Our correlation  
354 analysis is mostly sensitive to trends in the abundance of larger particles, which  
355 make up the bulk of suspended surface area. If these can be transferred across weak  
356 inversions, then smaller particles and water vapour are highly likely to be similarly  
357 mixed. Therefore, classifying the mixing state of the boundary layer based on corre-  
358 lations of particle surface area arguably provides a more robust definition of mixing  
359 than a thermodynamic analysis. As the boundary layer is typically in a well-mixed  
360 state, boundary-layer particulate are almost always available to low-lying cloud in  
361 the region.

362 We found that despite being readily-available to nascent clouds, sea spray par-  
363 ticles were typically outnumbered by smaller, cloud-processed particles (Fig. 1c),  
364 consistent with previous studies. However, these particles are among the only  
365 ice-nucleating particles in the region (DeMott et al., 2016). Climate models that  
366 determine the primary nucleation of ice within low-level clouds according to the  
367 abundance of boundary layer ice-nucleating particles see large improvements in  
368 predictions for the opacity of clouds in the cold sector of Southern Ocean cy-  
369 clones (Vergara-Temprado et al., 2018). This is a result of global climate models  
370 implicitly over-estimating the amount of ice formed during primary ice nucleation.  
371 While models must develop more realistic mechanisms for predicting cloud glaciation  
372 we have shown that low-level Southern Ocean clouds almost always have access to  
373 ice-nucleating particles in the boundary layer. Thus, they must also more carefully  
374 parameterize the flux of sea spray particles (Hartery et al., 2020).

## 375 6 Conclusions

376 In this work we presented a new technique for determining the state of bound-  
377 ary layer mixing based on the Spearman Rank correlation of sea-level observations  
378 of suspended particle surface area and ceilometer backscatter. Below-cloud, these  
379 correlations were often high, implying that particles measured at sea-level were  
380 well-mixed throughout the boundary layer and were therefore readily-available to  
381 nascent, low-level cloud. This agreed with our observation, and previous work across  
382 multiple voyages (Kuma et al., 2019), that the lifted condensation level generally  
383 coincides with cloud base height. This can only be true if water vapour, and as a re-  
384 sult particulate, is well-mixed throughout the boundary layer. Finally, we expanded  
385 our time-series analysis into a regional analysis of boundary layer mixing by gen-

386 erating a simple boundary layer classification system. We found that the Southern  
 387 Ocean boundary layer was well-mixed 92% of the time based on regional forecasts.  
 388 Thus, in-situ, sea-level observations offer substantial insight into clouds over the  
 389 Southern Ocean.

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