

1 **On the increase of climate sensitivity and cloud feedback with warming in the**  
2 **Community Atmosphere Models**

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8  
9 **Key Points:**

- 10 • ECS increases with CO<sub>2</sub>-induced global warming in CAM 6, 5, and 4, and is primarily  
11 attributed to the strengthening of cloud feedback.
- 12 • High-latitude  $\lambda_{\text{cld}}$  strengthens with warming due to a decrease of cloud ice fraction and a  
13 weakening of the negative cloud-phase feedback.
- 14 • Low-latitude  $\lambda_{\text{cld}}$  strengthening is linked to cloud thinning over subsidence regions likely  
15 caused by cloud interactions with water vapor.  
16

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17 **Plain Language Summary:** Equilibrium climate sensitivity (ECS) is defined as the equilibrium  
18 increase in global mean temperature as a result of a doubling of atmospheric CO<sub>2</sub> concentration.  
19 The latest assessment by the Intergovernmental Panel on Climate Change reported a likely ECS  
20 range of 1.5–4.5°C. Narrowing the ECS range is of paramount importance for prediction of  
21 future warming. Earth’s surface has experienced prolonged periods of large magnitude warming  
22 in the geological past, which provide important empirical information on ECS. To quantitatively  
23 use the paleoclimate information, we need a complete understanding of how ECS may depend on  
24 the background climate. In this study, we investigate the physical mechanisms responsible for  
25 the state dependence of ECS using three climate models that have distinct model physics. In all  
26 three models, we find that ECS grows as the background climate warms, i.e., a warmer climate is  
27 more sensitive to external forcing. We attribute the increase of ECS to both high- and low-  
28 latitude cloud processes. Over high latitudes, cloud ice fraction decreases with global warming,  
29 weakening the potential for mixed-phase clouds to reflect solar radiation and amplifying surface  
30 warming. Over low latitudes, global warming enhances the efficiency of processes that make  
31 clouds less opaque, again, amplifying surface warming.

32

33 **Abstract:** Modeling and paleoclimate proxy-based studies suggest that equilibrium climate  
34 sensitivity (ECS) depends on the background climate state, though the reason is not thoroughly  
35 understood. Here we study the state dependence of ECS over a large range of global mean  
36 surface temperature (GMST) in the Community Atmosphere Model (CAM) versions 4, 5, and 6  
37 by varying atmospheric CO<sub>2</sub> concentrations. We find a robust increase of ECS with GMST in all  
38 three models, albeit at different rates, which is primarily attributed to strengthening of the  
39 shortwave cloud feedback ( $\lambda_{\text{cld}}$ ) at both high and low latitudes. Over high latitudes, increasing  
40 GMST leads to a reduction in the cloud ice fraction, weakening the (negative) cloud-phase  
41 feedback due to the phase transition of cloud ice to liquid and thereby strengthening  $\lambda_{\text{cld}}$ . Over  
42 low-latitude regions, increasing GMST strengthens  $\lambda_{\text{cld}}$  likely through the nonlinear increase in  
43 water vapor, which causes low-cloud thinning through thermodynamic and radiative processes.

44

## 45 **1. Introduction**

46 ECS, defined as the equilibrium GMST increase to the radiative forcing caused by a  
47 doubling of atmospheric CO<sub>2</sub> concentrations, is an important metric of the severity of long-term  
48 climate change (e.g., Knutti, Rugenstein, & Hegerl, 2017). Because of its importance for  
49 projecting future climate and for making effective policies and adaptation plans, a tremendous  
50 effort has been made to quantify ECS since the 1960s (e.g., Manabe & Wetherald, 1967).  
51 Despite these efforts, ECS is still loosely constrained with a ‘likely’ range of 1.5–4.5°C that has  
52 remained essentially unchanged for 40 years (Charney et al., 1979; IPCC, 2013). ECS estimates  
53 from individual studies have a much larger range from ~1°C to more than 10°C depending on  
54 methods, models, and time periods of interest (Knutti et al., 2017). Studies using global climate  
55 models (GCMs) increasingly suggest that ECS depends on the background climate, which may  
56 partly explain the large range of ECS estimates in individual studies (Caballero & Huber, 2013;  
57 Colman & McAvaney, 2009; Hansen, Sato, Russell, & Kharecha, 2013; Jonko, Shell, Sanderson,  
58 & Danabasoglu, 2013; Kutzbach, He, Vavrus, & Ruddiman, 2013; Mauritsen et al., 2019;  
59 Meraner, Mauritsen, & Voigt, 2013; Wolf, Haqq-Misra, & Toon, 2018; Zhu, Poulsen, & Tierney,  
60 2019).

61 The large spread of pre-industrial (PI) climate ECS among GCMs has been attributed to  
62 uncertainties in the cloud feedback, which either amplifies or dampens the surface temperature  
63 response through changes in cloud radiative effects (Bony & Dufresne, 2005; Cess et al., 1990;  
64 Soden & Held, 2006; Zelinka et al., 2020). Modeling studies focusing on background climates  
65 other than PI suggest that the cloud feedback increases with GMST and contributes to the  
66 increase of ECS with global warming (Caballero & Huber, 2013; Hansen et al., 2013; Jonko et  
67 al., 2013; Mauritsen et al., 2019; Meraner et al., 2013; Wolf et al., 2018; Zhu et al., 2019). In

68 particular, an abrupt rise in the cloud feedback and ECS was reported in an Early Eocene  
69 simulation using the Community Climate System Model (CCSM3) when GMST exceeded  
70  $\sim 23^{\circ}\text{C}$  ( $\text{CO}_2 > 1120$  ppmv) (Caballero & Huber, 2013). In contrast, a recent Early Eocene  
71 simulation using the Community Earth System Model (CESM1.2, an updated version of CCSM3)  
72 showed continuous and larger increases in the cloud feedback and ECS with warming with no  
73 apparent threshold in GMST or  $\text{CO}_2$  concentrations (Zhu et al., 2019). The mechanism  
74 responsible for the increase in cloud feedback with global temperature in these GCM studies has  
75 not been thoroughly investigated (Caballero & Huber, 2013; Mauritsen et al., 2019; Meraner et  
76 al., 2013; Zhu et al., 2019).

77 In this study, we explore the state dependence of ECS and cloud feedback across a large  
78 range of  $\text{CO}_2$  levels in CAM versions 4, 5, and 6 within the framework of CESM. We analyze  
79 the state dependence of the cloud feedback through a decomposition of cloud regimes and cloud  
80 feedback components, and through a comparison between CAM versions.

## 81 **2. Models, experiments, and methods**

82 CAM 4, 5, and 6 within CESM are state-of-the-art models that have participated in the  
83 latest two phases of the Coupled Model Intercomparison Project (Danabasoglu et al., 2020;  
84 Hurrell et al., 2013). CAM5 differs from CAM4 in the physical parameterizations of radiation,  
85 boundary layer and shallow convection, aerosol, and cloud microphysics and macrophysics, with  
86 only the deep convection scheme unchanged (Hurrell et al., 2013). In CAM6, the boundary layer,  
87 shallow convection, and warm cloud macrophysics schemes have been replaced with the Cloud  
88 Layers Unified by Binormals parameterization (Gettelman et al., 2019). The two-moment  
89 microphysics scheme has been implemented for both stratiform and shallow convective clouds in

90 CAM6, in contrast to only stratiform clouds in CAM5. Due to these changes in physical  
91 parameterizations, CAM has made progressive improvements in cloud simulation when  
92 compared with satellite observations (Gettelman et al., 2019; Jiang et al., 2012; Kay et al., 2012;  
93 Klein et al., 2013). In slab ocean simulations (SOM) under modern conditions, ECS increases  
94 from 3.1°C in CAM4 to 4.2°C in CAM5 and to ~5.3°C in CAM6. The increasing ECS in CAM  
95 versions has been attributed to the updated radiation scheme and a strengthening of the positive  
96 cloud feedback due to improvements in the representation of cloud processes (Gettelman et al.,  
97 2019; Gettelman, Kay, & Shell, 2012).

98 To gain insights into the state-dependence of ECS and the cloud feedback, we performed  
99 SOM simulations with various atmospheric CO<sub>2</sub> levels. CAM6 simulations were carried out with  
100 1, 2, and 4× the PI CO<sub>2</sub> level (PIC; 284.7 ppmv); CAM5 simulations with 1, 2, 4, 8, and 12× PIC;  
101 and, CAM4 simulations with 1, 2, 4, 8, 16, and 32× PIC to cover a comparable range in GMST.  
102 Model instability in CAM6 8× and CAM5 16× experiments prevented us from finishing those  
103 simulations; instead, we conducted a CAM5 12× case. Each set of SOM simulations employ  
104 identical non-CO<sub>2</sub> PI boundary conditions, and mixed layer depths and heat transport  
105 convergence derived from corresponding fully coupled PI simulations with a dynamic ocean. To  
106 be consistent with the corresponding fully coupled simulations, CAM4 and CAM5 SOM  
107 simulations were run with a horizontal resolution of 1.9° × 2.5° (latitude × longitude) and CAM6  
108 with a resolution of 0.9° × 1.25°. In CESM2, CAM6 is coupled with updated versions of land  
109 and sea ice models, which do not impact the climate sensitivity (Gettelman et al., 2019). All  
110 SOM simulations were run for 60 model years. ECS for each climate state/CO<sub>2</sub> level is obtained  
111 by subtracting the final 20-year mean GMST in a SOM simulation from a corresponding one  
112 with twice the CO<sub>2</sub> level (e.g.  $ECS_{2\times} = GMST_{4\times} - GMST_{2\times}$ ). The GMST range (up to ~30°C)

113 covered in these simulations is broadly comparable to paleoclimate temperatures over the  
114 Cenozoic Era of Earth history (the past 66 million years).

115 To quantify the cloud feedback, we calculated the cloud feedback parameter ( $\lambda_{\text{cld}}$ ) using a  
116 two-way partial radiative perturbation (PRP) method (Colman, 2003; Zhu et al., 2019). We did  
117 not use radiative kernels because they were mostly developed for the present-day climate and  
118 their assumption of linearity may be violated under a large forcing (Jonko et al., 2013). Our PRP  
119 method used offline radiation calculations driven by 10 years of high frequency instantaneous  
120 radiation fields in CAM4 and CAM5, and 3 years of radiation fields in CAM6 due to the higher  
121 horizontal resolution and greater storage demand. We performed PRP analysis for three pairs of  
122 CO<sub>2</sub> experiments in CAM4 (1→2×, 4→8×, and 16→32×) and CAM5 (1→2×, 4→8×, and  
123 8→12×), and two pairs in CAM6 (1→2× and 2→4×). Additional PRP analyses were not feasible  
124 due to the large storage and computational cost of the analysis. Instead, we performed  
125 approximate PRP (APRP) analyses for all the simulations to quantify the shortwave  $\lambda_{\text{cld}}$  and its  
126 decomposition into contributions from changes in cloud amount, scattering, and absorption  
127 (Taylor et al., 2007). APRP is much less expensive and produces satisfactory results with  
128 differences from PRP less than 7% (Taylor et al., 2007; see also Figure 2 and Table S1). To  
129 further understand  $\lambda_{\text{cld}}$  variations, we implemented a PRP-based decomposition method to  
130 quantify the contribution from changes in individual cloud properties in CAM5 (Zhu & Poulsen,  
131 2019), e.g., the phase partitioning of cloud water between ice and liquid. We defer similar PRP-  
132 based decomposition in CAM6 and CAM4 to future work due to our limited computing and  
133 storage resources. Readers are referred to Zhu and Poulsen (2019) for details on the  
134 implementation of the PRP method.

### 135 3. Results

### 136 3.1 Increases of ECS and $\lambda_{\text{cld}}$ with warming

137 CAM 4, 5, and 6 predict GMSTs of  $\sim 15^\circ\text{C}$  in their PI simulations (1 $\times$ ; Figure 1a). Under  
 138 higher  $\text{CO}_2$  levels, CAM versions exhibit large inter-model differences in GMST. For example,  
 139 under 4 $\times$  PIC, CAM6 simulates a GMST of  $27.6^\circ\text{C}$ , which is  $4.3$  and  $6.5^\circ\text{C}$  higher than that in  
 140 CAM5 and CAM4, respectively. Inter-model differences in warming are much greater at  
 141 regional scales, exceeding  $10^\circ\text{C}$  over mid-latitude continents and the Arctic Ocean (Figure S1).

142 CAM 4, 5, and 6 all exhibit increases of ECS with global warming but at different rates  
 143 (Figure 1b). CAM6 ECS increases from the PI value of  $5.5^\circ\text{C}$  to  $6.9^\circ\text{C}$  under a warmer climate  
 144 with 2 $\times$  PIC. CAM5 exhibits a gradual increase in ECS with warming, rising from  $4.2$  to  $4.6$  and  
 145  $5.4^\circ\text{C}$  for the first, second and third  $\text{CO}_2$  doubling, respectively. In contrast, CAM4 ECS is  
 146 initially stable with values of  $\sim 3.2\text{--}3.4^\circ\text{C}$  when GMST is below  $\sim 23^\circ\text{C}$  ( $\text{CO}_2$  below 4 $\times$  PIC) and  
 147 exhibits substantial increases of 20–60% to  $3.9$  and  $5.1^\circ\text{C}$  at 8 and 16 $\times$  PIC, respectively.

148  $\lambda_{\text{cld}}$  variations between CAM versions and their dependence on GMST in each model  
 149 closely follow the ECS changes (Figure 1c; see Table S1 for values with uncertainty and a  
 150 comparison between results using PRP and APRP). Similar to the increase of CAM6 ECS with  
 151  $\text{CO}_2$ -induced warming,  $\lambda_{\text{cld}}$  in CAM6 increases from  $0.97 \pm 0.03$  ( $1\sigma$ ) in 1 $\times$  to  $1.07 \pm 0.02$   $\text{W m}^{-2}$   
 152  $\text{K}^{-1}$  in 2 $\times$  PIC. CAM5  $\lambda_{\text{cld}}$  increases gradually with the background warming from  $0.60 \pm 0.05$  to  
 153  $0.79 \pm 0.04$  and to  $1.03 \pm 0.02$   $\text{W m}^{-2} \text{K}^{-1}$  in 1, 4, and 8 $\times$  PIC (calculated using 8 and 12 $\times$ ),  
 154 respectively. CAM4  $\lambda_{\text{cld}}$  values are  $0.15 \pm 0.12$  and  $0.21 \pm 0.07$   $\text{W m}^{-2} \text{K}^{-1}$  in background states of  
 155 1 and 4 $\times$  PIC, respectively, and exhibit a substantial increase to  $0.37 \pm 0.05$   $\text{W m}^{-2} \text{K}^{-1}$  at 16 $\times$  PIC.  
 156 The overall increases of  $\lambda_{\text{cld}}$  with warming in CAM5 and CAM4 are consistent with previous  
 157 Eocene simulations that used similar models and covered a comparable GMST range (Caballero



158 & Huber, 2013; Zhu, Poulsen, & Otto-Bliesner, 2020; Zhu et al., 2019). Overall, the majority of  
159 the  $\lambda_{\text{cld}}$  increase in CAM versions is attributable to increases in the shortwave component (Figure  
160 1c).

161 Increases in ECS with GMST in these experiments are primarily attributed to the cloud  
162 feedback. Using a bulk estimation method (e.g., Zelinka et al., 2020), we calculate a hypothetical  
163 ECS that would exist if the cloud feedback changed but the radiative forcing and non-cloud  
164 feedbacks were kept unchanged (Text S1 and Table S2). Our results suggest that increases in  $\lambda_{\text{cld}}$   
165 explain ~70% (~1°C) of the total ECS increases in these simulations. The remaining ECS  
166 changes are attributable to non-cloud feedbacks and enhancements of the efficacy of CO<sub>2</sub>  
167 radiative forcing (Byrne & Goldblatt, 2014; Caballero & Huber, 2013; Hansen et al., 2005;  
168 Meraner et al., 2013; Zhu et al., 2019). The predominance of  $\lambda_{\text{cld}}$  in driving the state dependence  
169 of ECS is consistent with complete forcing-feedback analyses in previous simulations of past  
170 warm climates (Caballero & Huber, 2013; Zhu et al., 2019).

### 171 3.2 $\lambda_{\text{cld}}$ decomposition into cloud regimes and components

172 To understand its state dependence, we broadly divide  $\lambda_{\text{cld}}$  into three cloud regimes: high-  
173 latitude ( $\lambda_{\text{cld\_hlat}}$ ; 30–90°S/N), low-latitude subsidence ( $\lambda_{\text{cld\_subs}}$ ; 30°S–30°N and  $\omega_{500} > 0$ ), and  
174 low-latitude ascending ( $\lambda_{\text{cld\_asce}}$ ; 30°S–30°N and  $\omega_{500} < 0$ ). Monthly mean 500-hPa vertical  
175 velocity ( $\omega_{500}$ ) is used to distinguish low-latitude ascending and subsidence regimes (Bony &  
176 Dufresne, 2005). Our cloud regime division is based on the understanding that cloud feedback  
177 processes are complex and exhibit distinct spatial patterns (Ceppi, Brient, Zelinka, & Hartmann,  
178 2017; Gettelman & Sherwood, 2016):  $\lambda_{\text{cld\_hlat}}$  is mostly impacted by storm dynamics and  
179 thermodynamic changes in cloud water content and phase;  $\lambda_{\text{cld\_asce}}$  is primarily controlled by

180 tropical radiative-convective processes; and  $\lambda_{\text{cld\_subs}}$  is determined by the complicated interplay  
181 between radiation, boundary layer turbulence, convection, and large-scale dynamics. The extent  
182 of individual cloud regimes varies little in our simulations (Table S3), such that their  
183 contribution to the global mean  $\lambda_{\text{cld}}$  primarily reflects changes in the magnitude of  $\lambda_{\text{cld}}$  over  
184 individual regimes, not their spatial coverage. In the following analysis, we weight  $\lambda_{\text{cld}}$  over  
185 individual regimes by their fractional area coverage, such that summing over regimes recovers  
186 the global mean  $\lambda_{\text{cld}}$ .

187 Over high latitudes, CAM5 and CAM6 show an increase of  $\lambda_{\text{cld\_hlat}}$  with GMST that  
188 originates primarily from the shortwave component (Figure 2a–c). In CAM5, the shortwave  
189  $\lambda_{\text{cld\_hlat}}$  initially increases by  $\sim 0.14 \text{ W m}^{-2} \text{ K}^{-1}$  with warming from 14.4 to 23.3°C (1 to 4× PIC)  
190 and appears to nearly saturate at higher GMSTs. CAM6 exhibits a slightly larger shortwave  
191  $\lambda_{\text{cld\_hlat}}$  increase with warming from 15.2 to 20.8°C (1 to 2× PIC). Due to an instability in CAM6  
192 at higher GMSTs, we are not able to determine whether shortwave  $\lambda_{\text{cld\_hlat}}$  saturates with  
193 additional warming as in CAM5. APRP decomposition suggests that the shortwave  $\lambda_{\text{cld\_hlat}}$   
194 increases in CAM5 and CAM6 are dominated by changes in cloud scattering (Figure 2d) rather  
195 than cloud amount (Figure 2e). CAM4 cloud-scattering feedback also increases with warming  
196 but at a much smaller rate and saturates at a lower GMST (Figure 2d).

197 Over the low-latitude ascending regime, CAM 4, 5, and 6 exhibit remarkable inter-model  
198 consistency in the increase of longwave  $\lambda_{\text{cld\_asce}}$  with GMST ( $\sim 0.01 \text{ W m}^{-2} \text{ K}^{-1}$  per K of global  
199 warming; Figure 2g). This strengthening of longwave  $\lambda_{\text{cld\_asce}}$  likely reflects nonlinear lifting of  
200 the tropical deep convective clouds with warming that is driven by radiative cooling of water  
201 vapor within the framework of radiative convective equilibrium and the fixed anvil temperature

202 hypothesis (Hartmann & Larson, 2002). The shortwave  $\lambda_{\text{cld\_asce}}$  exhibits much less inter-model  
203 consistency (Figure 2h).

204 Over the low-latitude subsidence regime, both CAM4 and CAM5 exhibit a  $\lambda_{\text{cld\_subs}}$  increase  
205 in excess of  $0.1 \text{ W m}^{-2} \text{ K}^{-1}$  when background GMSTs increase from  $\sim 20\text{--}23^\circ\text{C}$  to  $\sim 29^\circ\text{C}$  (Figure  
206 2k). The  $\lambda_{\text{cld\_subs}}$  increase is from the shortwave component, with a greater increase in CAM4  
207 shortwave that is partly compensated by a larger decrease in the longwave feedback (Figure  
208 2l,m). APRP decomposition suggests that the shortwave  $\lambda_{\text{cld\_subs}}$  increase is primarily caused by  
209 changes in cloud scattering (Figure 2n), i.e. clouds become increasingly thinner with warming in  
210 both CAM4 and CAM5. With background GMSTs below  $\sim 20\text{--}23^\circ\text{C}$ , CAM5 and CAM6 show a  
211 decrease of shortwave  $\lambda_{\text{cld\_subs}}$  with warming, which is insignificant in CAM4 (Figure 2m). The  
212 shortwave  $\lambda_{\text{cld\_subs}}$  decrease at lower GMSTs is associated with small reductions in both cloud  
213 amount and scattering feedbacks (Figure 2m–o).

#### 214 4. Discussion

215 Model physical parameterizations differ substantially among CAM versions (Danabasoglu  
216 et al., 2020; Hurrell et al., 2013); nevertheless, some aspects of the temperature dependence in  
217  $\lambda_{\text{cld}}$  are remarkably consistent between models. We suggest that inter-model consistent behaviors  
218 likely result from basic physical mechanisms that are largely independent of the details of the  
219 physical parameterizations, and therefore more robust. We next discuss such mechanisms.

#### 220 4.1 High-latitude cloud-phase feedback

221 The phase transition from cloud ice to liquid likely explains most of the temperature  
222 dependence of  $\lambda_{\text{cld\_hlat}}$  in CAM5. In comparison to ice, liquid clouds reflect more shortwave

223 radiation because liquid droplets are much smaller in size and precipitate less efficiently than ice  
224 crystals (Pruppacher & Klett, 1997). The phase transition of cloud ice to liquid constituents a  
225 negative cloud-phase feedback (Mitchell, Senior, & Ingram, 1989) that weakens with  
226 temperature increase (Tan, Storelvmo, & Zelinka, 2016). We quantified this cloud-phase  
227 feedback in CAM5 simulations using a PRP-based approach (Zhu & Poulsen, 2019). As  
228 expected, in response to the warming induced by the first CO<sub>2</sub> doubling (1→2×) in CAM5, the  
229 shortwave cloud-phase feedback is negative and lowest in the Southern Ocean ( $\sim -1.5 \text{ W m}^{-2} \text{ K}^{-1}$ )  
230 and the Northern Hemisphere mid- and high-latitudes ( $-0.2$ — $-0.6 \text{ W m}^{-2} \text{ K}^{-1}$ ) (Figure 3c;  
231 longwave component is small and not shown). As the climate warms, the overall cloud ice  
232 fraction decreases (Figure 3a,b) and the mixed-phase clouds shift to higher altitude. In response  
233 to the third CO<sub>2</sub> doubling (4→8×) in CAM5, the cloud-phase feedback weakens over most of the  
234 mid- and high-latitudes to values higher than  $-0.4 \text{ W m}^{-2} \text{ K}^{-1}$  (Figure 3d). The weakening of the  
235 cloud-phase feedback contributes an increase of  $0.11 \text{ W m}^{-2} \text{ K}^{-1}$  to changes in the global mean  
236  $\lambda_{\text{cld}}$ , explaining  $\sim 80\%$  of its temperature dependence below a GMST of  $\sim 23^\circ\text{C}$  (4× PIC). This  
237 result indicates that other relevant processes, such as the dynamical poleward shift of storm  
238 tracks (Grise & Polvani, 2014), the thermodynamic increase of cloud water content with  
239 temperature (Betts & Harshvardhan, 1987), and changes in cloud particle size (Zhu & Poulsen,  
240 2019), are overall less temperature dependent or they cancel with each other.

241 In CAM5, the PI cloud-phase feedback of  $-1.5 \text{ W m}^{-2} \text{ K}^{-1}$  over the Southern Ocean is  
242 much larger than observation-based estimates (McCoy, Hartmann, & Grosvenor, 2014), which is  
243 consistent with the well-known fact that CAM5 has insufficient amounts of supercooled liquid in  
244 mixed-phase clouds (too much cloud ice) (Frey & Kay, 2018; Kay et al., 2016). Although the  
245 cloud-phase feedbacks have not yet been quantified in CAM4 and CAM6, we expect that they

246 exhibit a similar overall weakening with warming based on basic thermodynamics (Tan et al.,  
 247 2016). Details of the cloud-phase feedback (e.g. rates of change with warming and the saturation  
 248 temperature) should depend on the microphysical parameterizations of mixed-phase clouds  
 249 (McCoy, Tan, Hartmann, Zelinka, & Storelvmo, 2016) and need future study.

#### 250 **4.2 Low-latitude cloud thinning**

251 We hypothesize that the increase of  $\lambda_{\text{cld\_subs}}$  with warming results from the exponential  
 252 increase of water vapor ( $q$ ) with GMST (the Clausius-Clapeyron relation; C-C relation) and the  
 253 associated thermodynamic and radiative cloud thinning processes, i.e. the decrease in cloud  
 254 optical thickness with warming. The thermodynamic mechanism involves a nonlinear  
 255 temperature dependence in the moisture gradient ( $\Delta q$ ) between the free troposphere (FT) and the  
 256 planetary boundary layer (PBL). With the same amount of turbulent entrainment, a larger  $\Delta q$   
 257 means that relatively drier FT air is mixed into the PBL, producing thinner low clouds  
 258 (Bretherton, 2015; van der Dussen, de Roode, Dal Gesso, & Siebesma, 2015). Recent studies  
 259 have emphasized the role of  $\Delta q$  in regulating cloud-top entrainment and as a predictor for low  
 260 clouds (Eastman & Wood, 2018; Kawai, Koshiro, & Webb, 2017). To demonstrate this  
 261 mechanism, we examine  $\Delta q$  (defined here as  $q_{1000\text{hPa}} - q_{700\text{hPa}}$ ) over the low-latitude subsidence  
 262 regime using the concept of cloud-controlling factors (see Klein, Hall, Norris, & Pincus, 2017 for  
 263 a review of cloud-controlling factors):

$$264 \quad \lambda_{\text{cld\_subs}} = \frac{d\text{CRE}}{d\text{GMST}} = \frac{\partial\text{CRE}}{\partial\Delta q} \frac{d\Delta q}{d\text{GMST}} \quad (1).$$

265 Equation (1) expresses that cloud radiative effects (CRE) respond to changes in  $\Delta q$  ( $\frac{\partial\text{CRE}}{\partial\Delta q} > 0$ ),

266 which, in turn, is a function of GMST.  $\Delta q$  is enhanced by warming ( $\frac{d\Delta q}{d\text{GMST}} > 0$ ) because

267 humidity increases at a higher rate within the PBL than the FT (Figure 4a), consistent with the C-  
268 C relation. CAM simulations further suggest that the nonlinear C-C relation yields a non-  
269 constant  $\frac{d\Delta q}{d\text{GMST}}$  that increases with GMST (Figure 4b), giving rise to a  $\lambda_{\text{cld\_subs}}$  increase with  
270 warming.

271 The radiative mechanism lies in the downwelling longwave radiation associated with the  
272 nonlinear increase of FT water vapor with GMST. Greater downwelling longwave radiation from  
273 the FT reduces cloud-top longwave cooling in the boundary layer, which weakens convection  
274 between the cloud layer and the surface and reduces the optical thickness of low clouds by  
275 decoupling them from their surface moisture supply (Bretherton, 2015; Schneider, Kaul, &  
276 Pressel, 2019). This radiative cloud thinning mechanism has been identified from satellite  
277 observations and large-eddy simulations (Bretherton, 2015; Christensen, Carrió, Stephens, &  
278 Cotton, 2013; Schneider et al., 2019), but is difficult to quantify within a GCM. Nevertheless,  
279 this mechanism is based on basic physics and intrinsically nonlinear, and appears to be consistent  
280 with the increase of  $\lambda_{\text{cld\_subs}}$  with warming in CAM4 and CAM5.

281 In addition to water vapor-related mechanisms, we have also examined other cloud-  
282 controlling factors including the estimated inversion strength (EIS; a metric for the lower-  
283 tropospheric stability; Figure 4c,d), the subsidence strength (Myers & Norris, 2013), and the  
284 surface wind speed (Bretherton, Blossey, & Jones, 2013) (Figure S2 and Text S2). A decrease in  
285 EIS enhances the mixing between the dry FT and the moist PBL, thinning low clouds ( $\frac{\partial \text{CRE}}{\partial \text{EIS}} < 0$ )  
286 (Wood & Bretherton, 2006). In CAM4 and CAM5, the sensitivity of EIS to GMST ( $\frac{d\text{EIS}}{d\text{GMST}}$ )  
287 initially weakens and then strengthens substantially with GMST increases (Figure 4a,b),  
288 resembling the temperature dependence of the shortwave  $\lambda_{\text{cld\_subs}}$  (Figure 2m,n). These results

289 suggest that variations of the lower-tropospheric stability with warming may also contribute to  
290 the temperature-dependent  $\lambda_{\text{cld\_subs}}$  in CAM4 and CAM5. Additional analyses indicate that  
291 surface winds over the subsidence regime weaken with warming, likely contributing to the  
292 weakening of  $\lambda_{\text{cld\_subs}}$  below a GMST of  $\sim 20^\circ\text{C}$  (Figure 2m–o; Figure S2 and Text S2) through  
293 decreasing latent heat fluxes (Bretherton, Blossey, & Jones, 2013).

294 We point out here that the cloud-controlling factors covary, making it difficult to  
295 conclusively compare their individual role in coupled processes. For example, the lower-  
296 tropospheric stability is largely controlled by the pattern of surface warming and, therefore,  
297 closely coupled with the cloud feedback (Ceppi & Gregory, 2017; Erfani & Burls, 2019). We  
298 note further that the state dependence of  $\lambda_{\text{cld}}$  could originate from the sensitivity of CRE on the  
299 cloud-controlling factors, which should depend on the details of model physical  
300 parameterizations (Klein et al., 2017). Further studies are needed to separate contributions from  
301 individual cloud-controlling factors and to investigate the nonlinearities in the dependence of  
302 CRE on the cloud-controlling factors, as well as the interactions of these cloud processes with  
303 dynamically evolving SST patterns.

## 304 5. Conclusions

305 In this study, we have explored ECS and the cloud feedback over a broad range of climate  
306 conditions by varying the atmospheric  $\text{CO}_2$  concentrations in the latest three generations of CAM  
307 (versions 4, 5, and 6). Our simulations show that ECS and  $\lambda_{\text{cld}}$  increase with global warming in  
308 all three CAM versions and their inter-model differences become much larger at high  $\text{CO}_2$  levels.  
309 In CAM6, ECS and  $\lambda_{\text{cld}}$  are  $5.5^\circ\text{C}$  and  $0.97 \text{ W m}^{-2} \text{ K}^{-1}$  under preindustrial conditions,  
310 respectively, and they increase to  $6.9^\circ\text{C}$  and  $1.07 \text{ W m}^{-2} \text{ K}^{-1}$  for the second  $\text{CO}_2$  doubling. In

311 CAM5, ECS is 4.2°C under preindustrial conditions and increases gradually with GMST to 4.6  
312 and 5.4°C for the second and third CO<sub>2</sub> doubling, respectively. Likewise, CAM5  $\lambda_{\text{cld}}$  increases  
313 gradually from a preindustrial value of 0.60 to 0.79 W m<sup>-2</sup> K<sup>-1</sup> for the third CO<sub>2</sub> doubling. In  
314 CAM4, both ECS and  $\lambda_{\text{cld}}$  increases at GMSTs in excess of ~23°C (4× PIC) with ECS increasing  
315 from ~3°C to > 5°C and  $\lambda_{\text{cld}}$  from ~0.2 to ~0.4 W m<sup>-2</sup> K<sup>-1</sup>.  $\lambda_{\text{cld}}$  increases are dominated by the  
316 shortwave component and explain > 70% of the total ECS increases in the CAM simulations,  
317 suggesting a major role for the shortwave cloud feedback in setting the state dependence of ECS  
318 over a broad range of GMST.

319 We evaluate  $\lambda_{\text{cld}}$  over individual cloud regimes and identify robust temperature-dependent  
320 processes including (1) a high-latitude increase of shortwave  $\lambda_{\text{cld}}$  with warming when GMST <  
321 ~20–23°C, (2) a low-latitude increase of shortwave  $\lambda_{\text{cld}}$  with warming over the subsidence  
322 regime when GMST > ~20°C, and (3) a low-latitude increase of longwave  $\lambda_{\text{cld}}$  with warming  
323 over the ascending regime. Using a PRP-based  $\lambda_{\text{cld}}$  decomposition, we attribute ~80% of the  
324 high-latitude  $\lambda_{\text{cld}}$  increase in CAM5 to a weakening of the negative cloud-phase feedback, i.e., a  
325 decrease in the cloud glaciation rate with warming. The  $\lambda_{\text{cld}}$  increase over the low-latitude  
326 subsidence regime is hypothesized to be caused by the near exponential increase of water vapor  
327 with GMST, which leads to nonlinear cloud thinning through thermodynamic and radiative  
328 processes that should be largely independent of the details of the model physical  
329 parameterizations. The thermodynamic mechanism involves a nonlinear increase of the moisture  
330 gradient between the free troposphere and the PBL that enhances low-cloud thinning through  
331 mixing. The radiative mechanism involves the nonlinear increases of downwelling longwave  
332 radiation reaching cloud tops that suppresses convection and thins low clouds.

333



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338 development repository ([https://svn-ccsm-  
339 models.cgd.ucar.edu/cesm1/release\\_tags/cesm1\\_2\\_2\\_1/](https://svn-ccsm-models.cgd.ucar.edu/cesm1/release_tags/cesm1_2_2_1/)) and the GitHub repository  
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344 analysis will be published in the Zenodo repository (<https://doi.org/10.5281/zenodo.3695929>).  
345 Additional simulation data can be requested by contacting J.Z. ([jiangzhu@ucar.edu](mailto:jiangzhu@ucar.edu)).

346 **References:**

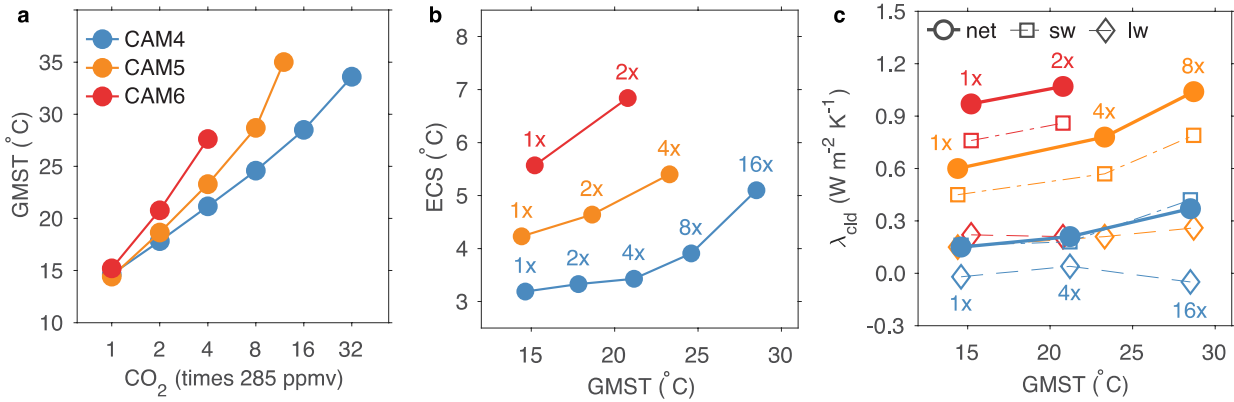
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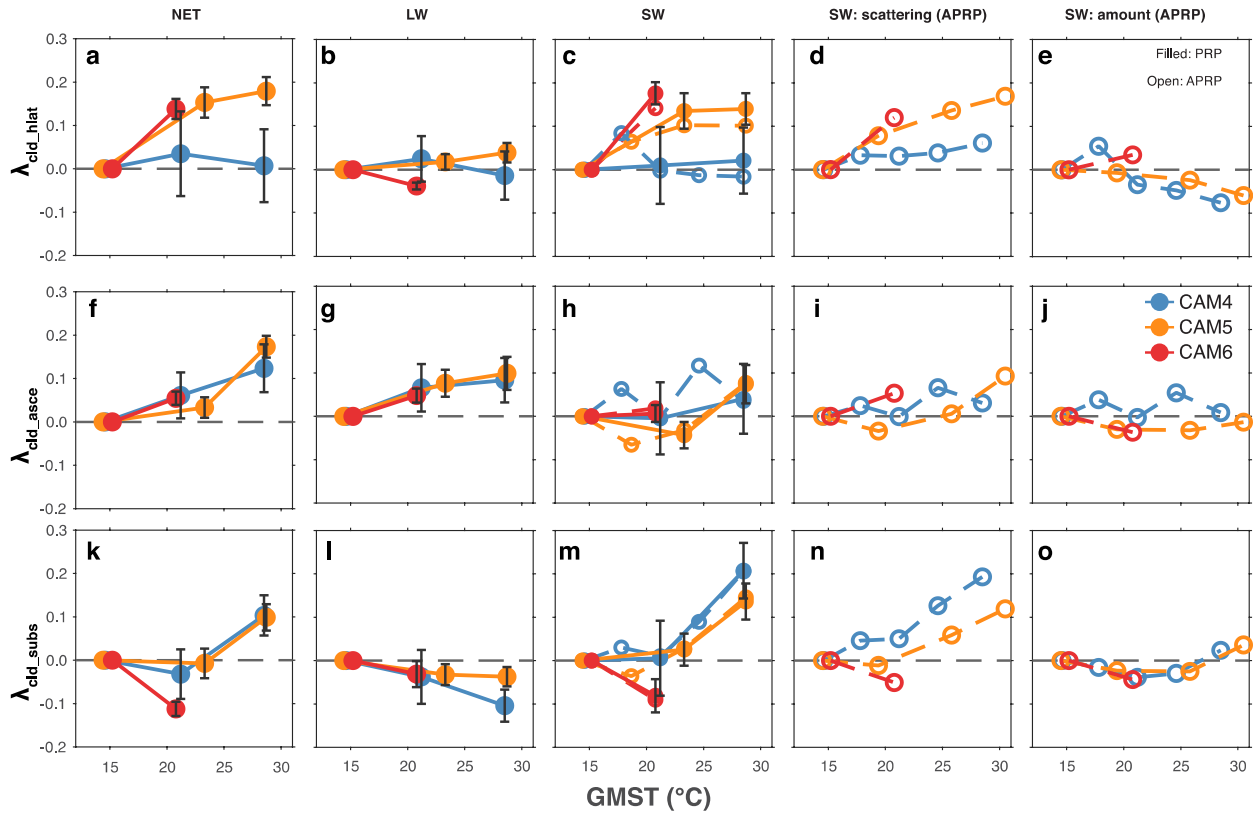
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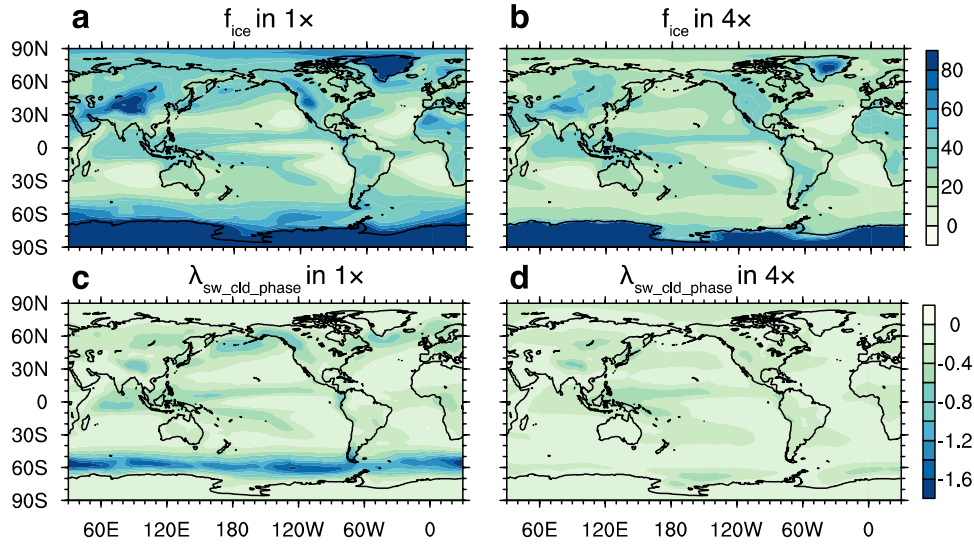
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**Figure 1.** (a) GMST as a function of the atmospheric CO<sub>2</sub> concentration in SOM simulations using CAM 4, 5, and 6. (b) ECS and (c)  $\lambda_{\text{cld}}$  as a function of GMST.  $\lambda_{\text{cld}}$  (filled circles in c) is decomposed into shortwave (open squares) and longwave (open diamonds) components. Note that blue open squares (shortwave  $\lambda_{\text{cld}}$  for CAM4) lie behind the blue filled circles (total  $\lambda_{\text{cld}}$  for CAM4) in (c). The PRP analysis was performed for three pairs of CO<sub>2</sub> experiments in both CAM4 and CAM5, and two pairs in CAM6. CO<sub>2</sub> concentrations (in times preindustrial value) are listed in (b) and (c). The standard deviation of  $\lambda_{\text{cld}}$  is approximately 0.10 W m<sup>-2</sup> K<sup>-1</sup> in CAM4 and less than 0.05 W m<sup>-2</sup> K<sup>-1</sup> in CAM5 and CAM6; detailed numbers can be found in Table S1.



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529 **Figure 2.** Changes in the cloud feedback parameter ( $\lambda_{\text{cld}}$ ; units:  $\text{W m}^{-2} \text{K}^{-1}$ ) relative to values  
 530 under the preindustrial conditions. (a)  $\lambda_{\text{cld}}$  over the high-latitude regime ( $30^{\circ}\text{S}$ – $90^{\circ}\text{S/N}$ ;  $\lambda_{\text{cld\_hlat}}$ ) as a  
 531 function of GMST in the simulations and its (b) longwave and (c) shortwave components. Using  
 532 APRP, the shortwave  $\lambda_{\text{cld}}$  is further decomposed into contributions from changes in (d) cloud  
 533 scattering and (e) amount. PRP and APRP results are shown as filled and open circles,  
 534 respectively. (f)–(j) The same as (a)–(e), but for the low-latitude ( $30^{\circ}\text{S}$ – $30^{\circ}\text{N}$ ) ascending regime  
 535 ( $\lambda_{\text{cld\_asce}}$ ). (k)–(o) The same as (a)–(e), but for the low-latitude ( $30^{\circ}\text{S}$ – $30^{\circ}\text{N}$ ) subsidence regime  
 536 ( $\lambda_{\text{cld\_subs}}$ ). To compare the GMST dependence among models,  $\lambda_{\text{cld}}$  has been aligned based on their  
 537 PI values and weighted by the area fraction of each cloud regime, such that summing over  
 538 individual regimes recovers changes in global mean. Error bar in (a)–(c), (f)–(h), and (k)–(m)  
 539 denotes the standard deviation in PRP analysis.

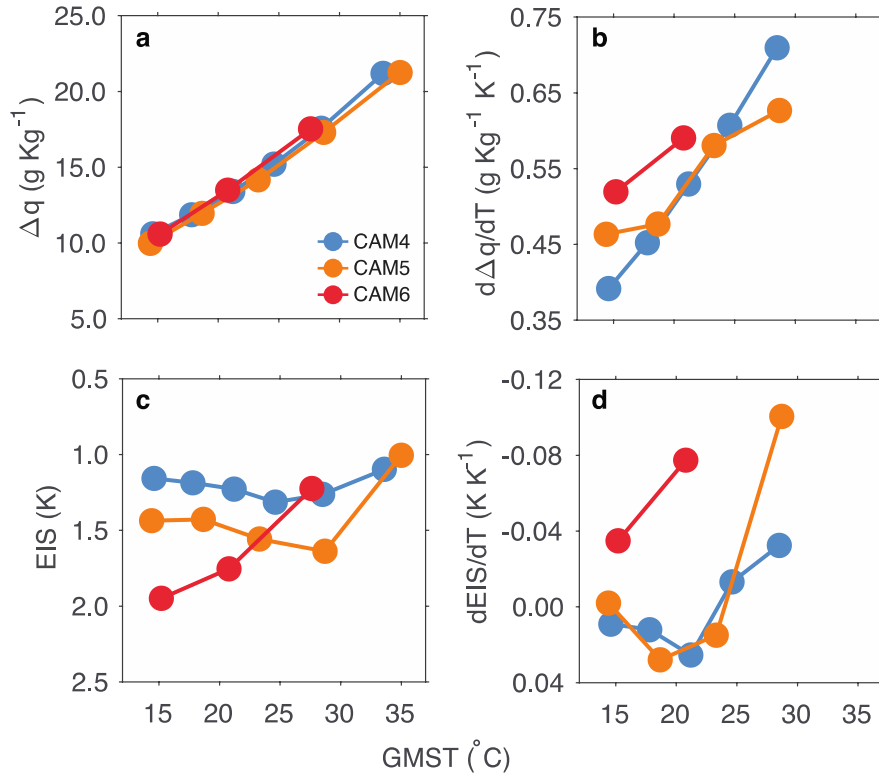


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541 **Figure 3.** (a) Bulk cloud ice fraction (units: %) in CAM5 PI simulation. (b) The same as (a), but  
 542 for simulation with 4× PIC. (c) The shortwave cloud-phase feedback (units:  $W\ m^{-2}\ K^{-1}$ ) in  
 543 CAM5 PI simulation. (d) The same as (c), but for simulation with 4× PIC.

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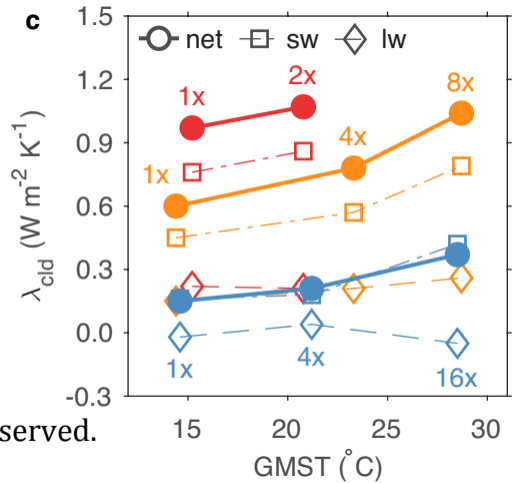
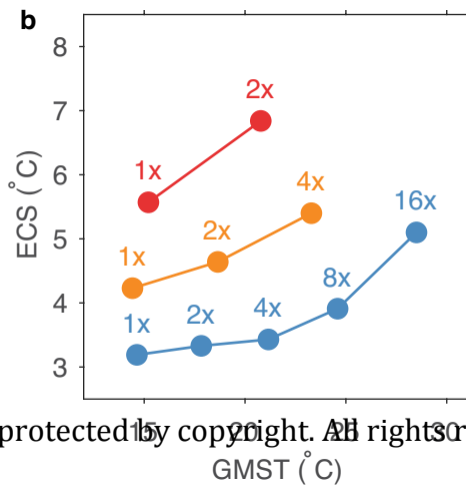
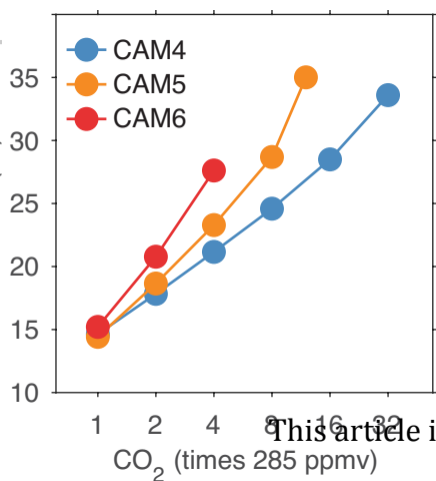
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**Figure 4.** (a)  $\Delta q$ , the moisture gradient between the free troposphere and the PBL ( $q_{1000hPa} - q_{700hPa}$ ), over the low-latitude subsidence regime as a function of GMST in the simulations. (b) The same as (a), but for  $\frac{d\Delta q}{dGMST}$ , the sensitivity of  $\Delta q$  to GMST changes. (c) and (d) The same as (a) and (b), but for EIS. Note that vertical axes in (c) and (d) are reversed such that upward changes indicate a positive contribution to  $\lambda_{cld}$ .

Figure 1.

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Figure 2.

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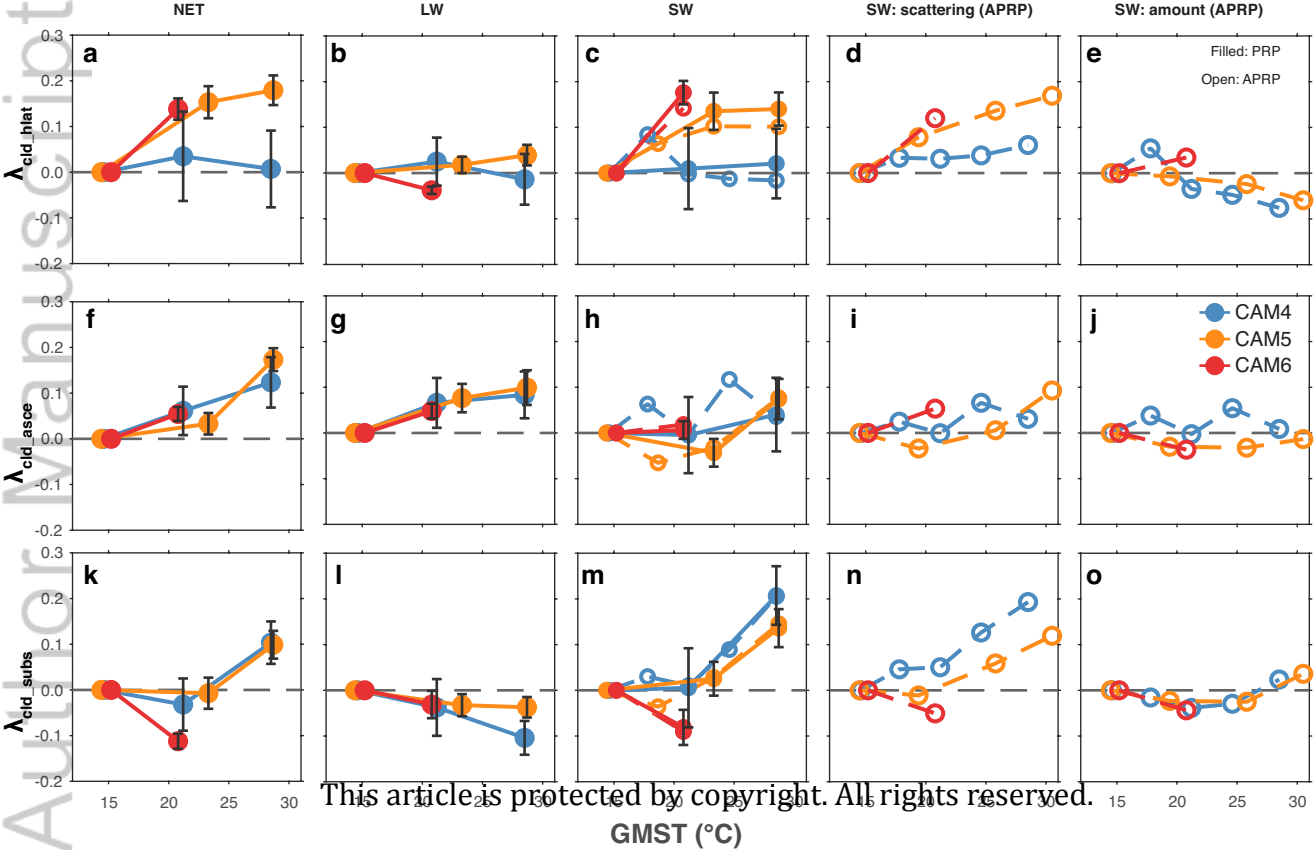
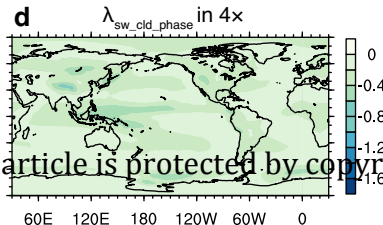
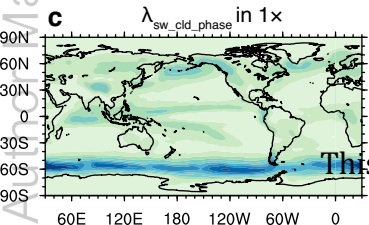
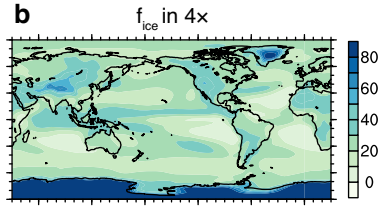
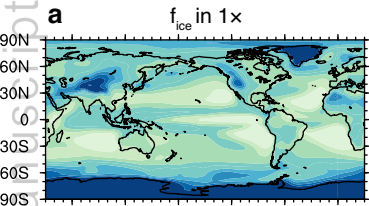


Figure 3.

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Figure 4.

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