

# *Cloud feedback mechanisms and their representation in global climate models*

Article

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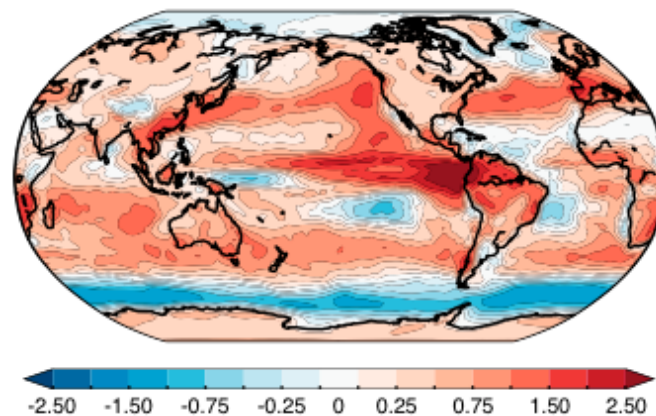
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## Abstract

Cloud feedback – the change in top-of-atmosphere radiative flux resulting from the cloud response to warming – constitutes by far the largest source of uncertainty in the climate response to CO<sub>2</sub> forcing simulated by global climate models (GCMs). We review the main mechanisms for cloud feedbacks, and discuss their representation in climate models and the sources of inter-model spread. Global-mean cloud feedback in GCMs results from three main effects: (1) rising free-tropospheric clouds (a positive longwave effect); (2) decreasing tropical low cloud amount (a positive shortwave effect); (3) increasing high-latitude low cloud optical depth (a negative shortwave effect). These cloud responses simulated by GCMs are qualitatively supported by theory, high-resolution modeling, and observations. Rising high clouds are consistent with the Fixed Anvil Temperature (FAT) hypothesis, whereby enhanced upper-tropospheric radiative cooling causes anvil cloud tops to remain at a nearly fixed temperature as the atmosphere warms. Tropical low cloud amount decreases are driven by a delicate balance between the effects of vertical turbulent fluxes, radiative cooling, large-scale subsidence, and lower-tropospheric stability on the boundary-layer moisture budget. High-latitude low cloud optical depth increases are dominated by phase changes in mixed-phase clouds. The causes of inter-model spread in cloud feedback are discussed, focusing particularly on the role of unresolved parameterized processes such as cloud microphysics, turbulence, and convection.

## Graphical/Visual Abstract and Caption



Spatial distribution of cloud feedback (in W m<sup>-2</sup> per K surface warming) predicted by a set of global climate models subjected to an abrupt increase in CO<sub>2</sub>. Redrawn with permission from Zelinka et al. (2016).

## 2 INTRODUCTION

3 As the atmosphere warms under greenhouse gas forcing, global climate models (GCMs) predict that  
4 clouds will change, resulting in a radiative feedback by clouds<sup>1, 2</sup>. While this cloud feedback is  
5 positive in most GCMs and hence acts to amplify global warming, GCMs diverge substantially on its  
6 magnitude<sup>3</sup>. Accurately simulating clouds and their radiative effects has been a long-standing  
7 challenge for climate modeling, largely because clouds depend on small-scale physical processes that  
8 cannot be explicitly represented by coarse GCM grids. In the recent Climate Model Intercomparison  
9 Project phase 5 (CMIP5)<sup>4</sup>, cloud feedback was by far the largest source of inter-model spread in  
10 equilibrium climate sensitivity, the global-mean surface temperature response to CO<sub>2</sub> doubling<sup>5-7</sup>.  
11 The important role of clouds in determining climate sensitivity in GCMs has been known for  
12 decades<sup>8-11</sup>, and despite improvements in the representation of cloud processes<sup>12</sup>, much work  
13 remains to be done to narrow the range of GCM projections.

14 Despite these persistent difficulties, recent advances in our understanding of the fundamental  
15 mechanisms of cloud feedback have opened exciting new opportunities to improve the  
16 representation of the relevant processes in GCMs. Thanks to increasing computing power,  
17 turbulence-resolving model simulations have offered novel insight into the processes controlling  
18 marine low cloud cover<sup>13-16</sup>, of key importance to Earth's radiative budget<sup>17</sup>. Clever combined use of  
19 model hierarchies and observations has provided new understanding of why high-latitude clouds  
20 brighten<sup>18-20</sup>, why tropical anvil clouds shrink with warming<sup>21</sup>, and how clouds and radiation respond  
21 to storm track shifts<sup>22-24</sup>, to name a few examples.

22 The goal of this review is to summarize the current understanding of cloud feedback mechanisms,  
23 and to evaluate their representation in contemporary GCMs. Although the observational support for  
24 GCM cloud responses is assessed, we do not provide a thorough review of observational estimates  
25 of cloud feedback, nor do we discuss possible "emergent constraints"<sup>25</sup>. The discussion is organized  
26 into two main sections. First, we diagnose cloud feedback in GCMs, identifying the cloud property  
27 changes responsible for the radiative response. Second, we interpret these GCM cloud responses,  
28 discussing the physical mechanisms at play and the ability of GCMs to represent them, and briefly  
29 reviewing the available observational evidence. Based on this discussion, we conclude with  
30 suggestions for progress toward an improved representation of cloud feedback in climate models.

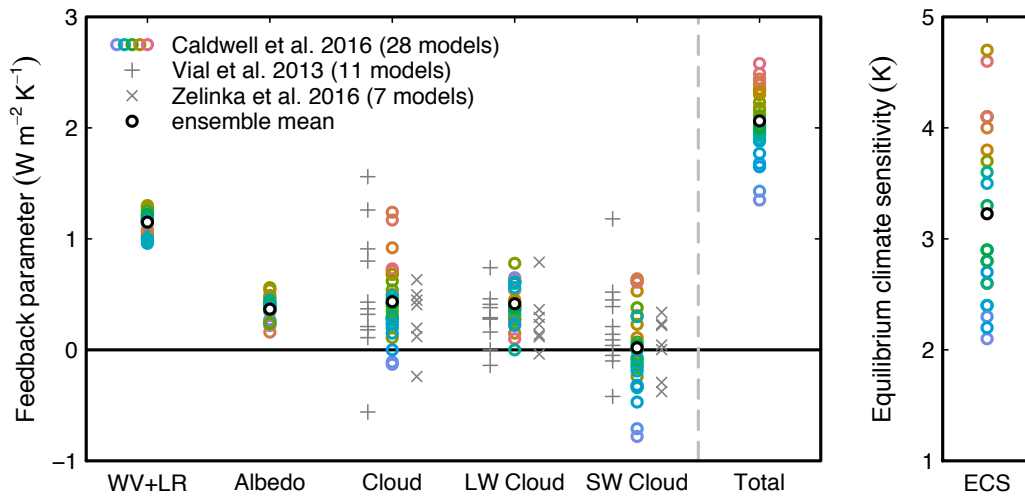
## 31 DIAGNOSING CLOUD FEEDBACK IN GLOBAL CLIMATE MODELS

32 We begin by documenting the magnitude and spatial structure of cloud feedback in contemporary  
33 GCMs, and identify the cloud property changes involved in the radiative response. Although clouds  
34 may respond to any forcing agent, in this review we will focus on cloud feedback to CO<sub>2</sub> forcing, of  
35 highest relevance to future anthropogenic climate change.

### 36 Global-mean cloud feedback

37 The global-mean cloud feedback strength (quantified by the feedback parameter; Box 1) is plotted in  
38 Fig. 1, along with the other feedback processes included in the traditional decomposition. The  
39 feedback parameters are derived from CMIP5 experiments forced with abrupt quadrupling of CO<sub>2</sub>  
40 concentrations relative to pre-industrial conditions. In the following discussion we quote the

41 numbers from an analysis of 28 GCMs<sup>5</sup> (colored circles in Fig. 1). Two other studies (grey symbols in  
 42 Fig. 1) show similar results, but they include smaller subsets of the available models.



43  
 44 Fig. 1. Strengths of individual global-mean feedbacks and equilibrium climate sensitivity (ECS) for CMIP5  
 45 models, derived from coupled experiments with abrupt quadrupling of CO<sub>2</sub> concentration. Model names and  
 46 feedback values are listed in the Supporting Information, Table S1. Feedback parameter results are from  
 47 Caldwell et al.<sup>5</sup>, with additional cloud feedback values from Vial et al.<sup>6</sup> and Zelinka et al.<sup>26</sup> ECS values are taken  
 48 from Andrews et al.<sup>27</sup>, Forster et al.<sup>28</sup>, and Flato et al.<sup>29</sup> Feedback parameters are calculated as in Soden et al.<sup>30</sup>  
 49 but accounting for rapid adjustments; the cloud feedback from Zelinka et al. is calculated using cloud-radiative  
 50 kernels<sup>31</sup> (Box 2). Circles are colored according to the total feedback parameter. The Planck feedback (mean  
 51 value of -3.15 W m<sup>-2</sup> K<sup>-1</sup>) is excluded from the total feedback parameter shown here.  
 52

53 **Box 1: Climate feedbacks**

54 Increasing greenhouse gas concentrations cause a positive radiative forcing  $F$  (W m<sup>-2</sup>), to which the  
 55 climate system responds by increasing its temperature to restore radiative balance according to

56 
$$N = F + \lambda \Delta T.$$

57  $N$  denotes the net energy flux imbalance at the top of atmosphere, and  $\Delta T$  is the global-mean  
 58 surface warming. How effectively warming reestablishes radiative balance is quantified by the total  
 59 feedback parameter  $\lambda$  (in W m<sup>-2</sup> K<sup>-1</sup>). For a positive (downward) forcing, warming must induce a  
 60 negative (upward) radiative response to restore balance, and hence  $\lambda < 0$ . When the system reaches  
 61 a new steady state,  $N = 0$  and thus the final amount of warming is determined by both forcing and  
 62 feedback,  $\Delta T = -F/\lambda$ . A more positive feedback implies more warming.

63 The total feedback  $\lambda$  equals the sum of contributions from different feedback processes, each of  
 64 which is assumed to perturb the top-of-atmosphere radiative balance by a given amount per degree  
 65 warming. The largest such process involves the increase in emitted longwave radiation following  
 66 Planck's law (a negative feedback). Additional feedbacks result from increased longwave emission to  
 67 space due to enhanced warming aloft (negative lapse rate feedback); increased greenhouse warming  
 68 by water vapor (positive water vapor feedback); and decreasing reflection of solar radiation as snow  
 69 and ice retreat (positive surface albedo feedback). Changes in the physical properties of clouds affect

70 both their greenhouse warming and their reflection of solar radiation, giving rise to a cloud feedback  
71 (Box 2), positive in most current GCMs.

72 The multi-model-mean net cloud feedback is positive ( $0.43 \text{ W m}^{-2} \text{ K}^{-1}$ ), suggesting that on average,  
73 clouds cause additional warming. However, models produce a wide range of values, from weakly  
74 negative to strongly positive ( $-0.13$  to  $1.24 \text{ W m}^{-2} \text{ K}^{-1}$ ). Despite this considerable inter-model spread,  
75 only two models, GISS-E2-H and GISS-E2-R, produce a (weakly) negative global-mean cloud  
76 feedback. In the multi-model mean, this positive cloud feedback is entirely attributable to the  
77 longwave (LW) effect of clouds ( $0.42 \text{ W m}^{-2} \text{ K}^{-1}$ ), while the mean shortwave (SW) cloud feedback is  
78 essentially zero ( $0.02 \text{ W m}^{-2} \text{ K}^{-1}$ ).

79 Of all the climate feedback processes, cloud feedback exhibits the largest amount of inter-model  
80 spread, originating primarily from the SW effect<sup>3, 6, 26, 32</sup>. The important contribution of clouds to the  
81 spread in total feedback parameter and equilibrium climate sensitivity (ECS) stands out in Fig. 1. The  
82 net cloud feedback is strongly correlated with the total feedback parameter ( $r=0.80$ ) and ECS  
83 ( $r=0.73$ ).

#### 84 **Box 2: Cloud-radiative effect and cloud feedback**

85 The radiative impact of clouds is measured as the *cloud-radiative effect* (CRE), the difference  
86 between clear-sky and all-sky radiative flux at the top of atmosphere. Clouds reflect solar radiation  
87 (negative SW CRE, global-mean effect of  $-45 \text{ W m}^{-2}$ ) and reduce outgoing terrestrial radiation  
88 (positive LW CRE,  $27 \text{ W m}^{-2}$ ), with an overall cooling effect estimated at  $-18 \text{ W m}^{-2}$  (numbers from  
89 Henderson et al.<sup>33</sup>). CRE is proportional to cloud fraction, but is also determined by cloud altitude  
90 and optical depth. The magnitude of SW CRE increases with cloud optical depth, and to a much  
91 lesser extent with cloud altitude. By contrast, the LW CRE depends primarily on cloud altitude, which  
92 determines the difference in emission temperature between clear and cloudy skies, but also  
93 increases with optical depth.

94 As the cloud properties change with warming, so does their radiative effect. The resulting radiative  
95 flux response at the top of atmosphere, normalized by the global-mean surface temperature  
96 increase, is known as *cloud feedback*. This is not strictly equal to the change in CRE with warming,  
97 because the CRE also responds to changes in clear-sky radiation – for example due to changes in  
98 surface albedo or water vapor<sup>34</sup>. The CRE response thus underestimates cloud feedback by about  $0.3$   
99  $\text{W m}^{-2}$  on average<sup>34, 35</sup>. Cloud feedback is therefore the component of CRE change that is due to  
100 changing cloud properties only.

101 Various methods exist to diagnose cloud feedback from standard GCM output. The values presented  
102 in this paper are either based on CRE changes corrected for non-cloud effects<sup>30</sup>, or estimated directly  
103 from changes in cloud properties, for those GCMs providing appropriate cloud output<sup>31</sup>. The most  
104 accurate procedure involves running the GCM radiation code offline – replacing instantaneous cloud  
105 fields from a control climatology with those from a perturbed climatology, while keeping other fields  
106 unchanged – to obtain the radiative perturbation due to changes in clouds<sup>36, 37</sup>. This method is  
107 computationally expensive and technically challenging, however.

## 108 *Rapid Adjustments*

109 The cloud-radiative changes that accompany CO<sub>2</sub>-induced global warming partly result from a rapid  
110 adjustment of clouds to CO<sub>2</sub> forcing and land-surface warming<sup>38, 39</sup>. Because it is unrelated to the  
111 global-mean surface temperature increase, this rapid adjustment is treated as a forcing rather than a  
112 feedback in the current feedback analysis framework<sup>40</sup>. An important implication is that clouds cause  
113 uncertainty in both forcing and feedback. For a quadrupling of CO<sub>2</sub> concentration, the estimated  
114 global-mean radiative adjustment due to clouds ranges between 0.3 and 1.1 W m<sup>-2</sup>, depending on  
115 the analysis method and GCM set, and has been ascribed mainly to SW effects<sup>6, 41, 42</sup>. Accounting for  
116 this adjustment reduces the net and SW component of the cloud feedback. We refer the reader to  
117 Andrews et al.<sup>43</sup> and Kamae et al.<sup>44</sup> for a thorough discussion of rapid cloud adjustments in GCMs.  
118 Hereafter we focus solely on changes in cloud properties that are mediated by increases in global-  
119 mean temperature.

## 120 *Decomposition by cloud type*

121 For models providing output that simulates measurements taken by satellites, the total cloud  
122 feedback can be decomposed into contributions from three relevant cloud properties: cloud  
123 altitude, amount, and optical depth (plus a small residual)<sup>45</sup>. The multi-model-mean net cloud  
124 feedback can then be understood as the sum of positive contributions from cloud altitude and  
125 amount changes, and a negative contribution from optical depth changes (Fig. 2a). The various cloud  
126 properties have distinctly different effects on LW and SW radiation. Increasing cloud altitude  
127 explains most of the positive LW feedback, with minimal effect on SW. By contrast, cloud amount  
128 and optical depth changes have opposing effects on SW and LW radiation, with the SW term  
129 dominating. (Note that 11 of the 18 feedback values in Fig. 2 include the positive effect of rapid  
130 adjustments, yielding a more positive multi-model mean SW feedback compared with Fig. 1.)

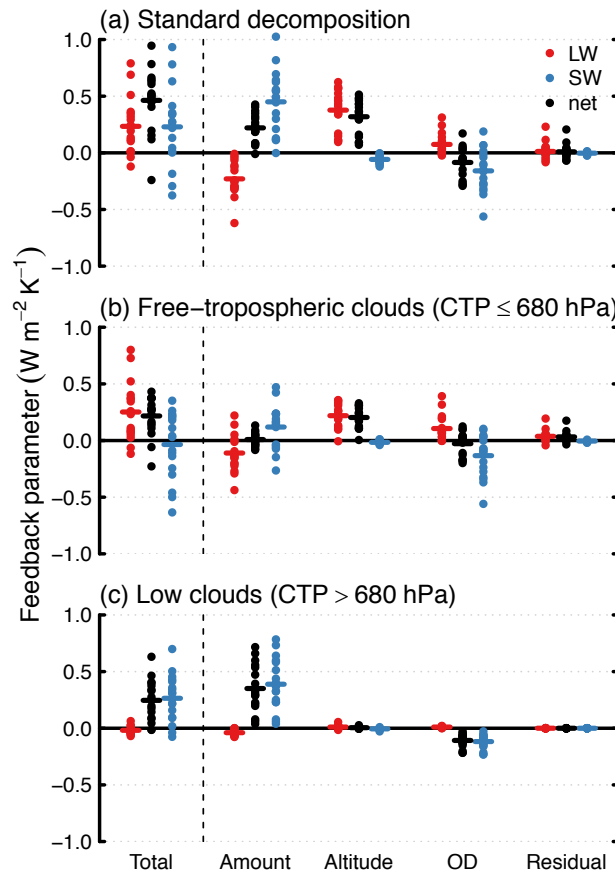
131 The cloud property decomposition in Fig. 2a can be refined by separately considering *low* (cloud top  
132 pressure > 680 hPa) and *free-tropospheric* clouds (cloud top pressure ≤ 680 hPa), as this more  
133 effectively isolates the factors contributing to the net cloud feedback<sup>26</sup>. This vertical decomposition  
134 reveals that the multi-model mean LW feedback is entirely due to rising free-tropospheric clouds  
135 (Fig. 2b). For such clouds, amount and optical depth changes do not contribute to the net feedback  
136 because their SW and LW effects cancel nearly perfectly. Meanwhile, the SW cloud feedback can be  
137 ascribed to low cloud amount and optical depth changes (Fig. 2c). Thus, the results in Fig. 2b,c  
138 highlight the three main contributions to the net cloud feedback in current GCMs: rising free-  
139 tropospheric clouds (a positive LW effect), decreasing low cloud amount (a positive SW effect), and  
140 increasing low cloud optical depth (a weak negative SW effect), yielding a net positive feedback in  
141 the multi-model mean. It is noteworthy that all CMIP5 models agree on the sign of these  
142 contributions.

## 143 **Spatial distribution of cloud feedback**

144 The contributions to LW and SW cloud feedback are far from being spatially homogeneous,  
145 reflecting the distribution of cloud regimes (Fig. 3). Although the net cloud feedback is generally  
146 positive, negative values occur over the Southern Ocean poleward of about 50° S, and to a lesser  
147 extent over the Arctic and small parts of the tropical oceans. The most positive values are found in  
148 regions of large-scale subsidence, such as regions of low SST in the equatorial Pacific and the



149 subtropical oceans. Weak to moderate subsidence regimes cover most of the tropical oceans, and  
 150 are associated with shallow marine clouds such as stratocumulus and trade cumulus. In most GCMs  
 151 such clouds decrease in amount<sup>17, 46</sup>, strongly contributing to the positive low cloud amount  
 152 feedback seen in Fig. 2c. This explains the importance of shallow marine clouds for the overall  
 153 positive cloud feedback, and their dominant contribution to inter-model spread in net cloud  
 154 feedback<sup>17</sup>.



155

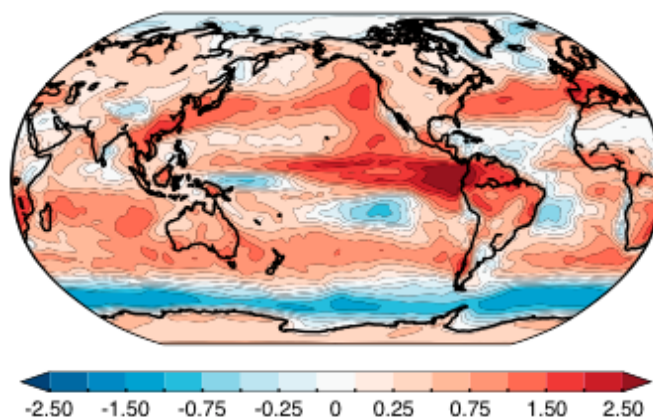
156 Fig. 2. Global mean LW (red), SW (blue), and net (black) cloud feedbacks decomposed into amount, altitude,  
 157 optical depth (OD) and residual components for (a) all clouds, (b) free-tropospheric clouds only, and (c) low  
 158 clouds only, defined by cloud top pressure (CTP). Multi-model mean feedbacks are shown as horizontal lines.  
 159 Results are based on an analysis of 11 CMIP3 and 7 CMIP5 models<sup>26</sup>; the CMIP3 values do not account for rapid  
 160 adjustments. Model names and total feedback values are listed in Table S2. Redrawn with permission from  
 161 Zelinka et al.<sup>26</sup>

162

163 Taking a zonal-mean perspective highlights the meridional dependence of cloud property changes  
 164 and their contributions to cloud feedback (Fig. 4). Free-tropospheric cloud tops robustly rise globally,  
 165 producing a positive cloud altitude LW feedback at all latitudes that peaks in regions of high  
 166 climatological free-tropospheric cloud cover (blue curve). The positive cloud amount feedback  
 167 (orange curve), dominated by the SW effect of low clouds (cf. Fig. 2), also occurs over most of the  
 168 globe with the exception of the high southern latitudes; by contrast, the effect of optical depth  
 169 changes is near zero everywhere except at high southern latitudes, where it is strongly negative  
 170 (green curve). This yields a complex meridional pattern of net cloud feedback (black curve in Fig. 4).

171 The patterns of cloud amount and optical depth changes suggest the existence of distinct physical  
172 processes in different latitude ranges and climate regimes, as discussed in the next section.

173



174 Fig. 3. Spatial distribution of the multi-model mean net cloud feedback (in  $W m^{-2}$  per K surface warming) in a  
175 set of 11 CMIP3 and 7 CMIP5 models subjected to an abrupt increase in  $CO_2$  (Table S2). Redrawn with  
176 permission from Zelinka et al.<sup>26</sup>

177

178 The results in Fig. 4 allow us to further refine the conclusions drawn from Fig. 2. In the multi-model  
179 mean, the cloud feedback in current GCMs mainly results from

- 180 • *globally* rising free-tropospheric clouds,
- 181 • decreasing low cloud amount at *low to middle latitudes*, and
- 182 • increasing low cloud optical depth at *middle to high latitudes*.

### 183 **Summary**

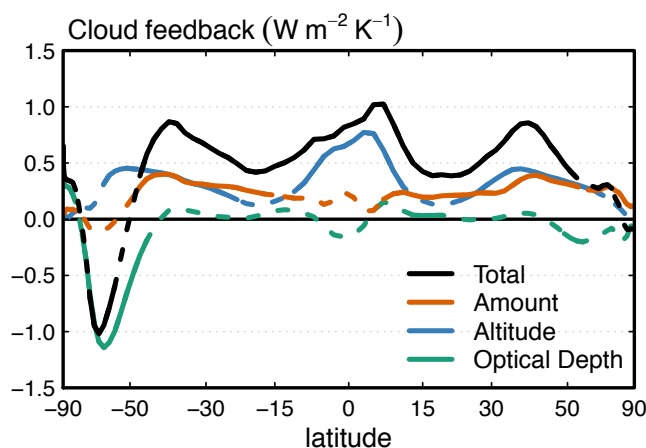
184 Cloud feedback is the main contributor to inter-model spread in climate sensitivity, ranging from  
185 near zero to strongly positive ( $-0.13$  to  $1.24 W m^{-2} K^{-1}$ ) in current climate models. It is a combination  
186 of three effects present in nearly all GCMs: rising free-tropospheric clouds (a LW heating effect);  
187 decreasing low cloud amount in tropics to midlatitudes (a SW heating effect); and increasing low  
188 cloud optical depth at high latitudes (a SW cooling effect). Low cloud amount in tropical subsidence  
189 regions dominates the inter-model spread in cloud feedback.

190

### 191 **INTERPRETING CLOUD PROPERTY CHANGES IN GLOBAL CLIMATE MODELS**

192 Having diagnosed the radiatively-relevant cloud responses in GCM, we assess our understanding of  
193 the physical mechanisms involved in these cloud changes, and discuss their representation in GCMs.  
194 We consider in turn each of the three main effects identified in the previous section, and address  
195 the following questions:

- 196 • What physical mechanisms are involved in the cloud response? To what extent are these  
197 mechanisms supported by theory, high-resolution modeling, and observations?
- 198 • How well do GCMs represent these mechanisms, and what parameterizations does this  
199 depend on?
- 200 • What explains the inter-model spread in cloud responses?



201  
202 Fig. 4. Zonal-, annual-, and multi-model-mean net cloud feedbacks in a set of 11 CMIP3 and 7 CMIP5 models  
203 (Table S2), plotted against the sine of latitude, and partitioned into components due to the change in cloud  
204 amount, altitude, and optical depth. Curves are solid where 75% or more of the models agree on the sign of  
205 the feedback, dashed otherwise. Redrawn with permission from Zelinka et al.<sup>26</sup>

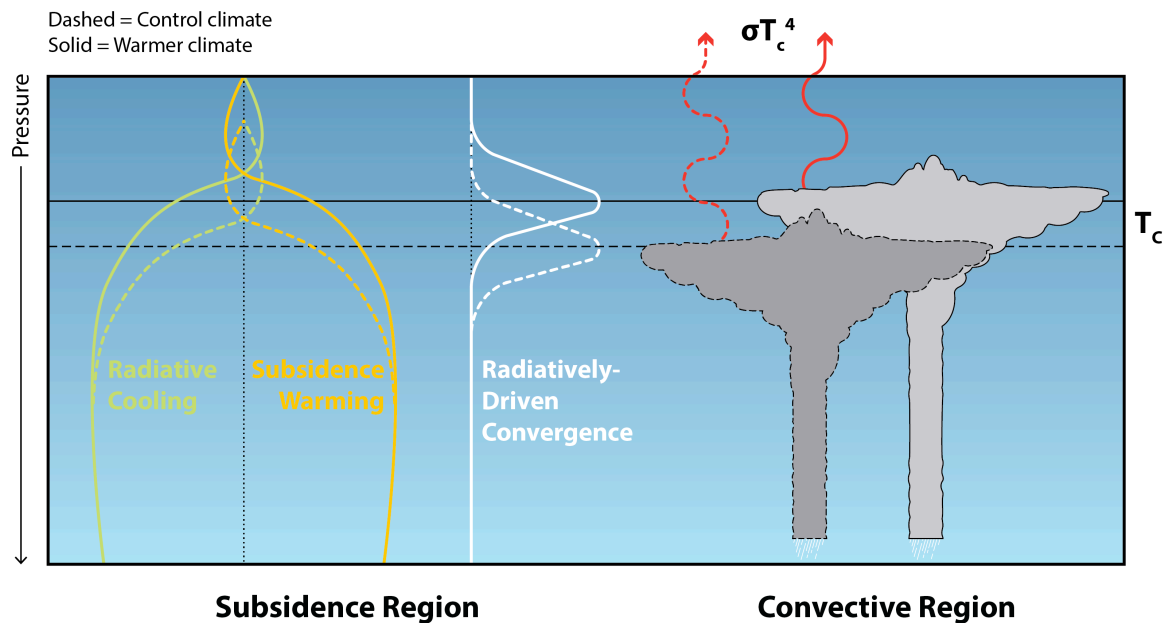
## 207 Cloud altitude

### 208 *Physical mechanisms*

209 Owing to the decrease of temperature with altitude in the troposphere, higher cloud tops are colder  
210 and thus emit less thermal infrared radiation to space. Therefore, an increase in the altitude of cloud  
211 tops imparts a heating to the climate system by reducing outgoing LW radiation. Fundamentally, the  
212 rise of upper-level cloud tops is firmly grounded in basic theory (the deepening of the well-mixed  
213 troposphere as the planet warms), and is supported by cloud-resolving modeling experiments and by  
214 observations of both interannual cloud variability and multi-decadal cloud trends. The combination  
215 of theoretical and observational evidence, along with the fact that all GCMs simulate rising free-  
216 tropospheric cloud tops as the planet warms, make the positive cloud altitude feedback one of the  
217 most fundamental cloud feedbacks.

218 The tropical free troposphere is approximately in radiative-convective equilibrium, where latent  
219 heating in convective updrafts balances radiative cooling, which is itself primarily due to thermal  
220 emission by water vapor<sup>47</sup>. Because radiative cooling by the water vapor rotation and vibration  
221 bands falls off rapidly with decreasing water vapor mixing ratio in the tropical upper troposphere<sup>48</sup>,  
222 so too must convective mass flux. Hence, mass detrainment from tropical deep convection and its  
223 attendant anvil cloud coverage both peak near the altitude where emission from water vapor drops  
224 off rapidly with pressure, which we refer to as the altitude of peak radiatively-driven convergence.  
225 Because radiative cooling by water vapor is closely tied to water vapor concentration and the latter

226 is fundamentally controlled by temperature through the Clausius-Clapeyron equation, the dramatic  
 227 decrease in water vapor concentration in the upper troposphere occurs primarily due to the  
 228 decrease of temperature with decreasing pressure. This implies that the level that marks the peak  
 229 coverage of anvil cloud tops is set by temperature. As isotherms rise with global warming, so too  
 230 must tropical anvil cloud tops, leading to a positive cloud altitude feedback. This “fixed anvil  
 231 temperature” (FAT) hypothesis<sup>49</sup>, illustrated schematically in Fig. 5, provides a physical basis for  
 232 earlier suggestions that fixed cloud top temperature is a more realistic response to warming than  
 233 fixed cloud altitude<sup>50, 51</sup>.



234

235 Fig. 5. Schematic of the relationship between clear-sky radiative cooling, subsidence warming, radiatively-  
 236 driven convergence, and altitude of anvil clouds in the tropics in a control and warm climate, as articulated in  
 237 the FAT hypothesis. Upon warming, radiative cooling by water vapor increases in the upper troposphere,  
 238 which must be balanced by enhanced subsidence in clear-sky regions. This implies that the level of peak  
 239 radiatively-driven convergence and the attendant anvil cloud coverage must shift upward.  $T_c$  denotes the anvil  
 240 cloud top temperature isotherm.

241

242 In practice, tropical high clouds rise slightly less than the isotherms in response to modeled global  
 243 warming, leading to a slight warming of their emission temperature – albeit a much weaker warming  
 244 than occurs at a fixed pressure level (roughly six times smaller)<sup>52</sup>. This is related to an increase in  
 245 upper tropospheric static stability with warming that was not originally anticipated in the FAT  
 246 hypothesis. The proportionately higher anvil temperature (PHAT) hypothesis<sup>52</sup> allows for increases in  
 247 static stability that cause the level of peak radiatively-driven convergence to shift to slightly warmer  
 248 temperatures. The upward shift of this level closely tracks the upward shift of anvil clouds under  
 249 global warming, and captures their slight warming. The aforementioned upper-tropospheric static  
 250 stability increase has been described as a fundamental consequence of the first law of  
 251 thermodynamics, which results in static stability having an inverse-pressure dependence<sup>21</sup>, although  
 252 the radiative effect of ozone has also been shown to play a role<sup>53</sup>.

253 Cloud-resolving (horizontal grid spacing  $\leq 15$  km) model simulations of tropical radiative-convective  
254 equilibrium support the theoretical expectation that the distribution of free-tropospheric clouds  
255 shifts upward with surface warming nearly in lockstep with the isotherms, making their emission  
256 temperature increase only slightly<sup>53-56</sup>. This response is also seen in global cloud-resolving models<sup>57-</sup>  
257 <sup>59</sup>. This is important for confirming that the response seen in GCMs<sup>21, 52</sup> and mesoscale models<sup>49</sup> is  
258 not an artifact of parameterized convection. Furthermore, observed interannual relationships  
259 between cloud top altitude and surface temperature are also in close agreement with theoretical  
260 expectations<sup>60-65</sup>. Recent analyses of satellite cloud retrievals showed that both tropical and extra-  
261 tropical high clouds have shifted upward over the period 1983-2009<sup>66, 67</sup>.

262 Although FAT was proposed as a mechanism for *tropical* cloud altitude feedback, it is possible that  
263 radiative cooling by water vapor also controls the vertical extent of *extratropical* motions, and  
264 thereby the strength of extratropical cloud altitude feedback (Thompson et al., submitted  
265 manuscript). In any case, the extratropical free tropospheric cloud altitude feedback in GCMs is at  
266 least as large as its counterpart in the tropics<sup>26</sup>, despite having received much less attention in the  
267 literature.

### 268 **Box 3: FAT and the cloud altitude feedback**

269 Cloud tops rising as the surface warms produces a positive feedback: by rising so as to remain at  
270 nearly constant temperature, their emission to space does not increase in concert with emission  
271 from the clear-sky regions, inhibiting the radiative cooling of the planet under global warming.

272 The fact that cloud top temperature remains roughly fixed makes the interpretation of the feedback  
273 potentially confusing: how can high clouds warm the planet if their emission temperature remains  
274 nearly unchanged? It is important to recall that feedbacks due to variable  $X$  are defined as the  
275 change in radiation due to the temperature-mediated change in  $X$  *holding all else fixed*<sup>68</sup>. In the case  
276 where  $X$  is cloud top altitude, the feedback quantifies the change in radiation due *solely* to the  
277 change in cloud top altitude, holding the temperature structure of the atmosphere fixed at its  
278 unperturbed state. Thus, increased cloud top altitude causes a LW heating effect because – in the  
279 radiation calculation – the emission temperature of the cloud top actually decreases by the product  
280 of the mean-state lapse rate and the change in the cloud top altitude.

281 An important point to avoid losing in the details is that as long as the free tropospheric cloud tops  
282 rise under global warming, the altitude feedback is positive. The extent to which cloud top  
283 temperatures change affects only the magnitude of the feedback, not its sign.

284

### 285 *Representation in global climate models and causes of inter-model spread*

286 Given its solid foundation in well-established physics (radiative-convective equilibrium, Clausius-  
287 Clapeyron relation), it is unsurprising that all GCMs simulate a nearly isothermal rise in the tops of  
288 free tropospheric clouds with warming, in excellent agreement with PHAT. The multi-model mean  
289 net free-tropospheric cloud altitude feedback is  $0.20 \text{ W m}^{-2} \text{ K}^{-1}$ , with an inter-model standard  
290 deviation of  $0.09 \text{ W m}^{-2} \text{ K}^{-1}$  (Fig. 1b). Although the spread in this feedback is roughly half as large as  
291 that in the low cloud amount feedback, it is still substantial and remains poorly understood. Since

292 the altitude feedback is defined as the radiative impact of rising cloud tops while holding everything  
293 else fixed (Box 3), the magnitude of this feedback at any given location should be related to (1) the  
294 change in free-tropospheric cloud top altitude, (2) the decrease in emitted LW radiation per unit  
295 increase of cloud top altitude, and (3) the free-tropospheric cloud fraction. These are discussed in  
296 turn below.

297 Based on the discussion above, one would expect the magnitude of the upward shift of free-  
298 tropospheric cloud tops (term 1) to be related to the upward shift of the level of radiatively-driven  
299 convergence. Both of these are dependent on the magnitude of upper tropospheric warming<sup>69, 70</sup>,  
300 which varies appreciably across models<sup>71, 72</sup> for reasons that remain unclear.

301 The decrease in emitted LW radiation per unit increase in cloud top altitude depends on the mean-  
302 state temperature and humidity profile of the atmosphere, and on cloud LW opacity. To the extent  
303 that inter-model differences in atmospheric thermodynamic structure are small, inter-model  
304 variance in term 2 would arise primarily from differences in the mean state cloud opacity, which  
305 determines whether an upward shift is accompanied by a large decrease in LW flux (for thick clouds)  
306 or a small decrease in LW flux (for thin clouds). Overall, the dependence of LW fluxes on cloud  
307 optical thickness is small, however, because clouds of intermediate to high optical depth are  
308 completely opaque to infrared radiation. Therefore, we do not expect cloud optical depth biases to  
309 dominate the spread in cloud altitude feedback.

310 Finally, the mean-state free-tropospheric cloud fraction (term 3) is likely to exhibit substantial inter-  
311 model spread. A four-fold difference in the simulated high (cloud top pressure  $\leq 440$  hPa) cloud  
312 fraction was found among an earlier generation of models<sup>73</sup>, though this spread has decreased in  
313 CMIP5 models<sup>12</sup>. Furthermore, climate models systematically underestimate the relative frequency  
314 of occurrence of tropical anvil and extratropical cirrus regimes<sup>74, 75</sup>. Taken alone, such biases would  
315 lead to models systematically underestimating the cloud altitude feedback.

## 316 **Low cloud amount**

### 317 *Physical mechanisms*

318 The low cloud amount feedback in GCMs is dominated by the response of tropical, warm, liquid  
319 clouds located below about 3 km to surface warming. Several types of clouds fulfill the definition of  
320 “low”, differing in their radiative effects and in the physical mechanisms underlying their formation,  
321 maintenance and response to climate change. So far, most insights into low cloud feedback  
322 mechanisms have been gained from high-resolution models – particularly large-eddy simulations  
323 (LES) that can explicitly represent the turbulent and convective processes critical for boundary-layer  
324 clouds on scales smaller than one kilometer<sup>76</sup>. The low cloud amount feedback in GCMs is  
325 determined by the response of the most prevalent boundary-layer cloud types at low latitudes:  
326 stratus, stratocumulus, and cumulus clouds.

327 Although they cover a relatively small fraction of Earth, *stratus and stratocumulus* (StCu) have a  
328 large SW CRE, so that even small changes in their coverage may have significant regional and global  
329 impacts. StCu cloud coverage is strongly controlled by atmospheric stability and surface fluxes<sup>77</sup>:  
330 observations suggest a strong relationship between inversion strength at the top of the planetary  
331 boundary layer (PBL) and cloud amount<sup>78, 79</sup>. A stronger inversion results in weaker mixing with the

332 dry free troposphere, shallowing the PBL and increasing cloudiness. Since inversion strength will  
333 increase with global warming owing to the stabilization of the free-tropospheric temperature  
334 profile<sup>80</sup>, one might expect low cloud amount to increase, implying a negative feedback<sup>81</sup>.

335 However, LES experiments suggest that StCu clouds are sensitive to other factors than inversion  
336 strength, as summarized by Bretherton<sup>15</sup>. Over subsiding regions, (1) increasing atmospheric  
337 emissivity owing to water vapor feedback will cause more downward LW radiation, decreasing  
338 cloud-top entrainment and thinning the cloud layer (less cloud and hence a positive radiative  
339 feedback); (2) the slowdown of the general circulation will weaken subsidence, raising cloud tops  
340 and thickening the cloud layer (a negative dynamical feedback); (3) a larger vertical gradient of  
341 specific humidity will dry the PBL more efficiently, reducing cloudiness (a positive thermodynamic  
342 feedback). Evidence for these physical mechanisms is usually also found in GCMs<sup>82-84</sup> or when  
343 analyzing observed natural variability<sup>85-87</sup>. The real-world StCu feedback will most likely result from  
344 the relative importance of these antagonistic processes. LES models forced with an idealized climate  
345 change suggest a reduction of StCu clouds with warming<sup>76</sup>.

346 *Shallow cumuli* (ShCu) usually denote clouds with tops around 2-3 km localized over weak  
347 subsidence regions and higher surface temperature. Despite their more modest SW CRE, ShCu are of  
348 major importance to global-mean cloud feedback in GCMs because of their widespread presence  
349 across the tropics<sup>17</sup>. Yet mechanisms of ShCu feedback in LES are less robust than for StCu. Usually,  
350 LES reduce clouds with warming, with large sensitivity to precipitation (mostly related to  
351 microphysical assumptions). This reduction has been explained by a stronger penetrative  
352 entrainment that deepens and dries the PBL more efficiently<sup>13, 88</sup> (closely related to the  
353 thermodynamic feedback seen for StCu), although the strength of this positive feedback may  
354 depend on the choice of prescribed or interactive sea surface temperatures (SSTs)<sup>89, 90</sup> and  
355 microphysics parameterization<sup>14</sup>. Other feedbacks seen for StCu may act on ShCu but with different  
356 relative importance<sup>14</sup>. Although LES results suggest a positive ShCu feedback<sup>14</sup>, a global model that  
357 explicitly resolves the crudest form of convection shows the opposite response<sup>91</sup>. Hence further  
358 work with a hierarchy of model configurations (LES, global cloud-resolving model, GCMs) combined  
359 with observational analyses will be needed to validate the ShCu feedback.

360 Recent observational studies of the low cloud response to changes in meteorological conditions  
361 broadly support the StCu and ShCu feedback mechanisms identified in LES experiments<sup>84, 87, 92</sup>. These  
362 studies show that low clouds in both models and observations are mostly sensitive to changes in SST  
363 and inversion strength. Although these two effects would tend to cancel each other, observations  
364 and GCM simulations constrained by observations suggest that SST-mediated low cloud reduction  
365 with warming dominates, increasing the likelihood of a positive low cloud feedback and high climate  
366 sensitivity<sup>87, 93-95</sup>. Nevertheless, recent ground-based observations of co-variations of ShCu with  
367 meteorological conditions suggest that a majority of GCMs are unlikely to represent the temporal  
368 dynamics of the cloudy boundary-layer<sup>96, 97</sup>. This may reduce our confidence in GCM-based  
369 constraints of ShCu feedback with warming.

#### 370 *Representation in global climate models and sources of inter-model spread*

371 Cloud dynamics depend heavily on small-scale processes such as local turbulent eddies, non-local  
372 convective plumes, microphysics, and radiation. Since the typical horizontal grid size of GCMs is  
373 around 50 km, such processes are not explicitly simulated and need to be parameterized as a

374 function of the large-scale environment. GCMs usually represent cloud-related processes through  
375 distinct parameterizations, with separate assumptions for subgrid variability, despite a goal for  
376 unification<sup>98, 99</sup>. Physical assumptions used in PBL parameterizations often relate cloud formation to  
377 buoyancy production, stability, and wind shear. Low cloud amount feedbacks are constrained by  
378 how these cloud processes are represented in GCMs and how they respond to climate change  
379 perturbations. Since parameterizations are usually crude, it is not evident that the mechanisms of  
380 low cloud amount feedback in GCMs are realistic.

381 All CMIP5 models simulate a positive low cloud amount feedback, but with considerable spread (Fig  
382 2c); this feedback is by far the largest contributor to inter-model variance in net cloud feedback<sup>5, 17,</sup>  
383 <sup>26</sup>. Spread in low cloud amount feedback can be traced back to differences in parameterizations used  
384 in atmospheric GCMs<sup>92, 100-102</sup>, and changes in these parameterizations within individual GCMs also  
385 have clear impacts on the intensity (and sign) of the response<sup>102-104</sup>. Identifying the low cloud  
386 amount feedback mechanisms in GCMs is a difficult task, however, because the low cloud response  
387 is sensitive to the competing effects of a variety of unresolved processes. Considering that these  
388 processes are parameterized in diverse and complex ways, it appears unlikely that a single  
389 mechanism can account for the spread of low cloud amount feedback seen in GCMs.

390 It has been proposed that convective processes play a key role in driving inter-model spread in low  
391 cloud amount feedback<sup>105-110</sup>. As the climate warms, convective moisture fluxes strengthen due to  
392 the robust increase of the vertical gradient of specific humidity controlled by the Clausius-Clapeyron  
393 relationship<sup>82</sup>. Increasing convective moisture fluxes between the PBL and the free troposphere lead  
394 to a relatively drier PBL with decreased cloud amount, suggesting a positive feedback, but the  
395 degree to which convective moisture mixing increases seems to strongly depend on model-specific  
396 parameterizations<sup>109</sup>. GCMs with stronger present-day convective mixing (and therefore more  
397 positive low cloud amount feedback) have been argued to compare better with observations<sup>109</sup>,  
398 implying that convective overturning strength could provide an observational constraint on GCM  
399 behavior. However, running GCMs with convection schemes switched off does not narrow the  
400 spread of cloud feedback<sup>111</sup>, suggesting that non-convective processes may play an important role  
401 too<sup>92, 104</sup>.

402 We believe that inter-model spread in low cloud amount feedback does not depend on the  
403 representation of convection (deep and shallow) alone, but rather on the interplay between various  
404 parameterized processes – particularly convection and turbulence. It has been argued that the  
405 relative importance of parameterized convective drying and turbulent moistening of the PBL  
406 accounts for a large fraction of the inter-model differences in both the mean state, and global  
407 warming response of low clouds<sup>46</sup>. In GCMs that attribute a large weight to convective drying in the  
408 present-day climate, the strengthening of moisture transport with warming causes enhanced PBL  
409 ventilation, efficiently reducing low cloud amount<sup>109</sup>. Conversely if convective drying is less active,  
410 turbulence moistening induces low cloud shallowing rather than a change in cloud amount<sup>46, 110</sup>. In  
411 some models, additional parameterization-dependent mechanisms may contribute to the low cloud  
412 feedback, such as cloud amount increases by enhancement of surface turbulence<sup>83, 112</sup> or by changes  
413 in cloud lifetime<sup>113</sup>.



414 **Low cloud optical depth**

415 *Physical mechanisms*

416 The primary control on cloud optical depth is the vertically-integrated liquid water content, termed  
417 liquid water path (LWP). If other microphysical parameters are held constant, cloud optical depth  
418 scales with LWP within the cloud<sup>114</sup>. Cloud optical depth is also affected by cloud particle size and  
419 cloud ice content, but the ice effect is smaller since ice crystals are typically several times larger than  
420 liquid droplets, and therefore less efficient at scattering sunlight per unit mass<sup>115</sup>. Consistent with  
421 this, the cloud optical depth change maps well onto the LWP response in global warming  
422 experiments, both quantities increasing at middle to high latitudes in nearly all GCMs<sup>18, 19, 45, 116, 117</sup>.  
423 Understanding the negative cloud optical depth feedback therefore requires explaining why LWP  
424 increases with warming, and why it does so mostly at high latitudes.

425 Two plausible mechanisms may contribute to LWP increases with warming, and both predict a  
426 preferential increase at higher latitudes and lower temperatures. The first mechanism is based upon  
427 the assumption that the liquid water content within a cloud is determined by the amount of  
428 condensation in saturated rising parcels that follow a moist adiabat  $\Gamma_m$ , from the cloud base to the  
429 cloud top<sup>118-120</sup>. This is often referred to as the "adiabatic" cloud water content. Under this  
430 assumption, it may be shown that the change in LWP with temperature is a function of the  
431 temperature derivative of the moist adiabat slope,  $\partial\Gamma_m/\partial T$ . This predicts that the adiabatic cloud  
432 water content always increases with temperature, and increases more strongly at lower  
433 temperatures in a relative sense<sup>118</sup>.

434 A second mechanism involves phase changes in mixed-phase clouds. Liquid water is commonly  
435 found in clouds at temperatures substantially below freezing, down to about -38°C where  
436 homogeneous freezing occurs<sup>115, 121</sup>. Clouds between -38°C and 0°C containing both liquid water and  
437 ice are termed mixed-phase. As the atmosphere warms, the occurrence of liquid water should  
438 increase relative to ice; for a fixed total cloud water path, this would lead to an optically thicker  
439 cloud owing to the smaller effective radius of droplets<sup>19, 115, 121</sup>. In addition, a higher fraction of liquid  
440 water is expected to decrease the overall precipitation efficiency, yielding an increase in total cloud  
441 water and a further optical thickening of the cloud<sup>19, 115, 119, 121</sup>. Reduced precipitation efficiency may  
442 also increase cloud lifetime, and hence cloud amount<sup>121, 122</sup>. Because the phase change mechanism  
443 can only operate below freezing, its occurrence in low clouds is restricted to middle and high  
444 latitudes.

445 Satellite and in-situ observations of high-latitude clouds support increases in cloud LWP and optical  
446 depth with temperature<sup>18, 19, 120</sup>, and suggest a negative cloud optical depth feedback<sup>20</sup>, although this  
447 result is sensitive to the analysis method<sup>123</sup>. The positive LWP sensitivity to temperature is generally  
448 restricted to mixed-phase regions and is typically larger than that expected from moist adiabatic  
449 increases in water content alone<sup>18, 19</sup>. This lends observational support for the importance of phase  
450 change processes. While the moist adiabatic mechanism should still contribute to LWP increases  
451 with warming, LES modeling of warm boundary-layer clouds (in which phase change processes play  
452 no role) suggests that optical depth changes are small relative to the effects of drying and deepening  
453 of the boundary layer with warming<sup>13</sup>.

454 *Representation in global climate models*

455 The low cloud optical depth feedback predicted by GCMs can only be trusted to the extent that the  
456 driving mechanisms are understood and correctly represented. We therefore ask, how reliably are  
457 these physical mechanisms represented in GCMs? The first mechanism involves the *source* of cloud  
458 water from condensation in saturated updrafts. It results from basic, well-understood  
459 thermodynamics that do not directly rely on physical parameterizations, and should be correctly  
460 implemented in all models. As such, it constitutes a simple and powerful constraint on the cloud  
461 water content response to warming, to the point that some early studies proposed the *global* cloud  
462 feedback might be negative as a result<sup>124-126</sup>. Considering this mechanism in isolation ignores  
463 important competing factors that affect the cloud water budget, however, such as the entrainment  
464 of dry air into the convective updrafts, phase change processes, or precipitation efficiency. The  
465 competition between these various factors may explain why no simple, robust LWP increase with  
466 temperature is seen in all regions across the world in GCMs.

467 The second mechanism is primarily related to the liquid water *sink* through conversion to ice and  
468 precipitation by ice-phase microphysical processes. The representation of cloud microphysics in  
469 state-of-the-art GCMs is mainly *prognostic*, meaning that rates of change between the different  
470 phases – vapor, liquid, ice, and precipitation – are computed. Rather than being a direct function of  
471 temperature (as in a *diagnostic* scheme), the relative amounts of liquid and ice thus depend on the  
472 efficiencies of the source and sink terms. In GCMs, cloud water production in mixed-phase clouds  
473 occurs mainly in liquid form; subsequent glaciation may occur through a variety of microphysical  
474 processes, particularly the Wegener-Bergeron-Findeisen<sup>127</sup> mechanism (see Storelvmo et al.<sup>128</sup> for a  
475 description and a review). Ice-phase microphysics are therefore mainly a sink of cloud liquid water.  
476 Upon warming, this sink should become suppressed, resulting in a larger reservoir of cloud liquid  
477 water<sup>19</sup>.

478 In GCMs, the optical depth feedback is likely dominated by microphysical phase change processes.  
479 Several lines of evidence support this idea. As in observations, low cloud optical depth increases with  
480 warming almost exclusively at high latitudes, and the increase in cloud water content is typically  
481 restricted to temperatures below freezing<sup>117, 129, 130</sup> – a finding that cannot be satisfactorily explained  
482 by the adiabatic water content mechanism. Imposing a temperature increase only in the ice-phase  
483 microphysics explains roughly 80% of the total LWP response to warming in two contemporary  
484 GCMs run in aquaplanet configuration<sup>19</sup>. Furthermore, changes in the efficiency of phase conversion  
485 processes have dramatic impacts on the cloud water climatology and sensitivity to warming in  
486 GCMs<sup>131-133</sup>.

487 *Causes of inter-model spread*

488 Although GCMs agree on the sign of the cloud optical depth response in mixed-phase clouds, the  
489 magnitude of the change remains highly uncertain. This is in large part because the efficiency of  
490 phase change processes varies widely between models, impacting the mean state and the sensitivity  
491 to warming<sup>116</sup>.

492 GCMs separately simulate microphysical processes for cloud water resulting from large-scale  
493 (resolved) vertical motions, and convective (unresolved, parameterized) motions. In convection  
494 schemes, microphysical phase conversions are crudely represented, usually as simple, model-

495 dependent analytic functions of temperature. While the representation of microphysical processes is  
496 much more refined in large-scale microphysics schemes, ice-phase processes remain diversely  
497 represented due to limitations in our understanding, particularly with regard to ice formation  
498 processes<sup>134, 135</sup>. In models explicitly representing aerosol-cloud interactions, an additional  
499 uncertainty results from poorly constrained ice nuclei concentrations<sup>122</sup>. For mixed-phase clouds,  
500 perturbing the parameterizations of phase transitions can significantly affect the ratio of liquid water  
501 to ice, the overall cloud water budget, and cloud-radiative properties<sup>19, 133</sup>. Owing to these  
502 uncertainties, the simple constraint that the liquid water fraction must increase with warming is  
503 strong but merely qualitative in GCMs.

504 It is believed that mixed-phase clouds may become glaciated too readily in most GCMs<sup>121, 128</sup>.  
505 Satellite retrievals suggest models underestimate the supercooled liquid fraction in cold clouds<sup>132, 136-</sup>  
506 <sup>138</sup>; this may be because models assume too much spatial overlap between ice and supercooled  
507 clouds, overestimating the liquid-to-ice conversion efficiency<sup>128</sup>. An expected consequence is that  
508 liquid water and cloud optical depth increase too dramatically with warming in GCMs, since there is  
509 too much climatological cloud ice in a fractional sense. Comparisons with observations appear to  
510 support that idea<sup>18, 20</sup>. Such microphysical biases could have powerful implications for the optical  
511 depth feedback, as models with excessive cloud ice may overestimate the phase change effect<sup>130, 133,</sup>  
512 <sup>139, 140</sup>. In summary, the current understanding is that the negative cloud optical depth feedback is  
513 likely too strong in most GCMs. Further work with observational data is needed to constrain GCMs  
514 and confirm the existence of a negative optical depth feedback in the real world.

#### 515 **Other possible cloud feedback mechanisms: tropical and extratropical dynamics**

516 While the mechanisms discussed above are mainly linked to the climate system's thermodynamic  
517 response to CO<sub>2</sub> forcing, dynamical changes could have equally important implications for clouds  
518 and radiation. This poses a particular challenge: not only are the cloud responses to a given  
519 dynamical forcing uncertain<sup>141</sup>, but the future dynamical response is also much more poorly  
520 constrained than the thermodynamic one<sup>142</sup>. Below we discuss two possible effects of changes in  
521 atmospheric circulation, one involving the degree of aggregation of tropical convection, and another  
522 based on extratropical circulation shifts with warming. We assess the relevance of these proposed  
523 feedback processes in GCMs and in the real world.

#### 524 *Convective aggregation and the "iris effect"*

525 Tropical convective clouds both reduce outgoing LW radiation and reflect solar radiation. These  
526 effects tend to offset each other, and over the broad expanse of warm waters in the western Pacific  
527 and Indian Ocean areas these two effects very nearly cancel, so that net cloud radiative effect is  
528 about zero<sup>143-145</sup>. The net neutrality of tropical cloud radiative effects results from a cancellation  
529 between positive effects of thin anvil clouds and negative effects of the thicker rainy areas of the  
530 cloud<sup>146</sup>. That convective clouds tend to rise in a warmed climate has been discussed above, but it is  
531 also possible that the optical depth or area coverage of convective clouds could change in a warmed  
532 climate. For high clouds with no net effect on the radiation balance, a change in area coverage  
533 without change in the average radiative properties of the clouds would have little effect on the  
534 energy balance (unless the high clouds are masking bright low clouds). Because the individual LW  
535 and SW effects of tropical convective clouds are large, a small change in the balance of these effects  
536 could also provide a large feedback.

537 So far more attention has been directed at oceanic boundary layer clouds, whose net CRE is large,  
538 since their substantial SW effect is not balanced by their relatively small LW effect. But since the SW  
539 effect of tropical convective clouds is as large as that of boundary-layer clouds in stratocumulus  
540 regimes, a substantial feedback could occur if the relative area coverage of thin anvils versus rainy  
541 cores with higher albedos changes in a way to disrupt the net radiative neutrality of convective  
542 clouds. Relatively little has been done on this problem, since global climate models do not resolve or  
543 explicitly parameterize the physics of convective complexes and their associated meso- and  
544 microscale processes.

545 It has been proposed that tropical anvil cloud area should decrease in a warmed climate, possibly  
546 causing a negative LW feedback, but the theoretical and observational basis for this hypothesis  
547 remains controversial<sup>147-151</sup>. The response of tropical high cloud amount to warming in GCMs is very  
548 sensitive to the particular parameterizations of convection and cloud microphysics that are  
549 employed<sup>107, 152</sup>, as might be expected.

550 One basic physical argument for changing the area of tropical high clouds with warming involves  
551 simple energy balance and the dependence of saturation vapor pressure on temperature<sup>35</sup>. The  
552 basic energy balance of the atmosphere is radiative cooling balanced by latent heating. Convection  
553 must bring enough latent heat upward to balance radiative losses. Radiative losses increase rather  
554 slowly with surface temperature (~1.5% per K), whereas the latent energy in the atmosphere  
555 increases by ~7% per K warming<sup>35, 153</sup>. If one assumes that latent heating is proportional to saturation  
556 vapor pressure times convective mass flux, it follows that convective mass flux must decrease as the  
557 planet warms<sup>35</sup>. If the cloud area decreases with the mass flux, then the high cloud area should  
558 decrease with warming. Some support for this mechanism is found in global cloud-resolving model  
559 experiments<sup>57</sup>.

560 Another mechanism is the tendency of tropical deep convection to aggregate in part of the domain,  
561 leaving another part of the domain with little high cloud and low relative humidity. This is observed  
562 to happen in radiative-convective equilibrium models in which the mesoscale dynamics of  
563 convective clouds is resolved<sup>154-156</sup>, although the relevance of this mechanism to realistic models and  
564 the real world remains unclear. The presence of convection moistens the free troposphere, and the  
565 radiative and microphysical effects of this encourage convection to form where it has already  
566 influenced the environment. Away from the convection, the air is dry and radiative cooling supports  
567 subsidence that suppresses convection. It has been argued that since self-aggregation occurs at high  
568 temperatures, global warming may lead to a greater concentration of convection that may reduce  
569 the convective area and lead to a cloud feedback<sup>21</sup>. Since tropical convection is also organized by the  
570 large-scale circulations of the tropics, and the physics of tropical anvil clouds are not well-  
571 represented in global models, these ideas remain a topic of active research. Basic thermodynamics  
572 make the static stability a function of pressure, which may affect the fractional coverage of high  
573 clouds in the tropics<sup>21, 52</sup>.

#### 574 *Shifts in midlatitude circulation with global warming*

575 Atmospheric circulation is a key control on cloud structure and radiative properties<sup>157</sup>. Because  
576 current GCMs predict systematic shifts of subtropical and extratropical circulation toward higher  
577 latitudes as the planet warms<sup>158</sup>, it has been suggested that midlatitude clouds will shift toward  
578 regions of reduced insolation, causing an overall positive SW feedback<sup>3, 159</sup>.

579 Although this poleward shift of storm-track clouds counts among the robust positive cloud feedback  
580 mechanisms identified in the fifth IPCC assessment report (Fig. 7.11 in Boucher et al.<sup>3</sup>), the picture is  
581 much less clear in analyses of cloud-radiative responses to storm track shifts in GCM experiments.  
582 While some GCMs produce a clear cloud-radiative SW dipole in response to storm track shifts<sup>160</sup>,  
583 others simulate no clear zonal- or global-mean SW response<sup>24, 161-163</sup>. In the context of observed  
584 variability, the GCMs with no significant cloud-radiative response to a storm-track shift are clearly  
585 more consistent with observations<sup>22, 24</sup>. The lack of an observed SW cloud feedback to storm track  
586 shifts results from free-tropospheric and boundary-layer clouds responding to storm track variability  
587 in opposite ways. As the storms shift poleward, enhanced subsidence in the midlatitudes causes  
588 free-tropospheric drying and cloud amount decreases, resulting in the expected shift of free-  
589 tropospheric cloudiness. Meanwhile, however, lower-tropospheric stability increases, favoring  
590 enhanced boundary-layer cloudiness and maintaining the SW CRE nearly unchanged<sup>24</sup>. The ability of  
591 GCMs to reproduce this behavior has been linked to their shallow convection schemes<sup>163</sup> and to  
592 their representation of the effect of stability on boundary-layer cloud<sup>24</sup>. If unforced variability  
593 provides a good analog for the cloud response to forced dynamical changes – thought to be  
594 approximately true in GCMs<sup>163</sup> – then the above results suggest little SW radiative impact from  
595 future jet and storm track shifts.

596 Since LW radiation is much more sensitive to the response of free-tropospheric clouds than to low  
597 cloud changes, storm-track shifts do cause coherent LW cloud-radiative anomalies<sup>23</sup>. These  
598 anomalies are small in the context of global warming-driven cloud feedback, however<sup>23</sup>, so that  
599 future shifts in midlatitude circulation appear unlikely to be a major contribution to global-mean LW  
600 cloud feedback. Given the strong seasonality of LW and SW cloud-radiative anomalies, it remains  
601 possible that extratropical circulation shifts have non-negligible radiative impacts on seasonal time  
602 scales<sup>164, 165</sup>. It is also possible that clouds and radiation respond more strongly to other aspects of  
603 atmospheric circulation than the midlatitude jets and storm tracks; it has been recently proposed  
604 that midlatitude cloud changes are more strongly tied to Hadley cell shifts than to the jet<sup>165</sup>. Further  
605 observational and modeling work is needed to confirm these relationships and assess their relevance  
606 to cloud feedback.

607

## 608 **CONCLUDING REMARKS**

### 609 *Possible pathways to an improved representation of cloud feedback in GCMs*

610 Recent progress on the problem of cloud feedback has enabled unprecedented advances in process-  
611 level understanding of cloud responses to CO<sub>2</sub> forcing. The main cloud property changes responsible  
612 for radiative feedback in GCMs – rising high clouds, decreasing tropical low cloud amount, increasing  
613 low cloud optical depth – are supported to varying degree by theoretical reasoning, high-resolution  
614 modeling, and observations.

615 Much of the recent gains in understanding of radiatively-important tropical low cloud changes have  
616 been accomplished through the use of limited-area, high-resolution LES models, able to explicitly  
617 represent the critical boundary layer processes unresolved by GCMs. Because limited-area models  
618 must be forced with prescribed climate change conditions, however, such models are unable to  
619 represent the important feedbacks of clouds onto the large-scale climate. To fully understand how

620 cloud feedback affects climate sensitivity, atmospheric and oceanic circulation, and regional climate,  
621 we must rely on global models.

622 Accurately representing clouds and their radiative effects in global models remains a formidable  
623 challenge, however, and GCM spread in cloud feedback has not decreased substantially in recent  
624 decades. Uncertainties in the global warming response of clouds are linked to the difficulty in  
625 representing the complex interactions among the various physical processes at play – radiation,  
626 microphysics, convective and turbulent fluxes, dynamics – through traditional GCM  
627 parameterizations. Owing to sometimes unphysical interactions between individual  
628 parameterizations, cloud feedback mechanisms may differ between GCMs<sup>46, 110</sup>, and these  
629 mechanisms may also be distinct from those acting in the real world.

630 One approach to circumvent the shortcomings of traditional GCM parameterizations involves  
631 embedding a cloud-resolving model in each GCM grid box over part of the horizontal domain<sup>166-168</sup>.  
632 Such “superparameterized” GCMs can thus explicitly simulate some of the convective motions and  
633 subgrid variability that traditional parameterizations fail to represent accurately, while remaining  
634 computationally affordable relative to global cloud-resolving models. However, superparameterized  
635 GCMs remain unable to resolve the boundary-layer processes controlling radiatively-important low  
636 clouds – and similarly to global cloud resolving models, they report disappointingly large spread in  
637 their cloud feedback estimates<sup>15</sup>.

638 A recent further development, made possible by steady increases in computing power, involves the  
639 use of LES rather than cloud-resolving models as a substitute for GCM parameterizations<sup>16, 169</sup>. First  
640 results suggest encouraging improvements in the representation of boundary-layer clouds (C.  
641 Bretherton, pers. comm.). Superparameterization with LES combines aspects of the model hierarchy  
642 into a single model, making it possible to represent both the small-scale processes and their impact  
643 on the large scales. Analyses of superparameterized model experiments could also be used to design  
644 more realistic parameterizations to improve boundary-layer characteristics, cloud variability, and  
645 thus cloud feedback in traditional GCMs. An important caveat, however, is that current LES  
646 superparameterizations are relatively coarse and may not represent processes such as entrainment  
647 well, so that further increases in computing power may be necessary to fully exploit the possibilities  
648 of LES superparameterization.

649 Irrespective of future increases in spatial resolution, GCMs will continue requiring parameterization  
650 of the important microphysical processes of liquid droplet and ice crystal formation. As discussed in  
651 this review, microphysical processes constitute a major source of uncertainty in future cloud  
652 responses, particularly with regard to mixed-phase cloud radiative properties<sup>19</sup> and precipitation  
653 efficiency in convective clouds<sup>107</sup>. The treatment of cloud-aerosol interactions also remains deficient  
654 in current parameterizations<sup>170</sup>. Improving the parameterization of microphysical processes must  
655 therefore remain a priority for future work; this will involve a combined use of laboratory  
656 experiments<sup>171</sup>, and satellite and in-situ observations of cloud phase<sup>119, 138</sup>.

657 Although the main focus of this paper has been on the representation of clouds in GCMs,  
658 observational analyses will remain crucial to advance our understanding of cloud feedback, in  
659 conjunction with process-resolving modeling and global modeling. On the one hand, reliable  
660 observations of clouds and their environment at both local and global scales are indispensable to  
661 test and improve process-resolving models and GCM parameterizations. On the other hand, models

662 can provide process-based understanding of the relationship between clouds and the large-scale  
663 environment, which can be exploited to identify observational constraints on cloud feedback.

#### 664 *Current limits of understanding*

665 We conclude this review by highlighting two problems which we regard as key limitations in our  
666 understanding of how cloud feedback impacts the climate system's response to external forcing. The  
667 first problem relates to the relevance of cloud feedback to future atmospheric circulation changes,  
668 which control climate change impacts at regional scales<sup>142</sup>. The circulation response is driven by  
669 changes in diabatic heating, to which the radiative effects of clouds are an important contribution.  
670 Hence cloud feedbacks must affect the dynamical response to warming, but the dynamical  
671 implications of cloud feedback are just beginning to be quantified and understood. Recent work has  
672 shown that cloud feedbacks have large impacts on the forced dynamical response to warming and  
673 particularly the shift of the jets and storm tracks<sup>22, 161, 172, 173</sup>. Thus the cloud response to warming  
674 appears as one of the key uncertainties for future circulation changes. Substantial research efforts  
675 are currently underway to improve our understanding of cloud-circulation interactions at various  
676 scales and their implications for climate sensitivity, a problem identified as one of the current "grand  
677 challenges" of climate science<sup>173-175</sup>.

678 Our second point concerns the problem of time dependence of cloud feedback. The traditional  
679 feedback analysis framework is based on the simplifying assumption that feedback processes scale  
680 with global-mean surface temperature, independent of the spatial pattern of warming. However,  
681 recent research shows that the global feedback parameter does depend upon the pattern of surface  
682 warming, which itself changes over time in CO<sub>2</sub>-forced experiments<sup>7, 176-178</sup>. In particular, most CMIP5  
683 models subjected to an abrupt quadrupling of CO<sub>2</sub> concentrations indicate that the SW cloud  
684 feedback parameter *increases* after about two decades, and this is a direct consequence of changes  
685 in the SST warming pattern<sup>179</sup>. Since future patterns of SST increase are uncertain in GCMs, and may  
686 differ from those observed in the historical record, this introduces an additional uncertainty in the  
687 magnitude of global-mean cloud feedback and our ability to constrain it using observations<sup>180, 181</sup>.  
688 Therefore, further work is necessary to understand what determines the spatial patterns of SST  
689 increase, and how these patterns influence cloud properties at regional and global scales.

690

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706

## 707 FURTHER READING

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