

1 **The respective roles of surface temperature driven**  
2 **feedbacks and tropospheric adjustment to CO<sub>2</sub> in**  
3 **CMIP5 transient climate simulations**

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10 **Abstract** An overview of radiative climate feedbacks and ocean heat uptake effi-  
11 ciency diagnosed from idealized transient climate change experiments of 14 CMIP5  
12 models is presented. Feedbacks explain about two times more variance in transient  
13 climate response across the models than ocean heat uptake efficiency. Cloud feed-  
14 backs can clearly be identified as the main source of inter-model spread. Models

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with strong longwave feedbacks in the tropics feature substantial increases in cloud ice around the tropopause suggestive of changes in cloud-top heights. The lifting of the tropical tropopause goes together with a general weakening of the tropical circulation. Distinctive inter-model differences in cloud shortwave feedbacks occur in the subtropics including the equatorward flanks of the storm-tracks. Related cloud fraction changes are not confined to low clouds but comprise middle level clouds as well. A reduction in relative humidity through the lower and mid troposphere can be identified as being the main associated large-scale feature. Experiments with prescribed sea surface temperatures are analyzed in order to investigate whether the diagnosed feedbacks from the transient climate simulations contain a tropospheric adjustment component that is not conveyed through the surface temperature response. The strengths of the climate feedbacks computed from atmosphere-only experiments with prescribed increases in sea surface temperatures, but fixed CO<sub>2</sub> concentrations, are close to the ones derived from the transient experiment. Only the cloud shortwave feedback exhibits discernible differences which, however, can not unequivocally be attributed to tropospheric adjustment to CO<sub>2</sub>. Although for some models a tropospheric adjustment component is present in the global mean shortwave cloud feedback, an analysis of spatial patterns does not lend support to the view that cloud feedbacks are dominated by their tropospheric adjustment part. Nevertheless, there is positive correlation between the strength of tropospheric adjustment processes and cloud feedbacks across different climate models.

**Keywords** Climate feedbacks · Tropospheric adjustment · Transient climate response

## 1 Introduction

Only about one third of the equilibrium surface temperature response to a doubling of the atmospheric CO<sub>2</sub> concentration is a direct consequence of the change in the CO<sub>2</sub> content. About two thirds are due to feedbacks in the climate system (e.g. Held and Soden 2000, Dufresne and Bony 2008, Langen et al 2012, Mauritsen et al 2012). Moreover, the direct forcing caused by the pure CO<sub>2</sub> concentration increase is quite consistently computed by the radiation schemes in various climate models. Although not negligible, it does not constitute the major source of inter-model spread (Myhre et al 1998, Collins et al 2006, Forster and Taylor 2006, Gettelman et al 2012).

Therefore, in order to understand the diverse sensitivities of climate models to greenhouse gas concentration changes, an analysis of the main feedbacks as simulated by the various models is fundamental (Manabe and Wetherald 1980, Hansen et al 1984, Wetherald and Manabe 1988, Cess and Potter 1988, Zhang et al 1994). This allows not only for identifying the sources of inter-model differences, but also for isolating key physical processes that are involved in robust model responses to CO<sub>2</sub> concentration changes, and consequently for a better understanding of the climate system. In transient climate change simulations, not only climate intrinsic feedbacks determine the surface temperature response, also the thermal inertia of the ocean plays a role (Dufresne and Bony 2008, Winton et al 2010).

In the traditional definition of radiative feedbacks, the feedback is a consequence of the change in surface temperature provoked by the forcing agent. The

61 feedback in turn induces a perturbation in the radiative budget at the top of the  
62 atmosphere and thus reinforces or counteracts the effect of the forcing on the sur-  
63 face temperature. It is however not evident whether the radiative effects of changes  
64 in water vapor, clouds, or the atmospheric lapse rate, for instance, depend only  
65 on the surface temperature anomaly.

66 Gregory and Webb (2008) described a tropospheric adjustment to abrupt in-  
67 creases in the atmospheric CO<sub>2</sub> concentration which occurs even in the case when  
68 sea surface temperatures are held constant. According to their study, the surface  
69 dependent shortwave cloud feedback is statistically insignificant in nearly all the  
70 examined models, and radiative changes caused by clouds depend on the CO<sub>2</sub>  
71 concentration change rather than on the magnitude of the surface temperature  
72 perturbation.

73 This raises the question whether there are cloud feedbacks in the traditional  
74 sense at all, or if the changes in clouds are an effect of changed heating rates  
75 in the atmosphere, with consequent changes to stability, vertical mixing, and the  
76 moisture profile, which do not depend on the amplitude of the surface temperature  
77 anomalies (Gregory and Webb 2008).

78 Alternatively, as suggested by Colman and McAvaney (2011), tropospheric  
79 adjustment is confined to cloud fraction changes affecting the shortwave radiation  
80 budget, and relevant surface temperature dependent feedbacks are present in all  
81 cloud components. Similarly, Webb et al (2012) estimate that cloud feedbacks  
82 contribute about four times as much as the cloud changes caused by tropospheric  
83 adjustment to the range of climate sensitivity in an ensemble of climate model  
84 simulations. In this case one might ask if the strength of tropospheric adjustment  
85 processes and the amplitude of surface temperature driven cloud feedbacks are  
86 related.

87 It is not obvious whether tropospheric adjustment to abrupt alterations in CO<sub>2</sub>  
88 concentration as diagnosed from experiments with fixed sea surface temperatures  
89 (SSTs) is relevant for the case of transient climate change (Andrews et al 2011,  
90 Andrews et al 2012). In these types of atmosphere-only experiments, for technical  
91 reasons, land surface temperatures are not held constant but are allowed to change.  
92 A quadrupling of the CO<sub>2</sub> concentration with only sea surface temperatures held  
93 fixed causes rising motion and cloud cover at all levels to shift from ocean to land  
94 (Watanabe et al 2011, Kamae and Watanabe 2012, Wyant et al 2012). This effect  
95 however is mediated through surface warming and not supposed to be addressed  
96 as tropospheric adjustment in the strict sense. Under transient and equilibrium  
97 global warming, observed and modeled climates show a nearly time-invariant ratio  
98 of mean land to mean ocean surface temperature change (Lambert and Webb  
99 2011). When climate is forced with increasing atmospheric CO<sub>2</sub> concentrations,  
100 heat is transported from the land to the ocean, constraining the land to warm in  
101 step with the ocean surface.

102 On the other hand, when climate is driven by prescribed changes in SSTs, the  
103 heat transport anomaly moves heat from ocean to land, warming the land surface  
104 (Lambert and Webb 2011). As a consequence, atmosphere-only simulations with  
105 prescribed SST anomalies show very similar land surface temperature changes as  
106 coupled climate model simulations forced by CO<sub>2</sub> changes that lead to similar SST  
107 perturbations. This brings up the issue, intimately linked to the question about the  
108 role of tropospheric adjustment, whether climate feedbacks diagnosed from fixed

109 SST experiments are identical to the ones inferred from fully coupled transient  
110 climate change simulations (Colman and McAvaney 1997, Gettelman et al 2012).

111 In order to appropriately address the question about the respective roles of  
112 tropospheric adjustment to CO<sub>2</sub> and surface temperature governed feedbacks in  
113 transient climate change, a set of idealized experiments as well as an ensemble  
114 of 14 different climate models are analyzed. The simulations are part of the fifth  
115 phase of the Coupled Model Intercomparison Project (CMIP5, Taylor et al 2012).

116 The article is structured as follows. In the second section the climate models  
117 and the experiments are introduced. In the third section the methods that are used  
118 to quantify the climate feedbacks, the partial radiative perturbation technique and  
119 the radiative kernel method, are described. Also the role of the radiation scheme  
120 involved in the feedback analysis is discussed.

121 The fourth section presents an overview of the various feedbacks in the en-  
122 semble of coupled climate models as diagnosed from a simulation in which the  
123 atmospheric CO<sub>2</sub> concentration is increased by 1 percent per year, starting from  
124 the pre-industrial control state until the CO<sub>2</sub> concentration reaches four times the  
125 pre-industrial value (termed “1pctCO2”). An estimate of the ocean heat uptake  
126 efficiency is given for all models, and the relative contribution of feedbacks and  
127 ocean heat uptake efficiency to the explanation of inter-model differences in the  
128 transient climate response is discussed.

129 In agreement with previous studies, the model spread in the combined water  
130 vapor and lapse rate feedback, as well as the albedo and Planck feedback, is found  
131 to be rather small (Colman 2003, Soden and Held 2006). Therefore, the feedbacks  
132 associated with clouds are identified as the major source of inter-model differences.  
133 Consequently the most important aspects of changes in cloud properties are ex-  
134 amined in Section 4.2 in more detail, and the changes in cloud characteristics  
135 are related to alterations in large-scale diagnostic indices across the ensemble of  
136 climate models.

137 In section 5, climate feedbacks and top-of-the-atmosphere radiative perturba-  
138 tions in various AMIP-type experiments are investigated in order to assess the  
139 respective roles of surface temperature changes and tropospheric adjustment pro-  
140 cesses caused by the CO<sub>2</sub> increase. Experiments in which the SSTs are uniformly  
141 increased by 4 Kelvin (termed “amip4K”), as well as experiments in which a pat-  
142 terned SST perturbation is added (termed “amipFuture”), are compared to the  
143 standard present-day AMIP simulations. A comparison of the climate feedbacks in  
144 these experiments with the ones diagnosed from the “1pctCO2” simulation allows  
145 for attributing the amplitudes of various climate feedbacks to surface temperature  
146 anomalies. Similarly, top-of-the-atmosphere radiative fluxes in AMIP-type experi-  
147 ments with quadrupled atmospheric CO<sub>2</sub> concentration but fixed present-day SSTs  
148 (termed “amip4xCO2”) are analyzed in order to examine the tropospheric adjust-  
149 ment to changes in CO<sub>2</sub>.

150 Finally, the results of the paper are summarized in a set of conclusions.

## 151 **2 Models and simulations**

152 The feedback analysis is based on the idealized 1 % per year CO<sub>2</sub> increase experi-  
153 ment “1pctCO2” of CMIP5 (Taylor et al 2012). In this experiment the atmospheric  
154 CO<sub>2</sub> concentration is prescribed and increased by 1 % per year starting from the

**Table 1** The coupled climate models considered in the present work, the name of their atmospheric and oceanic components, and the vertical and horizontal resolution of the atmospheric components.

coupled model	atmospheric part	oceanic part	vertical res	horizontal res
MPI-ESM-LR	ECHAM6	MPI-OM	47 levels	1.875x1.875 deg
MPI-ESM-MR	ECHAM6	MPI-OM TP04	95 levels	1.875x1.875 deg
CNRM-CM5	ARPEGE	NEMO v3.2	31 levels	1.4x1.4 deg
HadGEM2-ES	HadGEM2-A	HadGEM2-O	38 levels	1.25x1.875 deg
NorESM1-M	CAM4-Oslo	MICOM	26 levels	1.9x2.5 deg
IPSL-CM5A-LR	LMDZ5A	NEMO v3.2	39 levels	1.875x3.75 deg
ACCESS1-0	HadGEM2-A	GFDL MOM4.1	38 levels	1.25x1.875 deg
bcc-csm-1	BCC T63	IAP T63	16 levels	2.8125x2.8125 deg
CanESM2	CanAM4	CanOM4	35 levels	2.8125x2.8125 deg
inmcm4	inmcm4-A	inmcm4-O	21 levels	1.5x2.0 deg
MIROC5	CCSR-AGCM	COCO	40 levels	1.4x1.4 deg
MRI-CGCM3	MRI-AGCM3	MRI-COM3	35 levels	1.125x1.125 deg
CCSM4	CAM4	POP2	26 levels	0.94x1.125 deg
CESM1-CAM5	CAM5	POP2	30 levels	0.94x1.125 deg

155 year 1850 of a pre-industrial control simulation until quadrupling of the CO<sub>2</sub> con-  
 156 centration with respect to pre-industrial levels after 140 years. All other external  
 157 forcings, in particular aerosols, are kept at their pre-industrial values.

158 In order to investigate the respective roles of surface temperature increases and  
 159 tropospheric adjustment to changes in CO<sub>2</sub> in climate model responses, atmosphere-  
 160 only simulations with prescribed SSTs, so-called AMIP-type experiments, are an-  
 161 alyzed.

162 In the experiment “amip4xCO<sub>2</sub>”, sea surface temperature and sea ice for the  
 163 years 1979 to 2008 are prescribed while the CO<sub>2</sub> concentration is quadrupled with  
 164 respect to pre-industrial levels. In the experiment “amip4K”, a uniform anomaly  
 165 of 4 Kelvin is added to the prescribed sea surface temperatures of the years 1979  
 166 to 2008. The CO<sub>2</sub> concentration is kept at the present-day value. Similarly, in the  
 167 experiment “amipFuture”, a patterned anomaly is added to the prescribed sea  
 168 surface temperatures of the years 1979 to 2008. The anomaly pattern is derived  
 169 from a composite of the CMIP3 ensemble of coupled climate model response at  
 170 time of CO<sub>2</sub> quadrupling. For all these AMIP-type experiments, the standard  
 171 AMIP experiment with prescribed sea surface temperatures and sea ice of the  
 172 years 1979 to 2008, and present-day CO<sub>2</sub> concentration, serves as a reference. The  
 173 described experiments are part of the CMIP5 protocol (Taylor et al 2012).

174 For the feedback analysis, 14 different global climate models are considered:  
 175 MPI-ESM-LR and MPI-ESM-MR (Giorgetta et al 2012, Stevens et al 2012),  
 176 CNRM-CM5 (Voldoire et al 2012), HadGEM2-ES (Jones et al 2011), NorESM1-M  
 177 (Seland et al 2008), IPSL-CM5A-LR (Dufresne et al 2012), ACCESS1-0, bcc-  
 178 csm1-1 (Climate System Modeling Division 2005), CanESM2 (Chylek et al 2011),  
 179 inmcm4 (Volodin et al 2010), MIROC5 (Watanabe et al 2010), MRI-CGCM3  
 180 (Yukimoto et al 2011), CCSM4 (Gent et al 2011), CESM1-CAM5 (Gettelman  
 181 et al 2012).

182 In Table 1 all coupled models, their atmospheric and oceanic parts, and the  
 183 resolutions of the atmospheric model components are summarized.

184 Figure 1 shows the global mean temperature increase, relative to the pre-  
 185 industrial control run, in the 140 years of the “1pctCO2” experiment for the 14  
 186 models considered in the present study.

### 187 3 Feedback quantification methods

188 Changing the CO<sub>2</sub> concentration of the atmosphere can conceptually be under-  
 189 stood as applying an external radiative forcing  $F$  to the climate system at the  
 190 top of the atmosphere. As a consequence of this forcing, the surface temperature  
 191  $T_S$  changes. This in turn leads to changes in other characteristics of the climate  
 192 system like the amount and distribution of water vapor in the atmosphere, or the  
 193 surface albedo of the Earth following alterations in ice and snow cover, which again  
 194 modifies the radiative flux  $R$  at the top of the atmosphere.

195 One can therefore distinguish between the direct radiative forcing that is caused  
 196 by the change in atmospheric CO<sub>2</sub> content, and the feedbacks that are a result of  
 197 the subsequent surface temperature increase or decrease. Both forcing and feed-  
 198 backs have an effect on the energy balance of the climate system at the top of the  
 199 atmosphere.

200 Changes in the energy balance of the climate system can be summarized in the  
 201 following zero-dimensional energy balance model:

$$\Delta R = F + \lambda \cdot \Delta T_S \quad (1)$$

202 where  $\lambda$  denotes the feedback factor, which is the rate of change of top-of-the-  
 203 atmosphere radiative fluxes with respect to the global mean surface temperature  
 204  $T_S$ .

205 Under the assumption of additivity of the feedback processes, the feedback  
 206 factor  $\lambda$  can be decomposed into the effect of different individual feedbacks as  
 207  $\lambda = \lambda_T + \lambda_A + \lambda_W + \lambda_C$ , where  $\lambda_T$  describes the effect of the temperature feedback,  
 208  $\lambda_A$  the effect of the albedo feedback,  $\lambda_W$  the effect of the water vapor feedback,  
 209 and  $\lambda_C$  the effect of the cloud feedback. The temperature feedback can be further  
 210 decomposed into the Planck feedback  $\lambda_P$  and the lapse rate feedback  $\lambda_{LR}$ , where  
 211  $\lambda_P$  assumes that the temperature change is uniform throughout the atmosphere,  
 212 in accordance with the surface temperature change, and  $\lambda_{LR}$  takes into account  
 213 the modification due to the vertical nonuniformity of the temperature anomaly.  
 214 For the temperature feedback only the troposphere is considered in order not to  
 215 include the effects of stratospheric adjustment.

216 A way of quantifying feedbacks that closely follows the above definition of  
 217 radiative feedbacks is the partial radiative perturbation (PRP) method introduced  
 218 by Wetherald and Manabe (1988) (see also Colman and McAvaney 1997, Colman  
 219 2003). Off-line radiative transfer calculations are used to estimate the effect of  
 220 specific meteorological fields on the radiative flux at the top of the atmosphere.  
 221 Under the assumption of additivity, each variable is substituted, one at a time,  
 222 from an experiment or time period with higher CO<sub>2</sub> concentrations, the perturbed  
 223 simulation, while all other variables that enter the radiation calculation are taken  
 224 from the control experiment. In our case the control simulation is the first 6 years  
 225 of the “1pctCO2” experiment, while the perturbed simulation corresponds to the  
 226 last 6 years of the same experiment.

227 The feedback factor  $\lambda_x$  for the variable  $x$  (which could be water vapor, clouds,  
 228 surface albedo, or temperature) is then calculated as  $\Delta R_x$  divided by  $\Delta T_S$ , where  
 229  $\Delta R_x$  is the difference of the top-of-the-atmosphere radiative flux calculated from  
 230 (i) the variable  $x$  from the perturbed experiment and all other variables from the  
 231 control experiment, and (ii) all variables from the control experiment. In the case of  
 232 the lapse rate feedback, only the vertical temperature profile up to the tropopause  
 233 is perturbed, stratospheric temperatures are taken from the control period.

234 Colman and McAvaney (1997) pointed out that the assumption that all fields  
 235 that enter the radiation scheme are uncorrelated introduces biases. This can par-  
 236 tially be overcome by applying the partial radiative perturbation calculation twice.  
 237 In the first step, the so-called forward PRP computation, the perturbed fields of  
 238 the various variables are substituted as already described into the control sim-  
 239 ulation. In a second step, the perturbed simulation is defined to be the control  
 240 simulation, and vice versa. The final radiative perturbation estimate of the feed-  
 241 back parameters  $\lambda_x$  is then defined to be the mean over forward and backward  
 242 PRP computations.

243 Full PRP calculations are computationally expensive and temporally high-  
 244 resolution model output fields are required. Soden and Held (2006) suggested the  
 245 use of radiative kernels to simplify the computations and at the same time avoid  
 246 the problem of correlated input fields. The idea is to write  $\lambda_x$  as a product of two  
 247 terms, one dependent on the radiative transfer, the other on the climatic response:

$$\lambda_x = \frac{\partial R}{\partial x} \cdot \frac{\partial x}{\partial T_S} = K_x \cdot \frac{\partial x}{\partial T_S} \quad (2)$$

248 The radiative kernel  $K_x$  is derived using a specific radiative transfer code. For  
 249 more details on the method we refer the reader to Soden and Held (2006) and  
 250 Soden et al (2008). In the present study we use a radiative kernel for the model  
 251 intercomparison, but perform full PRP computations in the case of three climate  
 252 models in order to assess the accuracy of the kernel method. The employed ra-  
 253 diative kernel is calculated as described in Block and Mauritsen (2012) with one  
 254 exception. The kernel used here is the mean of two kernels: a forward kernel which  
 255 uses the pre-industrial state as a base state, and a backward kernel which assumes  
 256 an equilibrated  $4 \times \text{CO}_2$  climate as the reference state. A similar averaging of ker-  
 257 nels was suggested by Jonko et al (2012). A comparison and validation of kernels  
 258 computed from different base states is included in Block and Mauritsen (2012).  
 259 In the case of the kernel method, top-of-the-atmosphere radiative fluxes due to  
 260 changes in cloud fields, and corresponding cloud feedbacks, are calculated as sug-  
 261 gested in Soden et al (2008). In contrast to the direct calculation of cloud feedbacks  
 262 in PRP computations as described above, cloud feedbacks are determined by ad-  
 263 justing the model-simulated change in cloud radiative forcing to account for cloud  
 264 masking effects (see also Shell et al 2008 and Block and Mauritsen 2012 for more  
 265 details). For computations of top-of-the-atmosphere radiative fluxes based on the  
 266 kernel method, monthly mean data are used.

267 The PRP computations are based on 6 hourly climate model output using an  
 268 off-line version of the ECHAM6 radiation code, which rests on the Rapid Radiative  
 269 Transfer Model (RRTM, Clough et al 2005). In the case of one model, the CNRM-  
 270 CM5, the PRP calculations are performed in addition with the native radiation  
 271 code of the model. The shortwave radiation scheme employed in CNRM-CM5 is

**Table 2** Comparison of global mean feedback values based on PRP calculations and the radiative kernel method for three climate models. In case of CNRM-CM5 the PRP calculations are performed with the ECHAM6 radiation scheme as well as the native radiation code of the model.

Method	Albedo	Water vapor	Lapse rate	Cloud LW	Cloud SW
MPI-ESM-LR					
Kernel	0.25	2.19	-0.99	0.51	0.39
PRP	0.23	2.23	-1.07	0.48	0.30
IPSL-CM5A-LR					
Kernel	0.19	2.35	-1.05	0.30	1.13
PRP	0.21	1.82	-0.84	0.14	0.91
CNRM-CM5A					
Kernel	0.36	1.82	-0.45	0.36	0.22
PRP	0.47	1.56	-0.47	0.30	0.00
PRP own rad	0.43	1.66	-0.50	0.30	0.00

272 based on Fouquart and Bonnel (1980), while the longwave part relies on the RRTM  
 273 as well.

274 Table 2 summarizes global mean values of surface albedo, water vapor, lapse  
 275 rate, cloud longwave, and cloud shortwave feedbacks for the three models. The two  
 276 methods are in good agreement. Figure 2 shows a comparison for longwave radiative  
 277 fluxes at the top of the atmosphere due to changes in clouds as derived from  
 278 PRP calculations (left column) and the radiative kernel method (right column)  
 279 for the same climate models. In both cases the first 6 years of the “1pctCO2” sim-  
 280 ulation serve as the reference period, while the last 6 years of the same simulation  
 281 provide the perturbed state. For CNRM-CM5 both the PRP computation with  
 282 the ECHAM6 radiation code (third row) as well as the native radiation scheme of  
 283 the model is shown (fourth row). The same results for the corresponding top-of-  
 284 the-atmosphere cloud shortwave fluxes are presented in Figure 3.

285 The differences between the feedbacks calculated using PRP and the radiative  
 286 kernel are not negligible and of a similar order of magnitude as the total  
 287 cloud feedback. This is due to the fact that various simplifying assumptions enter  
 288 the kernel calculations, that the kernel is computed from one single model and  
 289 to some extent base-state dependent. Nevertheless, not only global mean values  
 290 of radiative fluxes are satisfactorily reproduced by the kernel method, also the  
 291 patterns compare favorably with the PRP reference calculations. Moreover, the  
 292 discrepancies that are introduced by the use of different radiation schemes in case  
 293 of the CNRM-CM5 model turn out to be small. Therefore, the kernel method is  
 294 concluded to be suited for the model intercomparison in the subsequent sections  
 295 of the present study, while for other objectives more precise methods might need  
 296 to be applied (Block and Mauritsen 2012).

#### 297 **4 Feedbacks in transient climate simulations of CMIP5 models**

298 In this section an overview of the strength of different feedbacks in 14 CMIP5  
 299 global climate models is presented. A discussion of the degree to which the feedback

300 analysis can explain the model spread in surface temperature responses due to the  
 301 atmospheric CO<sub>2</sub> concentration increase is included.

302 The analysis is based on the CMIP5 “1pctCO2” experiment which prescribes  
 303 an increase in the atmospheric CO<sub>2</sub> concentration by 1 % per year starting from  
 304 the pre-industrial control simulation and assumes constant aerosol emissions of the  
 305 year 1850 as in the pre-industrial control run. In transient climate change simula-  
 306 tions the amplitude of the temperature responses in the models is controlled not  
 307 only by the strength of the feedbacks, but also by the efficiency of the ocean heat  
 308 uptake. As proposed by Gregory and Mitchell (1997) and discussed in Dufresne  
 309 and Bony (2008), in transient simulations with only a modest departure from equi-  
 310 librium the ocean heat uptake efficiency  $\kappa$  can be estimated based on equation (1)  
 311 by

$$\kappa = -\frac{\Delta R}{\Delta T_S} \quad (3)$$

312 assuming that the top-of-the-atmosphere imbalance  $R$  in equation (1) is approxi-  
 313 mately equal to the ocean heat uptake.

314 In Section 4.1 we summarize the results of the feedback analysis and identify  
 315 the cloud feedback as the main source of inter-model differences. Consequently,  
 316 in Section 4.2 the main features of the disparity in the modeled changes of cloud  
 317 characteristics are discussed in more detail, and the various cloud responses are  
 318 related to changes in a few key large-scale indices.

#### 319 4.1 Feedback and ocean heat uptake intercomparison

320 The amplitudes of the albedo, water vapor, lapse rate, joint water vapor and lapse  
 321 rate, cloud longwave, cloud shortwave, total cloud, and Planck feedback for the 14  
 322 CMIP5 models are presented in the upper panel of Figure 4. The absolute values  
 323 as well as the ranges across different models are comparable to the ones reported  
 324 in earlier studies (Bony et al 2006, Soden et al 2008). The strong negative corre-  
 325 lation between the water vapor and the lapse rate feedback, due to a prominent  
 326 contribution of both feedbacks in the tropical upper troposphere, has been noted  
 327 in earlier studies (Held and Soden 2000, Colman 2003, Soden and Held 2006, Held  
 328 and Shell 2012).

329 Since the ranges of absolute values for the albedo, the Planck, and the joint  
 330 water vapor and lapse rate feedbacks are rather narrow, the cloud feedback can  
 331 clearly be identified as the major source of inter-model differences. In agreement  
 332 with Colman (2003) there is a negative correlation of -0.39 between cloud longwave  
 333 and cloud shortwave feedback reducing the spread of the total cloud feedback  
 334 compared to the sum of the ranges of its longwave and shortwave components.  
 335 The comparatively larger range for cloud feedbacks could partly be due to the use  
 336 of a radiative kernel and the indirect computation of the cloud feedbacks via the  
 337 cloud radiative effect and corrections from other feedbacks. However, as shown in  
 338 Section 3, the computed cloud feedbacks based on the radiative kernel method  
 339 agree well with the respective reference values obtained by PRP computations.

340 The range in the cloud shortwave component, and consequently in the total  
 341 cloud feedback, is dominated by two models: IPSL-CM5A-LR with an unusually  
 342 strong positive and inmcm4 with a distinct negative shortwave cloud feedback.

343 The strong shortwave cloud feedback of IPSL-CM5A-LR is discussed thoroughly  
344 in Brient and Bony (2012). Some aspects of low cloud feedbacks in the previous  
345 version of Inmcm4, Inmcm3.0, are reviewed in Clement et al (2009). The rather  
346 strong cloud shortwave feedback in CESM1-CAM5 is examined in Gettelman et al  
347 (2012) and traced back to a new shallow convection scheme which causes large  
348 midlatitude cloud feedback differences compared to CAM4. Some of these issues  
349 are taken on in the next section.

350 The estimates of ocean heat uptake efficiency as calculated based on equation  
351 (3) together with the total feedback factor, i.e. the sum over all individual feedback  
352 factors, and the temperature response of each model is displayed in the lower panel  
353 of Figure 4. The range of the total feedback factor is about three times as large  
354 as the range of the ocean heat uptake efficiency across the model ensemble. Based  
355 on a linear regression approach, the ocean heat uptake efficiency explains 0.25,  
356 the total feedback factor 0.55 of the total variance of the temperature signals.  
357 Consequently, as shown in Figure 5, the consideration of the ocean heat uptake  
358 efficiency helps to explain the spread in the transient climate response, although  
359 a part of the variance in the transient climate response remains unaccounted for  
360 by the two diagnostics. Apart from inaccuracies in the feedback calculations this  
361 could partly be due to a limited efficiency of certain feedbacks in creating surface  
362 temperature changes (Mauritsen et al 2012). For instance, the outlier IPSL-CM5A-  
363 LR in Figure 5 exhibits a large total feedback due to its strongly positive cloud  
364 feedback, but the implied temperature response is subdued.

## 365 4.2 Cloud feedback mechanisms

366 For the discussion of model differences in cloud feedbacks we focus on three climate  
367 models to illustrate and highlight the main characteristics of the disparities. These  
368 characteristics are not confined to the three selected models but are, to a greater  
369 or lesser extent, features of the whole climate model ensemble. The IPSL-CM5A-  
370 LR shows the strongest cloud shortwave feedback, CanESM2 the strongest cloud  
371 longwave feedback. In order to contrast these two extreme cases, we single out  
372 CCSM4 as well, which exhibits a weak shortwave as well as longwave feedback.

373 The first two rows of Figure 6 display the cloud shortwave and longwave feed-  
374 backs of the three models. One can see that the strongest differences across models  
375 in the longwave feedbacks occur in the tropical Pacific and Indian Ocean roughly  
376 between 20 South and 20 North.

377 For the discussion of the cloud shortwave feedback we concentrate on the area  
378 between the 25th and 50th degree of latitude in both hemispheres where IPSL-  
379 CM5A-LR features a strong positive shortwave feedback which is virtually absent  
380 in the other two models. Inter-model differences in cloud shortwave feedbacks are  
381 of similar magnitude in the tropical region 20 South to 20 North. However, in the  
382 tropics the processes underlying cloud shortwave feedbacks are strongly regime-  
383 dependent and a more in-depth analysis would be required in this case. The focus  
384 on the subtropics, in a wider sense, allows for highlighting the dominant role of  
385 cloud fraction changes for shaping the characteristic of cloud shortwave feedbacks  
386 in the different models (Zelinka et al 2012b).

387 In the following we will refer to the area of 20 South to 20 North loosely as  
388 the “tropics”, and the region between the 25th and 50th degree of latitude in both

389 hemispheres as the “subtropics”. The latter region includes the equatorward flanks  
390 of the storm-tracks. The bottom row of Figure 6 displays the zonal mean cloud  
391 fraction changes for the three climate models.

392 First the cloud longwave feedback is discussed. The two models with strong  
393 cloud longwave feedback, IPSL-CM5A-LR and CanESM2, show a strong increase  
394 in cloud fraction around the tropopause between 200hPa and 100hPa. This distinct  
395 increase is absent in CCSM4. Especially IPSL-CM5A-LR exhibits a decrease in  
396 cloud cover on both sides of the equator between 400hPa and 200hPa which tends  
397 to limit, but not suppress the longwave feedback. Figure 7 shows zonal mean  
398 changes in cloud liquid water (left column) and cloud ice (right column) for the  
399 three models. The most striking feature, present in both IPSL-CM5A-LR and  
400 CanESM2 but completely absent in CCSM4, is the strong increase in cloud ice  
401 between 300hPa and 100hPa. Also CCSM4 exhibits an increase in cloud liquid  
402 water between 600hPa and 300hPa, actually even stronger than the other two  
403 models. This would suggest an increase in optical thickness of the clouds and  
404 a strong positive cloud longwave feedback in CCSM4 if no clouds were above.  
405 A consequence of the cloud liquid water increase at mid levels is the negative  
406 cloud shortwave feedback of CCSM4 in the western tropical Pacific (Figure 6).  
407 But the strength of the tropical longwave cloud feedback is governed to a large  
408 extent by the changes in cloud ice around the tropopause due to rising cloud-top  
409 height (Zelinka et al 2012b, Crueger et al 2012). That the high-level cloud fraction  
410 changes significantly contribute to the radiative flux perturbations at the top of  
411 the atmosphere is backed by the partitioning of the cloud feedback in Zelinka et al  
412 (2012a) (see especially Figure 1 in Zelinka et al 2012a which documents the strong  
413 longwave radiative contribution of optically thick clouds above 200hPa).

414 Turning to the cloud shortwave feedback, a strongly positive cloud shortwave  
415 feedback in IPSL-CM5A-LR can be observed over the whole Atlantic, but in par-  
416 ticular between 50 South to 25 South and 25 North to 50 North. The main cause  
417 of the positive cloud shortwave feedback is a strong reduction in cloud cover as  
418 shown in the bottom row of Figure 6. A detailed analysis of the processes that  
419 lead to this reduction is contained in Brient and Bony (2012). The cloud cover  
420 decrease is not confined to boundary layer clouds as often emphasized in the lit-  
421 erature (e.g. Bony and Dufresne 2005, Soden and Vecchi 2011), but includes also  
422 middle level clouds, in agreement with Zelinka et al (2012a). The area of cloud  
423 cover decrease partly overlaps with the storm-track regions in the northern and  
424 the southern hemispheres. Gettelman et al (2012) identify an enhanced positive  
425 cloud shortwave feedback in the subtropical trade cumulus regions and the equa-  
426 torward flanks of the storm-tracks in CAM5 compared to CAM4 as a main reason  
427 of the increased climate sensitivity of CAM5 (see the cloud shortwave feedbacks  
428 in Figure 4 for CCSM4 and CESM1-CAM5).

429 A drying of the planetary boundary layer in the subtropics is suggested by  
430 Figure 7 for IPSL-CM5A-LR leading to a reduction of low cloud cover (Brient and  
431 Bony 2012, Rieck et al 2012). The opposite signal can be observed for CCSM4 in  
432 many areas. In the tropics the cloud shortwave feedback tends to be a mirror of the  
433 cloud longwave feedback. In the tropical Pacific and Indian Ocean, for instance,  
434 the increase of in-cloud water in high clouds creates a positive longwave and a  
435 negative shortwave feedback (Colman et al 2001, Zelinka et al 2012b).

436 It is generally difficult to disentangle causes and effects of changes in cloud  
437 characteristics. Here we relate the strength of cloud feedbacks to a few important

indices related to large-scale climatic conditions: changes in lower tropospheric stability, upward vertical wind at 500hPa, relative humidity at 500hPa and 200hPa, a convection index, and surface temperature. For consistency with the discussion above, to examine the cloud longwave feedback we confine the indices to the area 20S to 20N, and to investigate the cloud shortwave feedback the indices are calculated for the region between the 25th and 50th degree of latitude in both hemispheres. As in Tan et al (2012), the modified K-index proposed by Charba (1977) is chosen as a simple measure of deep convective instability:

$$K = \frac{T_{1000} + T_{850}}{2} - T_{500} + \frac{T_{d,1000} + T_{d,850}}{2} - (T_{700} - T_{d,700}), \quad (4)$$

where  $T$  denotes temperature and  $T_d$  dewpoint temperature. The modified K-index combines the near-surface and 500hPa temperature difference, the near-surface dewpoint (a direct measure of low-level moisture content), and the 700hPa dewpoint depression (an indirect measure of the vertical extent of the moist layer). Lower tropospheric stability (LTS) is defined as the difference in potential temperature between the 700hPa and the 1000hPa level. All indices are restricted to ocean areas except for the upward vertical wind which includes also the land parts of the regions. Tan et al (2012) relate similar large-scale variables to cloud regimes based on data from the International Satellite Cloud Climatology Project (ISCCP).

For the cloud longwave feedback and the tropical region of 20 South to 20 North the results are displayed in Figure 8. The upward vertical wind decreases in all models indicating a general weakening of the tropical circulation (Vecchi and Soden 2007). The modified K-index most strongly correlates with cloud longwave feedbacks. The positive changes in the modified K-index reflect the increased sea surface temperatures and low-level moisture content in the various models.

The situation is different regarding the cloud shortwave feedback in the region 50 South to 25 South and 25 North to 50 North (Figure 9). The climate models show a general increase in lower tropospheric stability. This is in contrast to observational evidence regarding the relation between cloud shortwave feedback and LTS (Wood and Bretherton 2006, Clement et al 2009, Zhang et al 2009), but in accordance with the results of the multi-model study by Webb et al (2012). Moreover, the modest correlation between LTS and cloud shortwave feedback suggests that changes in LTS are not primarily responsible for the cloud fraction changes associated with the positive cloud shortwave feedback in most models. Instead, changes in relative humidity may explain the general decrease in cloud cover over subtropical regions in agreement with Sherwood et al (2010). A strong decrease of relative humidity in the mid troposphere, which correlates significantly with the cloud shortwave feedback, can be observed in all models. The computation of a bootstrap resampling 5-95% confidence interval for the correlation yields [-0.95, -0.5], i.e. although the actual correlation of -0.85 is to some extent due to a single model, the relationship proves to be robust across the wider model ensemble. The increase of relative humidity at higher levels of the atmosphere is associated with the general upward shift of the tropopause (Sherwood et al 2010).

## 5 The role of surface temperature and tropospheric adjustment to CO<sub>2</sub>

In the traditional framework, feedbacks are conceptually understood as consequences of surface temperature perturbations. In transient climate change simulations, however, heating rates in the atmosphere due to the increased CO<sub>2</sub> concentration change and may alter stability and the vertical moisture profile. These effects can in turn have an impact on cloud properties and the radiative fluxes at the top of the atmosphere and therefore introduce a cloud component in the forcing (Gregory and Webb 2008, Colman and McAvaney 2011).

Here the respective roles of surface temperature increases and tropospheric adjustment processes in transient climate simulations are assessed based on two AMIP-type experiments. In the experiment “amip4K” a uniform increase of 4 Kelvin is added to the SSTs of the years 1979 to 2008, and in the experiment “amip4xCO<sub>2</sub>” the SSTs of the years 1979 to 2008 are prescribed but the atmospheric CO<sub>2</sub> concentration is quadrupled. For both of these simulations the standard AMIP experiment serves as a reference.

The two experiments allow for assessing the role of tropospheric adjustment in two ways. In the “amip4K” experiment the various feedbacks can be diagnosed and compared to the feedbacks as calculated from the transient “1pctCO<sub>2</sub>” simulation. Differences may be attributed to the missing CO<sub>2</sub> concentration increase in “amip4K”. However, one has to keep in mind that also SSTs are different in “amip4K” compared to “1pctCO<sub>2</sub>”, both the base state as well as the anomaly. In “amip4xCO<sub>2</sub>” the surface driven feedbacks are essentially suppressed and top-of-the-atmosphere radiative fluxes shed light on the radiative effects of the tropospheric adjustment in various components of the climate system. However, for technical reasons land surface temperatures are not held constant in this experiment. The effects of consequent land-sea contrasts are not supposed to be included in the definition of “tropospheric adjustment”.

The upper panel in Figure 10 contains an overview of the various feedbacks as calculated based on the “amip4K” experiment for 8 different CMIP5 models. The middle panel again contains the feedback strengths as determined from the “1pctCO<sub>2</sub>” simulation (identical to the ones in Figure 4). By definition the albedo feedbacks in the “amip4K” simulations are smaller because sea ice cover is held constant. The lapse rate feedbacks are quite similar in the two experiments, and the joint lapse rate and water vapor feedbacks prove to be virtually identical in the two experimental setups. It reflects the fact that the vertical profile of temperature changes are very alike in the two experiments, although in “amip4K” the CO<sub>2</sub> concentration is kept at the control value. Also the cloud longwave feedbacks are hardly distinguishable. In accordance, zonal mean cloud fraction changes agree well in “amip4K” and “1pctCO<sub>2</sub>” (Figure 6 and Figure 14, bottom rows).

Slightly more pronounced differences can be observed in the cloud shortwave feedbacks. They tend to be larger in the “1pctCO<sub>2</sub>” simulations compared to the “amip4K” experiments. Several issues may play a certain role in this context: suppressed changes in sea ice in “amip4K” and associated surface flux anomalies, different sea surface temperature change patterns as well as surface temperature base states, and the absent change in CO<sub>2</sub> and concomitant tropospheric adjustment processes. Figure 11 displays the cloud shortwave feedback in the “amip4K” (left column) and the “1pctCO<sub>2</sub>” (right column) experiment for four of the models.

528 It is obvious that not only the amplitudes but also the patterns of the feedbacks  
529 in the two experiments agree rather well. A feature that is robust across all mod-  
530 els can be identified over Northern Europe and Siberia. Here the cloud shortwave  
531 feedback is larger in the “1pctCO2” simulation compared to the “amip4K” exper-  
532 iment in all four models. The negative shortwave feedback in the Southern Ocean  
533 between 70 South and 50 South tends to be slightly stronger in “amip4K” than in  
534 “1pctCO2”.

535 In order to assess whether the discrepancies are attributable to the different  
536 sea surface temperature anomalies in “amip4K” compared to “1pctCO2”, the feed-  
537 backs are diagnosed also from the “amipFuture” experiment for the four models.  
538 In “amipFuture” the surface temperature change pattern is derived from a com-  
539 posite of the CMIP3 SST responses at time of CO<sub>2</sub> quadrupling and supposed to  
540 be similar to the SST perturbation in the “1pctCO2” experiment.

541 It turns out that the cloud shortwave feedbacks in “amip4K” and “amipFuture”  
542 are very similar. Figure 12 shows the difference between the cloud shortwave feed-  
543 back in “1pctCO2” and “amip4K” (first column), and the difference between the  
544 cloud shortwave feedback in “1pctCO2” and “amipFuture” (second column). No  
545 robust and discernible influence of the different sea surface temperature anomaly  
546 patterns of “amip4K” and “amipFuture” on the cloud shortwave feedbacks can be  
547 identified.

548 The right column in Figure 12 contains the differences in surface tempera-  
549 tures between the first six years of the “1pctCO2” simulation and the standard  
550 AMIP experiment. The first six years of “1pctCO2” represent the base state for  
551 the “1pctCO2” feedback analysis, and the standard AMIP experiment serves as  
552 reference simulation for the other AMIP-type experiments. The base states could  
553 have a certain impact on the feedbacks in case the assumption of linearity is not  
554 exactly fulfilled (Dommenget 2012). The base state of the “1pctCO2” exper-  
555 iment tends to be colder because it represents a pre-industrial climate, while in the AMIP  
556 experiment the SSTs of the years 1979 to 2008 are prescribed. Sea surface temper-  
557 ature differences over the Southern Ocean do not seem to be the main cause for  
558 differences in cloud shortwave feedbacks between “1pctCO2” and “amip4K” in this  
559 region. Some models exhibit warmer SSTs in the base climate of the “1pctCO2”  
560 simulation along the sea-ice margins around Antarctica, but this does not gen-  
561 erally translate into a corresponding pattern in the cloud shortwave feedback. In  
562 MPI-ESM-LR one might speculate that the warmer SSTs in the said area lead to  
563 a more positive cloud shortwave feedback in “1pctCO2” compared to “amip4K”.  
564 However, for CanAM4 the relation between sea surface temperature difference  
565 and difference in cloud shortwave feedback is reversed. Here colder sea surface  
566 temperatures relate to a more positive cloud shortwave feedback in “1pctCO2”.

567 Sea ice differences between “1pctCO2” and “amip4K” might have an impact  
568 on cloud shortwave feedbacks over Northern Europe and Siberia. The climate of  
569 this region is sensitive to sea ice distributions over the Arctic (e.g. Pethoukov and  
570 Semenov 2010). Also in the tropical Pacific the sea surface temperature differences  
571 of the two base states could play a certain role. Changes in cloud characteristics  
572 could depend non-linearly on surface temperatures and show a threshold behavior  
573 which may be set also by the base state (e.g. Del Genio and Kovari 2002).

574 The radiative pattern due to changes in clouds diagnosed in the “amip4xCO2”  
575 experiment is very consistent across different climate models (Figure 13). The  
576 inter-model differences lie mainly in the amplitude of the signal. It is striking that

577 the spatial patterns of longwave radiative fluxes are almost an exact mirror of the  
578 shortwave flux patterns. As to be expected, tropical land areas show positive long-  
579 wave radiative fluxes due to enhanced convergence and convection (Wyant et al  
580 2012). In tropical and subtropical ocean regions the longwave feedback is mostly  
581 negative due to increased subsidence and associated reduction in cloud cover (Col-  
582 man and McAvaney 2011, Wyant et al 2012, Kamae and Watanabe 2012). As  
583 discussed by Kamae and Watanabe (2012), a reduction in surface turbulent heat  
584 fluxes and increase in near-surface atmospheric stability result in a shallowing of  
585 the tropical marine boundary layer. Warming and drying by increased heating  
586 rates lead to the reduction in cloud cover (Kamae and Watanabe 2012).

587 In contrast to the results by Colman and McAvaney (2011), cloud fraction  
588 changes are not confined to the lower troposphere, but are strongest in the upper  
589 troposphere between 500hPa and 100hPa in a transect along the Equator between  
590 5 South and 5 North (Figure 14 first row). The presence of the continents is clearly  
591 identifiable around 80W, 0E, and 120E. This indicates that land-sea contrasts in  
592 the amip4xCO2 experiment could affect in particular top-of-the-atmosphere long-  
593 wave radiative fluxes due to changes in high clouds. Kamae and Watanabe (2012)  
594 investigate the role of land-sea contrast by the examination of an aqua-planet ex-  
595 periment with fixed SSTs and quadrupled CO<sub>2</sub>, named “ape4xCO2”, using the  
596 model MIROC5. They show that the main effects of tropospheric adjustment are  
597 present in the “ape4xCO2” experiment as well. The land masses mainly govern  
598 the spatial distribution of cloud radiative effects. However, they suggest that in  
599 “ape4xCO2” the cloud longwave radiative effect is mainly due to cloud mask-  
600 ing and not to increase in high-cloud amount as in “amip4xCO2”. Since in the  
601 present work cloud masking effects are removed, and since nevertheless longwave  
602 radiative flux anomalies at the top of the atmosphere attributed to cloud changes  
603 are present, it is not clear if one can disregard the effect of land-sea contrasts in  
604 “amip4xCO2”.

605 Along a transect at 45 South (more precisely, a mean over the area 50 South  
606 to 40 South is calculated) the cloud fraction changes near the surface are not  
607 consistent across different models (Figure 14 second row). The location of the  
608 most pronounced changes is model dependent to a certain degree. In MPI-ESM-  
609 LR and CanAM4 they occur mainly in the lower troposphere and are suggestive of  
610 a shallowing of the boundary layer (Wyant et al 2012, Kamae and Watanabe 2012).  
611 In IPSL-CM5A-LR the changes extend from the surface to the upper troposphere  
612 and are also at this latitude strongest at levels below the tropopause.

613 In the shortwave cloud component of “amip4xCO2” distinct positive values  
614 occur over Northern Europe and Siberia. Over this region part of the differences  
615 between the diagnosed feedbacks in the “amip4K” experiment compared to the  
616 “1pctCO2” simulation may stem from tropospheric adjustment processes (com-  
617 pare the first column of Figure 12 with the second column of Figure 13). Also in  
618 Central Africa, the tropical Pacific and Indian Ocean differences between cloud  
619 shortwave feedbacks in “amip4K” and “1pctCO2” could be due to tropospheric  
620 adjustment being absent in “amip4K”. Strongest evidence for such an interpre-  
621 tation is provided by the simulations with HadGEM2-A (Figure 12 and 13 third  
622 rows). Overall however it is difficult to distinctly identify a component in the cloud  
623 feedback, as derived from transient climate change simulations, that is attributable  
624 to tropospheric adjustment as diagnosed from the “amip4xCO2” experiment. Al-  
625 though cloud shortwave feedbacks in the global mean are somewhat smaller in

626 “amip4K” than in “1pctCO2” for most models, the spatial pattern of the differ-  
627 ence does not conform well to the radiative shortwave flux anomalies due to clouds  
628 in “amip4xCO2”.

629 This can be quantified and summarized in a Taylor diagram (Figure 15). Here  
630 top-of-the-atmosphere radiative flux anomalies, both shortwave and longwave, due  
631 to changes in clouds are compared across different simulations for 6 models. The  
632 reference case is the “1pctCO2” experiment. Flux anomalies from “amip4K” and  
633 “amipFuture” are scaled by the ratio of the global mean surface temperature in-  
634 crease in the “1pctCO2” simulation and global mean surface temperature increases  
635 in the respective experiment. For some, but not all, models adding the radiative  
636 flux anomalies of “amip4xCO2” to the ones from “amip4K” improves the agree-  
637 ment with “1pctCO2” in terms of the variances of the flux anomalies. For no  
638 model, however, the pattern correlation with the radiative flux anomalies from  
639 “1pctCO2” increases discernibly when considering the sum of “amip4xCO2” and  
640 “amip4K”.

641 The strength of the radiative flux anomalies in “amip4xCO2” due to clouds  
642 positively correlates in general with the amplitude of the corresponding cloud feed-  
643 backs as computed from the “1pctCO2” simulations (Figure 16). This indicates  
644 that the sensitivity of cloud properties to heating rate changes caused by alter-  
645 ations in the CO<sub>2</sub> concentration and to surface temperature changes is related in  
646 the models.

## 647 6 Conclusions

648 Climate feedbacks and top-of-the atmosphere radiative fluxes are analyzed for an  
649 ensemble of 14 climate models in different idealized experimental setups in order  
650 to investigate the respective roles of surface temperature controlled feedbacks and  
651 tropospheric adjustment processes due to changes in CO<sub>2</sub>.

652 Partial radiative perturbation calculations are performed to assess the accu-  
653 racy of top-of-the-atmosphere radiative fluxes due to different components of the  
654 climate system as diagnosed by a radiative kernel. Although the discrepancies are  
655 not unsubstantial in some cases, the agreement between radiative kernel results  
656 and PRP computations is in general satisfactorily not only in the global mean,  
657 but also regarding spatial characteristics. Therefore the radiative kernel is used  
658 for the subsequent investigation.

659 A comparison of climate feedbacks in idealized transient climate change simula-  
660 tions with 14 CMIP5 coupled climate models reveals that the spread in the albedo,  
661 the joint water vapor and lapse rate, as well as the Planck feedback is rather small.  
662 This implies, in agreement with earlier studies, that the cloud feedbacks are the  
663 main source of inter-model differences in the transient climate response to a CO<sub>2</sub>  
664 increase. Moreover, feedbacks contribute about two times as much as ocean heat  
665 uptake efficiency to explain these disparities.

666 Most accentuated inter-model differences in longwave cloud feedbacks are lo-  
667 cated in the tropics between 20 South and 20 North. Models with strong longwave  
668 cloud feedbacks in this region exhibit a substantial change in cloud ice around  
669 the tropopause. This supports the “Proportionately Higher Anvil Temperature”  
670 (PHAT) hypothesis (Zelinka and Hartmann 2010) and confirms the findings by

Zelinka et al (2012b), who identify the cloud-top feedback as the dominant contributor to the longwave cloud feedback in the tropics. Moreover, as shown in Zelinka et al (2012a), optically thick clouds at high altitudes of the atmosphere contribute heavily to top-of-the-atmosphere radiative longwave fluxes. The increase of in-cloud water content between 500hPa and 300hPa is not only a feature of models with strong cloud longwave feedback, but also of climate models with weak longwave cloud feedback in the tropics, suggesting that differences in cloud water changes at these levels of the atmosphere are not governing the inter-model spread in tropical cloud longwave feedbacks to first order. The change in cloud-top height is associated with the lifting of the tropical tropopause and occurs in conjunction with a general weakening of the tropical circulation.

Distinctive inter-model differences in cloud shortwave feedbacks occur in the subtropical region 50 South to 25 South and 25 North to 50 North. In this area the cloud shortwave feedback is mainly caused by cloud fraction changes. These cloud fraction changes are not confined to low clouds but affect middle level clouds as well, in agreement with results by Zelinka et al (2012a) who find that midlevel cloud changes cause positive shortwave cloud feedbacks that are 80% as large as those due to low clouds. Varying degrees of reduction in relative humidity through the lower and mid troposphere can be identified as being the main large-scale feature connected with the subtropical positive cloud shortwave feedbacks in the models (Sherwood et al 2010). They may partly be related to the Hadley cell expansion and poleward displacement of the zonal jets, but there is strong evidence that dynamical shifts alone can not explain the full signal (Sherwood et al 2010).

In order to investigate whether the diagnosed feedbacks from the transient climate change simulation “1pctCO2” contain a component that is a direct effect of the CO<sub>2</sub> concentration change, and not mediated through the surface temperature anomaly, different AMIP-type experiments are analyzed. The strengths of the climate feedbacks computed from the “amip4K” experiment turn out to be close to the ones derived from the “1pctCO2” simulation. Apart from the albedo feedbacks, which are to a large degree suppressed in “amip4K”, only the cloud shortwave feedback exhibits discernible differences. The discrepancies can however not unequivocally be attributed to tropospheric adjustment processes as diagnosed from the “amip4xCO2” experiment.

For instance, over tropical land areas tropospheric adjustment as simulated in “amip4xCO2” is characterized by enhanced convergence and a consequent positive longwave and negative shortwave feedback. But the patterns of the cloud feedback differences between “amip4K” and “1pctCO2” do not show these features consistently, except for central Africa. One reason may lie in the fact that in transient climate simulations the heat transport anomaly moves heat from land to ocean, constraining the land to warm in step with the ocean surface (Lambert and Webb 2011). In the “amip4xCO2” experiment land-sea contrasts regulate the spatial pattern of tropospheric adjustment as discussed in Kamae and Watanabe (2012). Over Northern Europe and Siberia as well as the tropical Pacific and Indian Ocean tropospheric adjustment processes could play a role. However, in these regions the different control climates for “1pctCO2” and “amip4K” may partly be responsible for the discrepancies in the diagnosed cloud shortwave feedbacks, too. Over northern continental areas feedback strengths may depend on the base state because the amount of initial snow cover, for instance, is contingent on the control climate. Over tropical oceans cloud characteristics, and consequent radiative

720 effects of clouds, could depend non-linearly on the absolute values of sea surface  
721 temperatures.

722 Cloud fraction changes in “amip4xCO2” are not confined to low clouds. In the  
723 tropics they most pronouncedly occur in the upper troposphere, while in other  
724 regions the vertical profile of cloud fraction changes is not robust across different  
725 climate models.

726 In summary, a component of tropospheric adjustment as diagnosed from the  
727 “amip4xCO2” experiment in computed feedbacks from transient climate simula-  
728 tions can not unequivocally be identified. Reasons may be the effects of land-sea  
729 contrast in the “amip4xCO2” experiments, inaccuracies in the kernel method to  
730 diagnose top-of-the atmosphere radiative flux anomalies due to cloud changes,  
731 or non-linearities of feedbacks (Mauritsen et al 2012). Although for some mod-  
732 els tropospheric adjustment is present in the shortwave cloud feedback, and even  
733 dominant in the global mean, it is small in absolute terms, and the pattern cor-  
734 relation between radiative flux anomalies due to changes in clouds of “amip4K”  
735 and “1pctCO2” does not significantly increase in any of the models if the radiative  
736 flux anomalies from “amip4xCO2” are added to the ones from “amip4K”.

737 Nevertheless, a positive correlation between the strength of tropospheric ad-  
738 justment processes as diagnosed from the “amip4xCO2” experiment and cloud  
739 feedbacks can be ascertained across different climate models.

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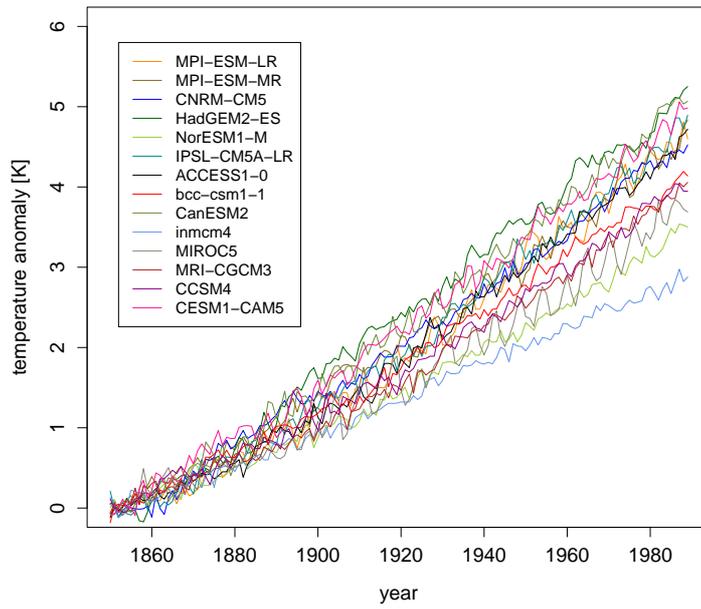
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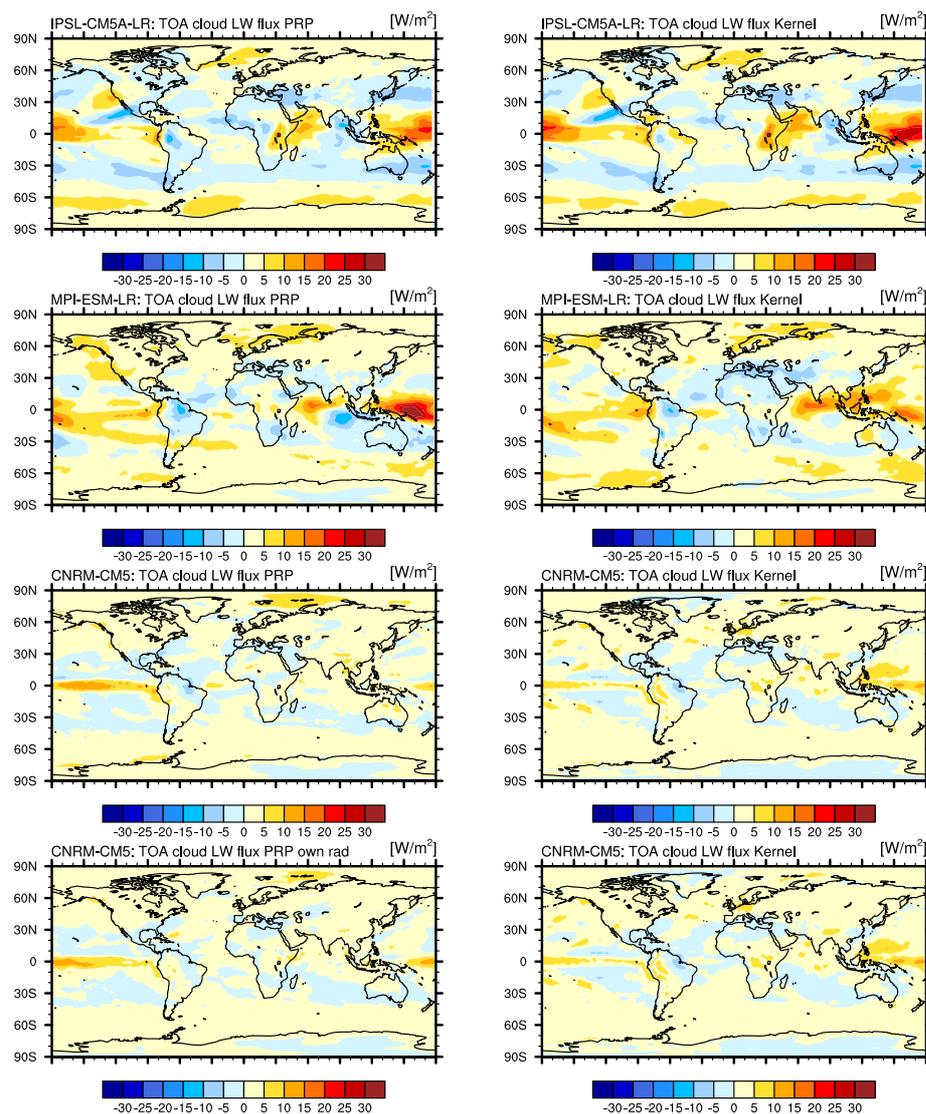
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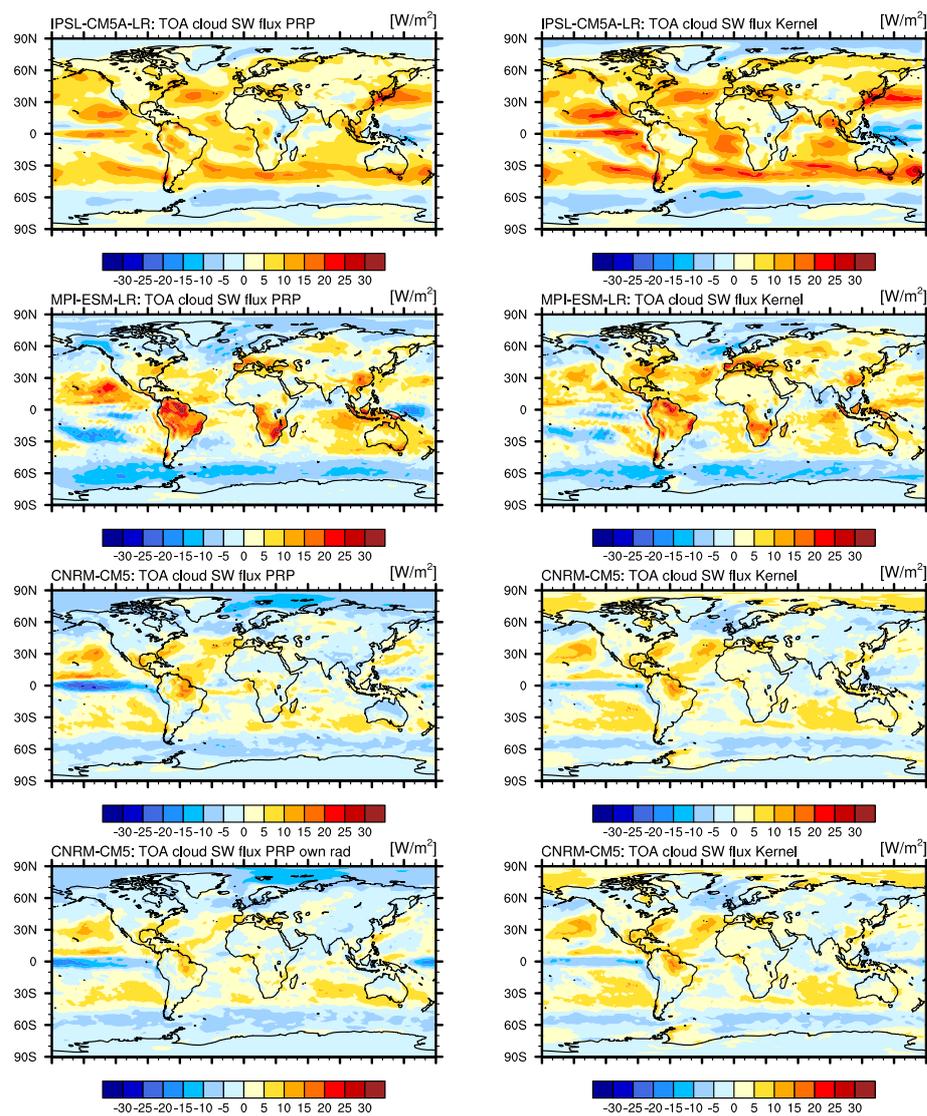
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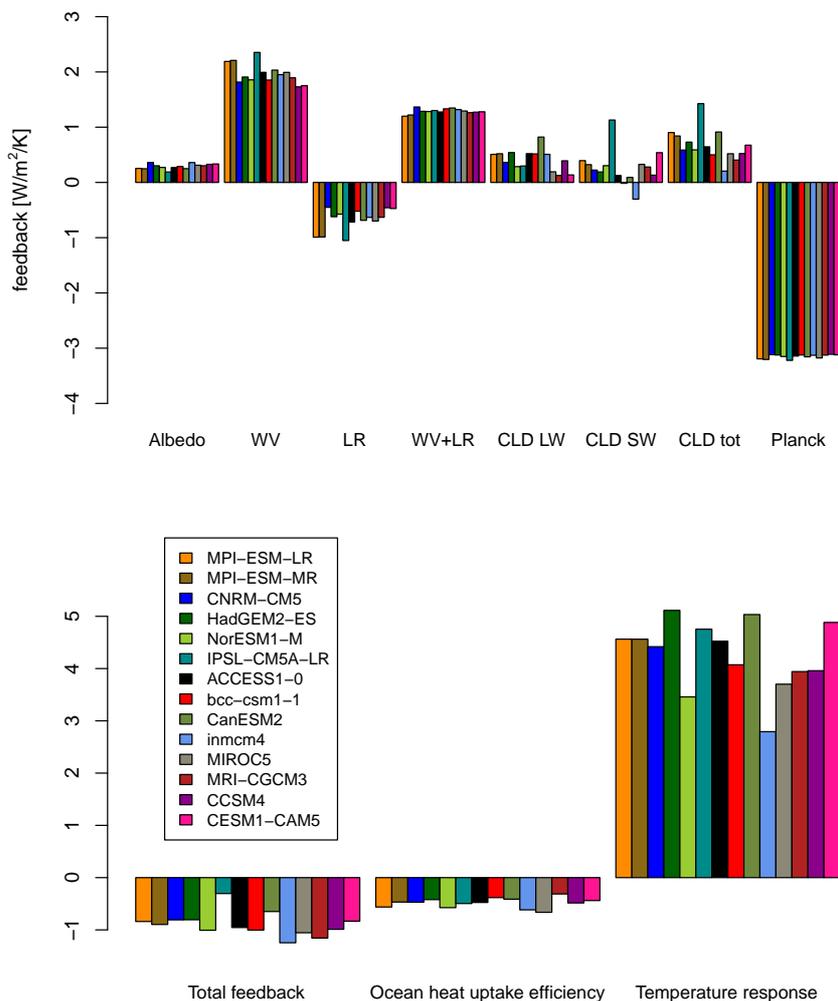
**Fig. 1** The global mean temperature increase in the “1pctCO<sub>2</sub>” experiment for the 14 models considered in the present study. Anomalies are computed with respect to the pre-industrial control simulation.



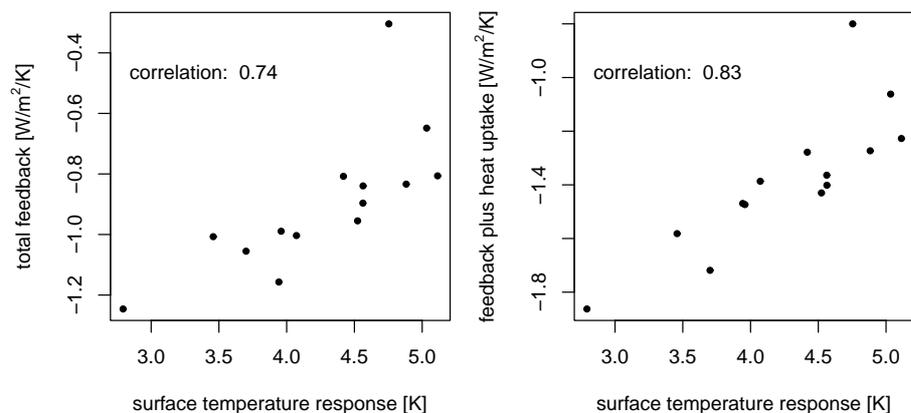
**Fig. 2** Top-of-the-atmosphere longwave fluxes due to changes in clouds derived from partial radiative perturbation (PRP) calculations (left column) and a radiative kernel (right column) for three different CMIP5 models. In the case of CNRM-CM5 the PRP computations are performed with the ECHAM6 off-line radiation code (third row) as well as with the native radiation scheme of the model (fourth row).



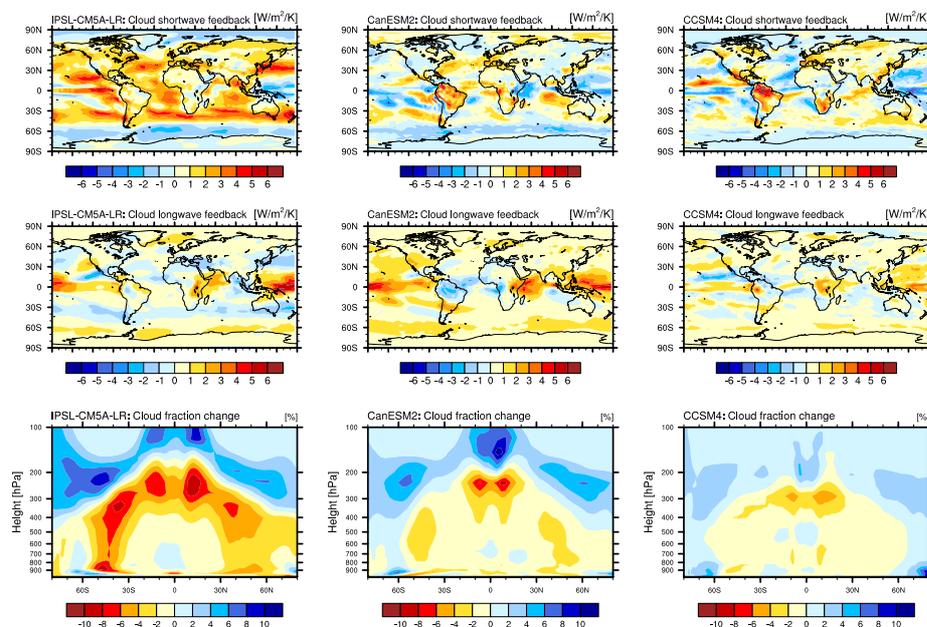
**Fig. 3** Top-of-the-atmosphere shortwave fluxes due to changes in clouds derived from partial radiative perturbation (PRP) calculations (left column) and a radiative kernel (right column) for three different CMIP5 models. In the case of CNRM-CM5 the PRP computations are performed with the ECHAM6 off-line radiation code (third row) as well as with the native radiation scheme of the model (fourth row).



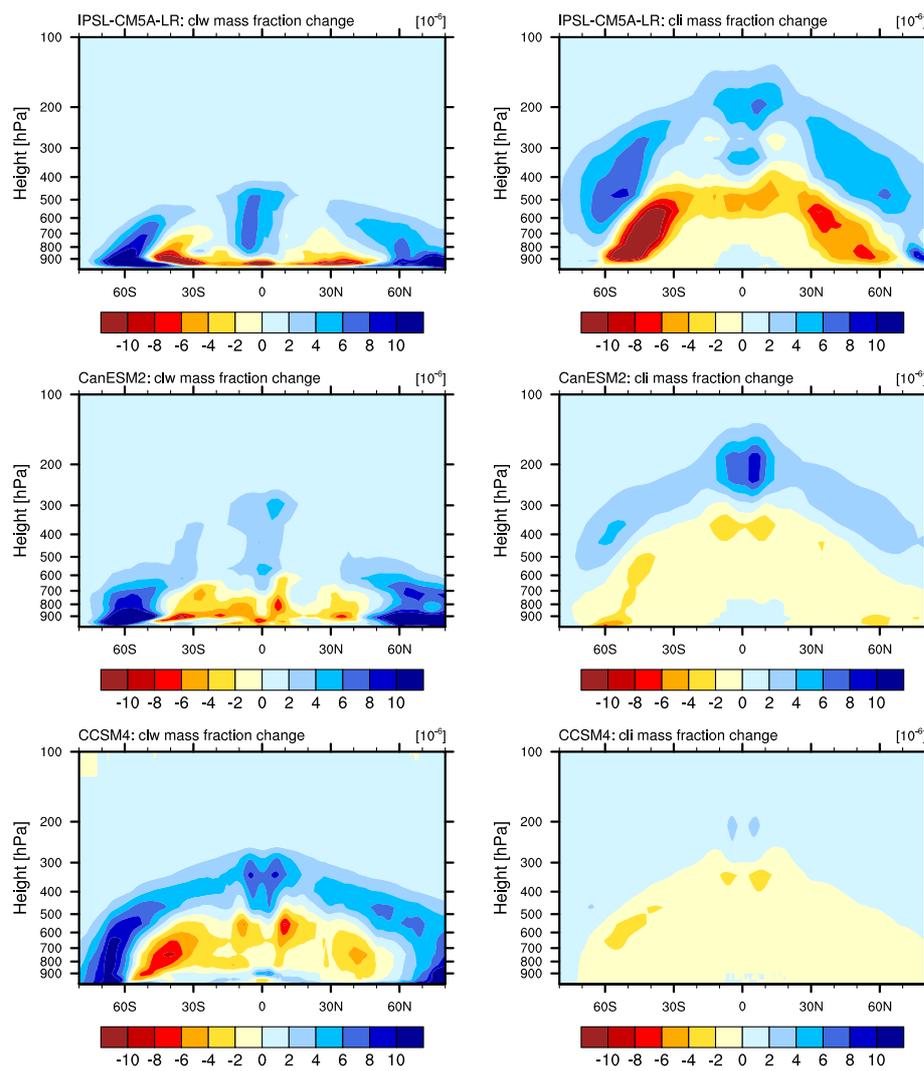
**Fig. 4** Upper panel: albedo, water vapor, lapse rate, joint water vapor and lapse rate, cloud longwave, cloud shortwave, total cloud, and Planck feedback for 14 CMIP5 climate models diagnosed from the “1pctCO<sub>2</sub>” simulation. Lower panel: total feedback, ocean heat uptake efficiency  $\kappa$ , and amplitude of the surface temperature response in the “1pctCO<sub>2</sub>” experiment for all the models. Here the kernel method was used for the computation of the various feedbacks.



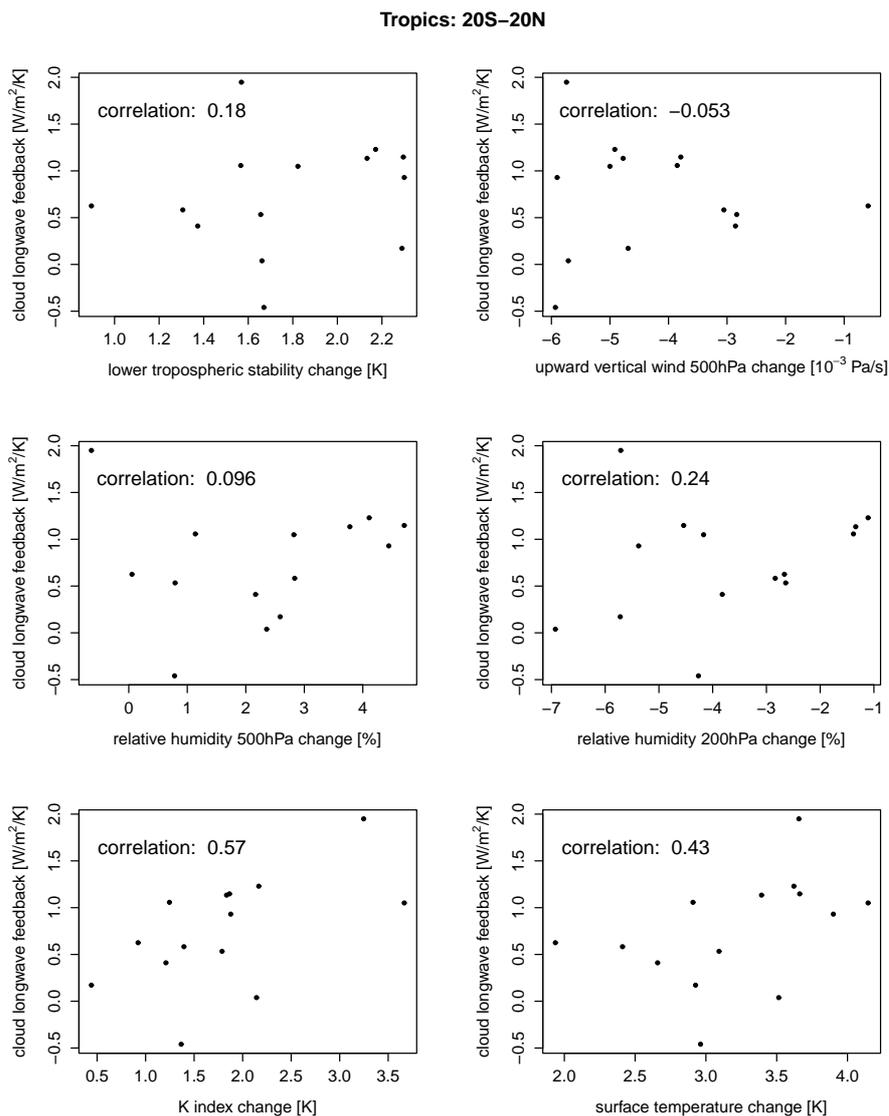
**Fig. 5** Left panel: scatter plot of surface temperature response against total feedback factors for the 14 climate models. Right panel: scatter plot of surface temperature response against total feedback plus ocean heat uptake efficiency for the same climate models.



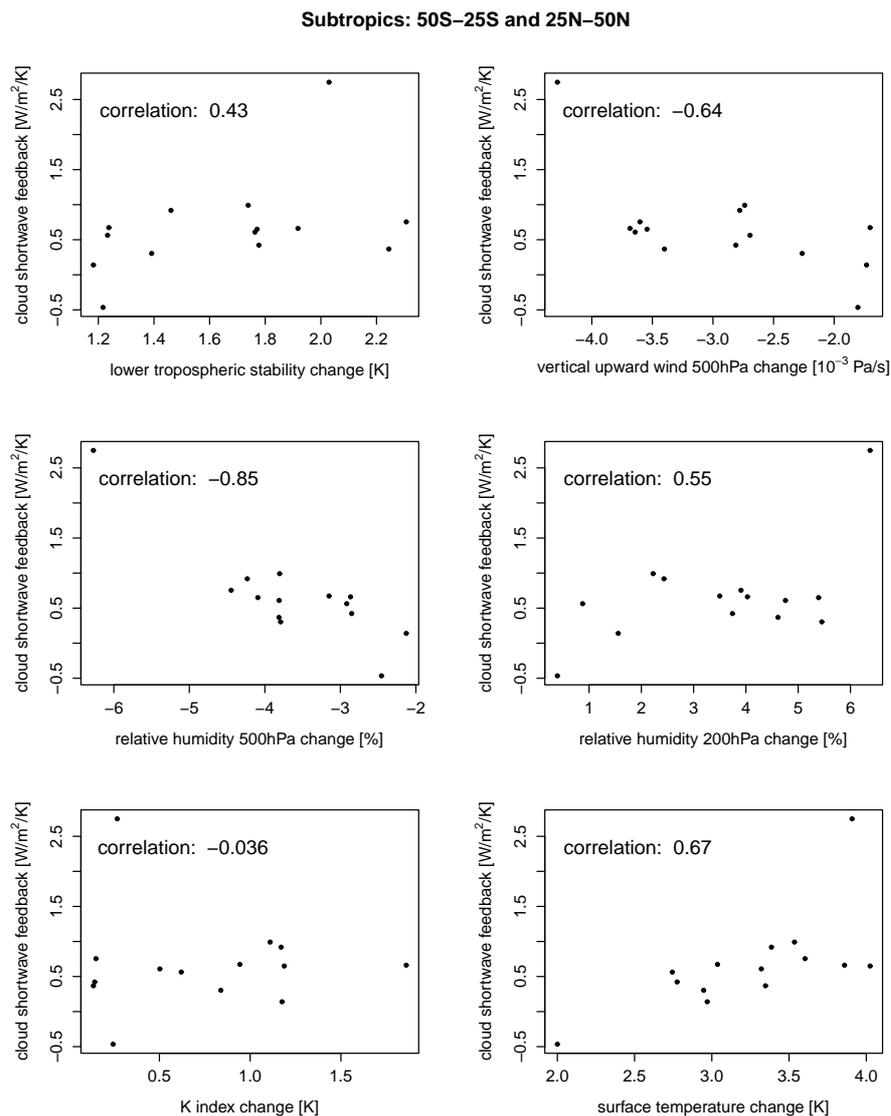
**Fig. 6** Cloud shortwave (first row) and cloud longwave (second row) feedbacks for three CMIP5 models. The third row shows zonal mean cloud fraction changes for the same models.



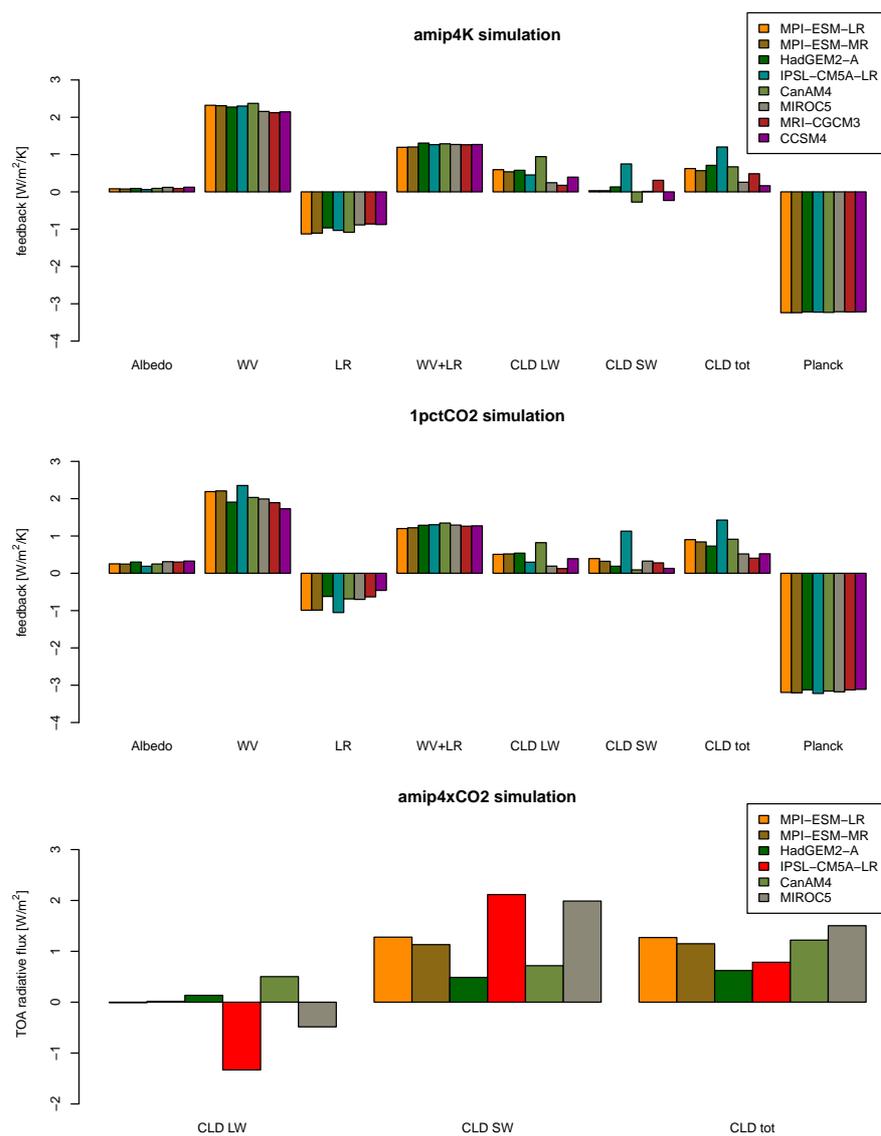
**Fig. 7** Zonal mean changes in cloud liquid water (left column) and cloud ice (right column) for three CMIP5 models. The climate models are the same as in Figure 6.



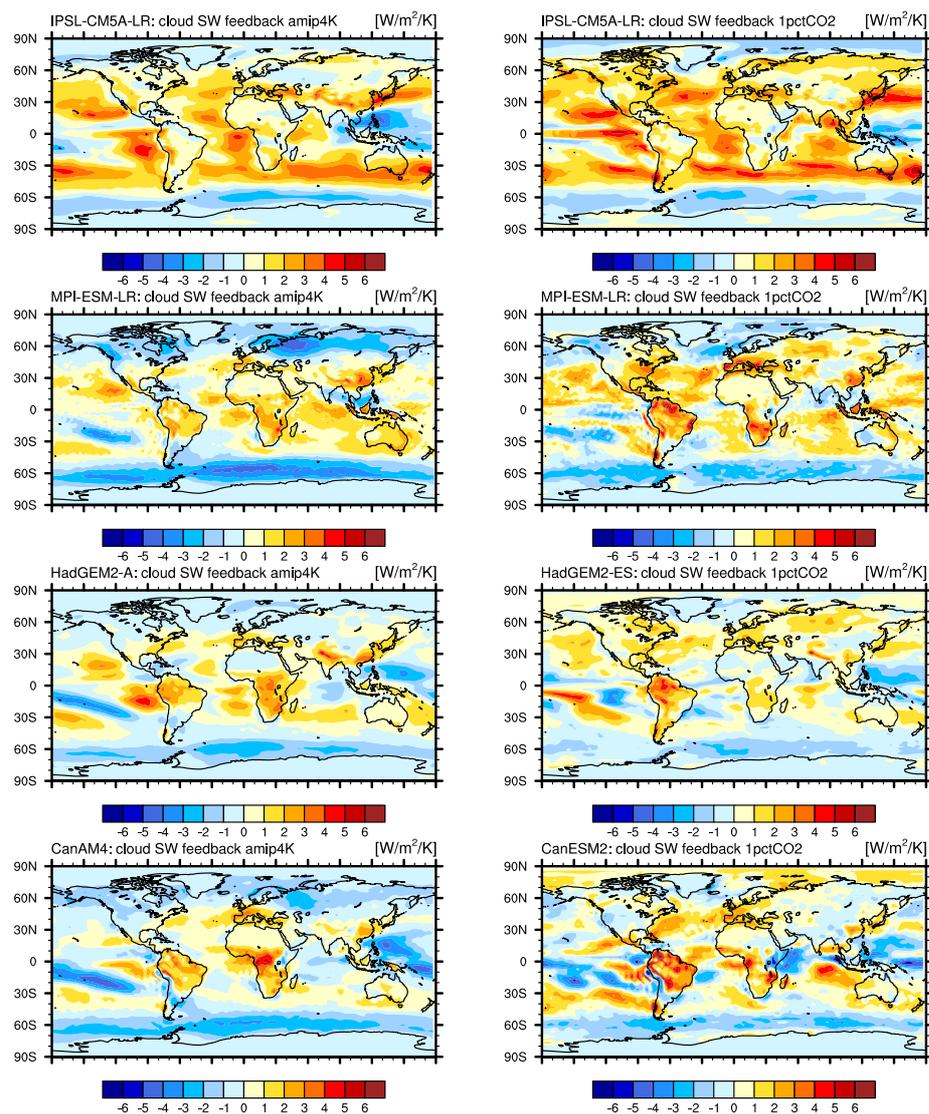
**Fig. 8** Scatter plot of cloud longwave feedback and changes in different large-scale indices over the tropical region of 20 South to 20 North: lower tropospheric stability, upward vertical wind at 500hPa, relative humidity at 500hPa and 200hPa, a convection index, and surface temperature. The convection index is the modified K-index defined by Charba (1977). All indices are restricted to ocean areas except for the upward vertical wind which includes also the land parts of the region.



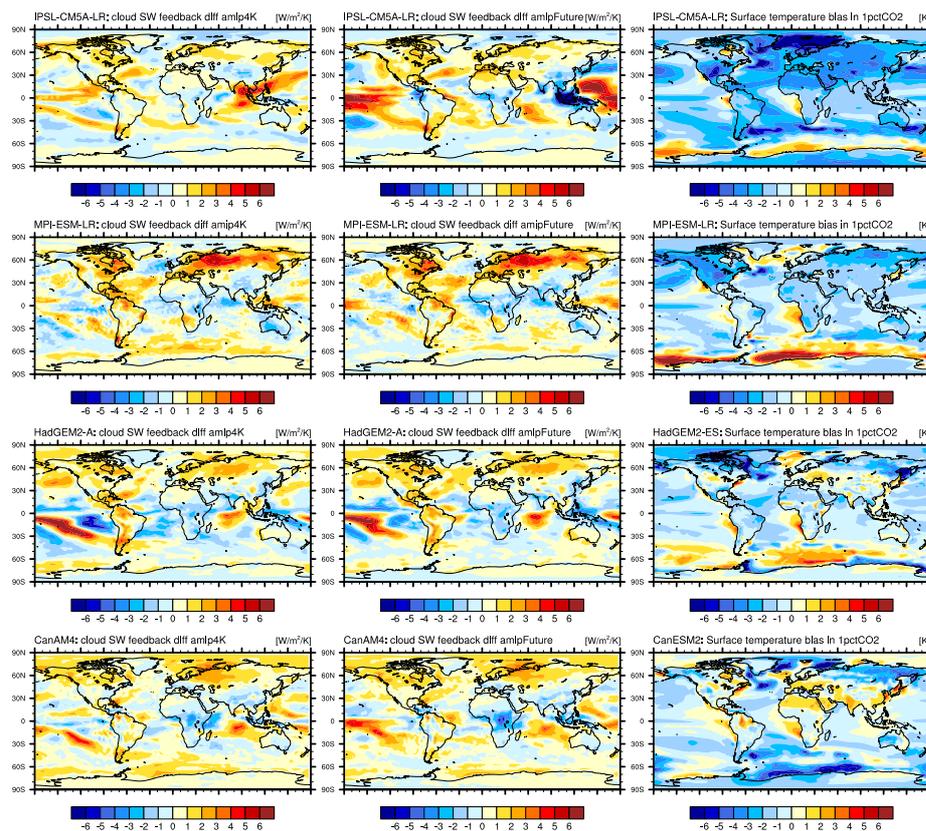
**Fig. 9** Scatter plot of cloud shortwave feedback and changes in different large-scale indices over the subtropical region of 50 South to 25 South and 25 North to 50 North: lower tropospheric stability, upward vertical wind at 500hPa, relative humidity at 500hPa and 200hPa, a convection index, and surface temperature. The convection index is the modified K-index defined by Charba (1977). All indices are restricted to ocean areas except for the upward vertical wind which includes also the land parts of the region.



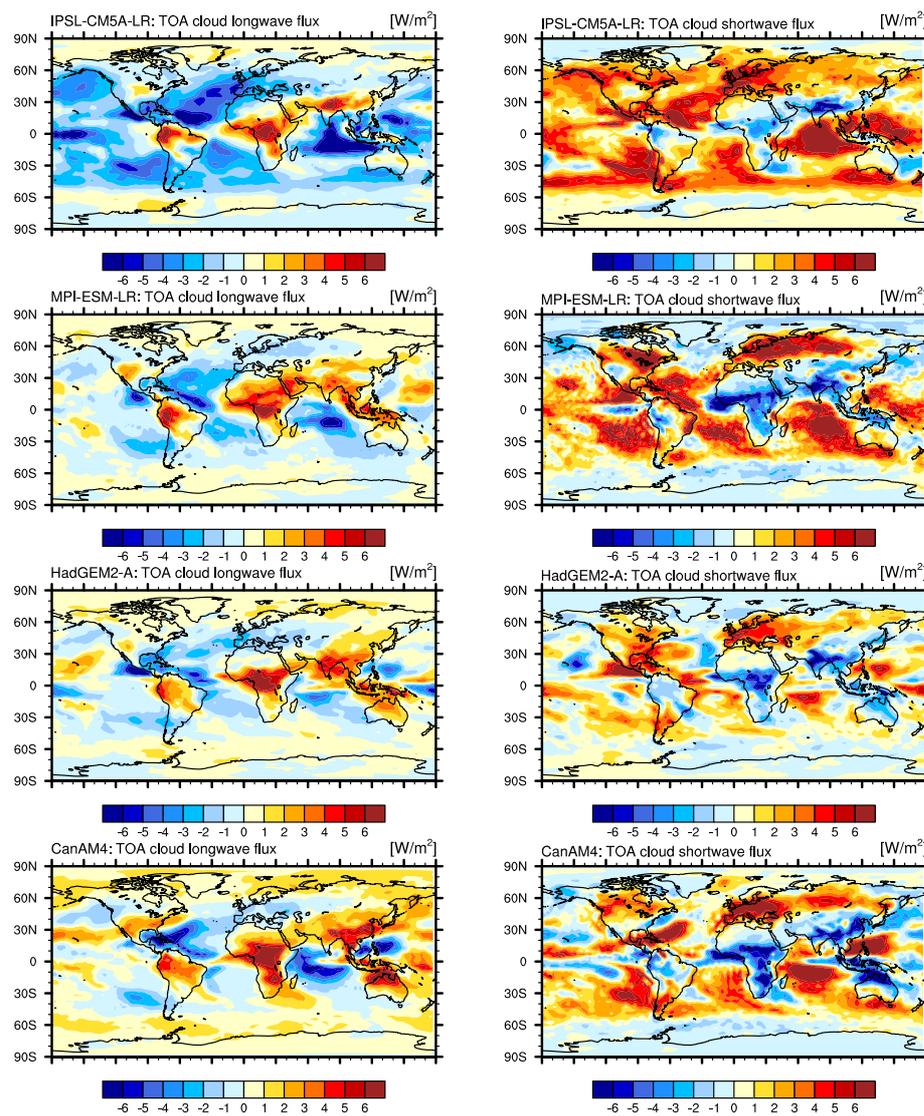
**Fig. 10** Upper panel: albedo, water vapor, lapse rate, joint water vapor and lapse rate, cloud longwave, cloud shortwave, total cloud, and Planck feedback for 8 CMIP5 climate models diagnosed from the “amip4K” experiment. Middle panel: the same feedbacks for the same models as computed from the “1pctCO2” simulation (identical to the ones in Figure 4). Lower panel: longwave, shortwave, and the sum of longwave and shortwave top-of-the-atmosphere fluxes due to changes in clouds for 6 CMIP5 models as diagnosed from the “amip4xCO2” experiment.



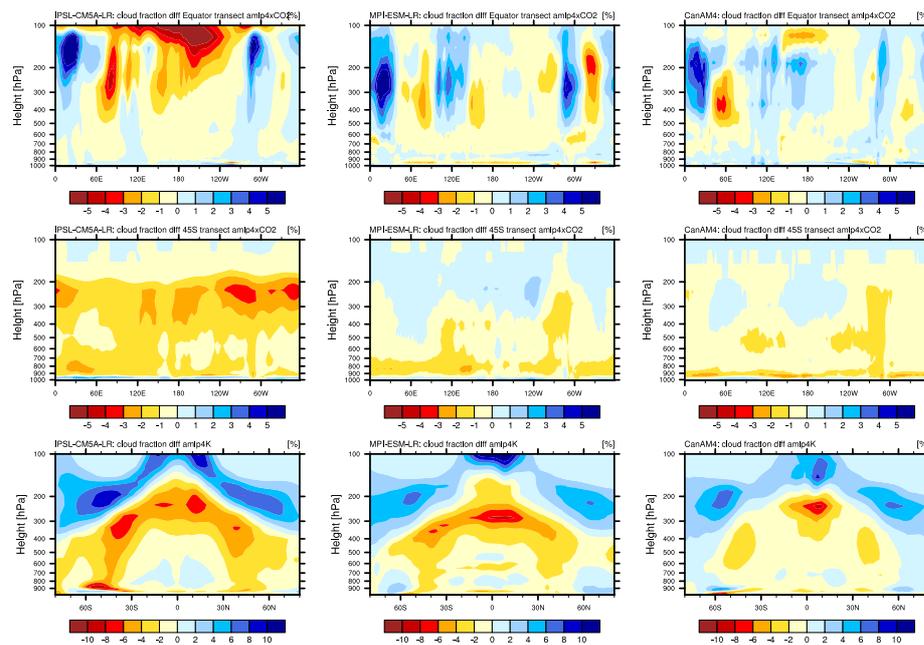
**Fig. 11** Cloud shortwave feedbacks diagnosed from the “amip4K” (left column) and the “1pctCO2” (right column) experiment for four CMIP5 models.



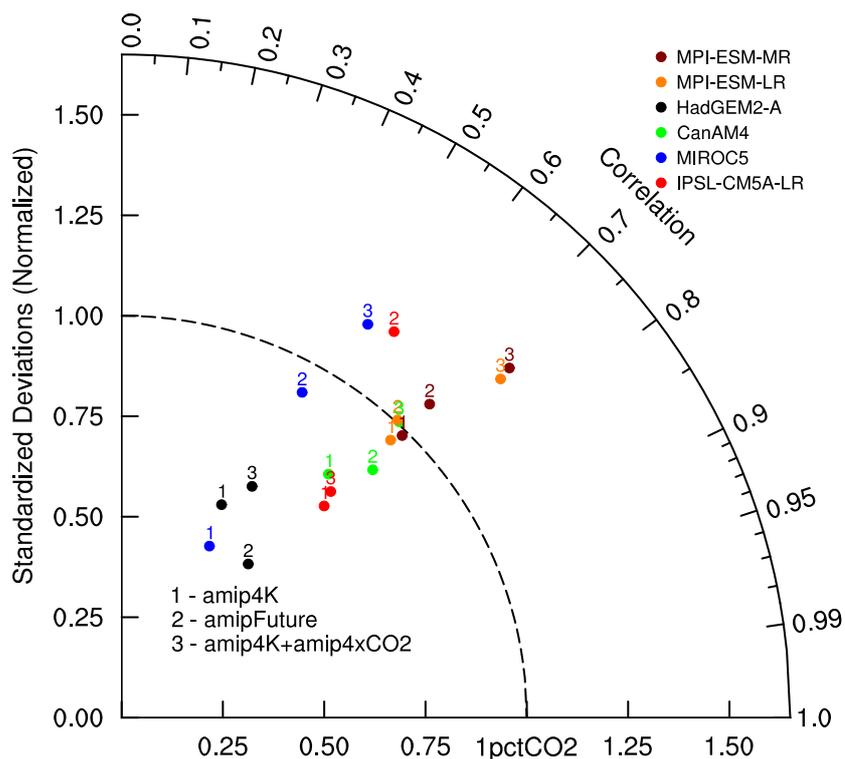
**Fig. 12** Left column: difference of the cloud shortwave feedback from “1pctCO2” and “amip4K” for four CMIP5 models. Middle column: difference of the cloud shortwave feedback from “1pctCO2” and “amipFuture” for the same models. Right column: difference of surface temperatures in the control state of “1pctCO2” (i.e. the mean over the first six years of “1pctCO2”) and in the control state of the AMIP-type experiments (i.e. the mean over the 30 years of the standard “amip” simulation) for the four models.



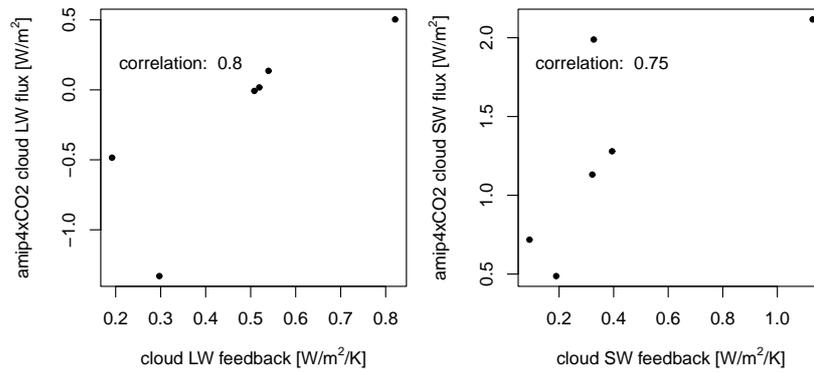
**Fig. 13** Top-of-the-atmosphere longwave (left column) and shortwave (right column) fluxes due to changes in clouds computed from the "amip4xCO2" experiment for 4 CMIP5 models.



**Fig. 14** First row: cloud fraction changes in the “amp4xCO2” experiment along the Equator (i.e. between 5 South and 5 North) for three CMIP5 models. Second row: cloud fraction changes in the “amp4xCO2” experiment along 45 South (i.e. between 50 South and 40 South) for the same models. Third row: zonal mean cloud fraction changes in the “amp4K” experiment for the three models.



**Fig. 15** Comparison of top-of-the-atmosphere total radiative flux anomalies due to changes in clouds from different experiments with the ones from “1pctCO2” for 6 CMIP5 models. The experiments are “amip4K”, “amipFuture”, and “amip4K+amip4xCO2” (i.e. the flux anomalies of “amip4xCO2” are added to ones from “amip4K”). The reference experiment is “1pctCO2”. The Taylor diagram comprises the variances of the fields (relative to the reference experiment) and the pattern correlations with the reference simulation. The flux anomalies from “amip4K” and “amipFuture” are scaled by the ratio of the global mean temperature increase in these experiments and the global mean temperature change in “1pctCO2”.



**Fig. 16** Left panel: scatter plot of longwave cloud feedbacks diagnosed from the “1pctCO2” experiment against top-of-the-atmosphere longwave flux anomalies due to changes in clouds from “amp4xCO2”. Right panel: scatter plot of shortwave cloud feedbacks diagnosed from the “1pctCO2” experiment against top-of-the-atmosphere shortwave flux anomalies due to changes in clouds from “amp4xCO2” for the respective models.