

1 **Is There A Stratospheric Radiative Feedback in Global**
2 **Warming Simulations?**

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13 March, 2015

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23 **Abstract**

24 The radiative impacts of the stratosphere in global warming simulations are
25 investigated using abrupt CO₂ quadrupling experiments of the Coupled Model Inter-
26 comparison Project phase 5 (CMIP5), with a focus on stratospheric temperature and
27 water vapor. It is found that the stratospheric temperature change has a robust bullhorn-
28 like zonal-mean pattern due to a strengthening of the stratospheric overturning
29 circulation. This temperature change modifies the zonal mean top-of-the-atmosphere
30 energy balance, but the compensation of the regional effects leads to an insignificant
31 global-mean radiative feedback ($-0.02 \pm 0.04 \text{ W m}^{-2} \text{ K}^{-1}$). The stratospheric water vapor
32 concentration generally increases, which leads to a weak positive global-mean radiative
33 feedback ($0.02 \pm 0.01 \text{ W m}^{-2} \text{ K}^{-1}$). The stratospheric moistening is related to mixing of
34 elevated upper-tropospheric humidity, and, to a lesser extent, to change in tropical
35 tropopause temperature. Our results indicate that the strength of the stratospheric water
36 vapor feedback is noticeably larger in high-top models than in low-top ones. The results
37 here indicate that although its radiative impact as a forcing adjustment is significant, the
38 stratosphere makes a minor contribution to the overall climate feedback and its
39 uncertainty in CMIP5 models.

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41 Key words: Stratosphere, radiative feedback, CMIP5

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44 **1. Introduction**

45 It is increasingly recognized that the stratosphere plays an important role in
46 climate change. In addition to aspects such as the dynamical coupling to the tropospheric
47 circulation (Gerber et al., 2012), the importance of the stratosphere is manifested in its
48 impact on the radiation energy budget. Many stratospheric trace gas species, such as
49 carbon dioxide, ozone, and water vapor, affect the radiation energy balance by interacting
50 with the shortwave solar radiation and the longwave terrestrial radiation. Numerical
51 experiments show that stratospheric contributions are critical for the climate system to
52 maintain the balance of the top-of-the-atmosphere (TOA) radiation energy budget during
53 transient climate change (Huang 2013a). For example, the magnitude of the overall time-
54 varying stratospheric effect on the outgoing longwave radiation (OLR) can be
55 comparable to that of the overall longwave cloud feedback, and the inter-model spread is
56 as large as that of the overall non-cloud tropospheric feedback (Huang 2013b).

57 A climatic effect can be generally classified either as a forcing, which drives
58 climate change, or a feedback, which determines the sensitivity (i.e., how strongly the
59 climate system responds to a given forcing). With regard to the stratospheric radiative
60 effect, especially that related to temperature variations, the conventional view is that it is
61 a *forcing* effect that arises from the rapid temperature adjustment driven by the radiative
62 cooling due to greenhouse gas perturbation (e.g., Hansen et al. 1997). Interestingly, even
63 when greenhouse gas concentrations are identically prescribed, there may still be
64 substantial inter-model differences in the temperature adjustment and thus in the overall

65 strength of the adjusted radiative forcing (Zhang and Huang 2014). Hence, there is a need
66 to explicitly assess the stratospheric radiative effect in climate feedback analysis.

67 On the other hand, some studies have hypothesized that stratospheric changes
68 may be coupled with tropospheric and surface climates, and constitute a radiative
69 *feedback* mechanism (Gerber et al., 2012; Dessler et al., 2013). For instance, the
70 stratospheric overturning circulation, the so-called Brewer-Dobson Circulation (BDC), is
71 projected to intensify in response to global warming (e.g., Butchart et al. 2006; Li et al.
72 2008; Manzini et al., 2014). This may affect both the stratospheric temperature, by
73 enhancing the adiabatic cooling in the tropics and the warming in the extratropics, and the
74 stratospheric water vapor, by modifying the troposphere-stratosphere transport
75 (Feuglistaler et al. 2014). Stratospheric water vapor not only directly affects radiation
76 budget by trapping outgoing radiation but also radiatively cools the stratosphere and thus
77 may induce an indirect (Planck) effect. This process has been hypothesized as a
78 stratospheric water vapor feedback (Forster and Shine 1999; Stuber et al. 2001; Joshi et
79 al. 2010; Huang 2013b; Dessler et al. 2013).

80 It is of great interest to know whether a stratospheric feedback exists in the
81 climate models and whether it affects climate sensitivity in a significant way. However, it
82 is difficult to partition the overall effect to forcing and feedback during transient climate
83 change (Huang 2013b). In this paper, we take advantage of the abrupt quadrupling CO₂
84 experiments of CMIP5 (Taylor et al. 2012) to separate the two effects, and focus on the
85 effect that may constitute a feedback. In the following sections, we first explain the

86 kernel method that is used to quantify the radiative effect of stratospheric temperature and
87 water vapor responses. Then we examine the stratospheric responses and quantify the
88 resulting feedback in the models in the quadrupling CO₂ experiment. To diagnose the
89 possible causality, a set of experiments are conducted using the CAM5 model of the
90 National Center of Atmospheric Research (NCAR). We then conclude the paper with a
91 summary and discussion of the main findings.

92

93 **2. Method**

94 We measure a radiative effect, either forcing or feedback, by the radiative kernel
95 method:

$$96 \quad \Delta R_X = \frac{\partial R}{\partial X} \Delta X \quad (1)$$

97 Here $\frac{\partial R}{\partial X}$ is a set of pre-calculated radiative sensitivity kernels (Shell et al. 2008) and ΔX
98 the change in a climatic variable, e.g., stratospheric temperature or water vapor
99 concentration.

100 To separate the stratosphere from troposphere, we set the tropopause level as the
101 lowest level where the temperature lapse rate is less than 2 K/km for a depth of more than
102 2 km in each grid box in each model following the standard definition of the World
103 Meteorological Organization (WMO 1957). The stratospheric radiative effect is then
104 integrated from the determined tropopause level to the model top. This analysis is done
105 globally at every grid box and for each month.

106 The feedback parameter is defined as

107 $\lambda_x = \frac{\langle \Delta R_x \rangle}{\langle \Delta T_s \rangle}$ (2)

108 where $\langle \dots \rangle$ denotes global average and T_s is the surface temperature. This parameter is of
109 interest because it is directly related to the climate's overall sensitivity to radiative
110 forcing.

111 The kernel-based feedback analysis procedure is well documented in the literature
112 (Soden and Held 2006, Soden et al. 2008, and Shell et al. 2008). In addition, Huang
113 (2013b) and Huang and Zhang (2014) advanced the method to account for forcing
114 uncertainty in the procedure. The feedback analysis conducted here follows that of Huang
115 and Zhang (2014).

116 Although the kernel method has been validated and mostly used for quantifying
117 tropospheric radiative feedback, our tests show that it is an appropriate method for
118 quantifying the stratospheric feedback as well. Firstly, using a radiative transfer model
119 and based on different types of standard atmospheric profiles (McClatchey et al. 1972),
120 the linearity of radiation response to stratospheric temperature and water vapor
121 perturbations is verified. Fractional errors are less than 15% when approximating the
122 radiation flux change caused by up to 20 K stratospheric temperature change by scaling
123 the radiation flux change due to 1 K temperature perturbation, and are less than 25%
124 when approximating the radiation change caused by quadrupling water vapor
125 concentration by scaling the radiation change due to 20% water vapor perturbation (20-
126 fold magnification in each case). It is worth noting that the temperature and water vapor
127 changes that we are concerned with (see the following section) do not exceed these

128 magnitudes. In addition, as found in previous studies (Huang et al. 2007; Zhang and
129 Huang 2014), the stratospheric and tropospheric feedback is linearly additive. The
130 difference between the sum of the radiation changes caused by tropospheric and
131 stratospheric changes respectively and the radiation change caused by both changes
132 simultaneously is generally within a few percent. Secondly, in order to assess the kernel
133 uncertainty associated with model atmosphere and radiation code, we compare the
134 feedback analysis results using two sets of kernels: one based on a NCAR model (Shell et
135 al. 2008) and the other based on a Geophysical Fluid Dynamics Laboratory (GFDL)
136 model (Soden et al. 2008). Although the GFDL model-based kernels do not cover the
137 portion of the stratosphere above 30 hPa, the quantifications of ΔR_X (Eq. 1) for the
138 portion below 30 hPa using the two sets of kernels are in good agreement, with a bias
139 generally less than 10%. In summary, these test results suggest that the kernel-based
140 linear decomposition can achieve a comparable accuracy for the stratospheric
141 temperature and water vapor feedback as for the tropospheric feedback (Soden et al.
142 2008).

143

144 **3. CMIP5 CO₂ quadrupling experiment**

145 To isolate the feedback from forcing, we analyze the climate change simulated by
146 the CMIP5 models in two idealized quadrupling CO₂ experiments: abrupt4xCO₂ and
147 sstClim4xCO₂. In the abrupt4xCO₂ experiment, the general circulation models (GCMs)
148 are integrated for 150 years after the atmospheric CO₂ concentration is instantaneously

149 quadrupled. A total of 11 models, as listed in Table 1, are available and included in this
150 study. In the accompanying sstClim4xCO₂ experiment, the GCMs are integrated for 30
151 years with the sea surface temperature (SST) being fixed after the quadrupling. Among
152 15 models archived in the CMIP5, 11 models are used for the analysis and compared with
153 the abrupt4xCO₂ experiments (see Table 1).

154

155 3.1 Forcing adjustment

156 The change in a stratospheric temperature in the sstClim4xCO₂ experiment in
157 relevance to its control run (the sstClim experiment) defines the forcing adjustment
158 response. Figure 1 (top panel) shows that the stratospheric temperature adjustment settles
159 very rapidly. In the sstClim4xCO₂ experiment, the stratospheric temperature drops
160 considerably; most of the cooling is attained within a year and then the temperature
161 steadies, allowing it to be considered a rapid adjustment of the forcing (Hansen et al.
162 1997). The multi-model global mean forcing adjustment, assessed according to Equation
163 1, is 1.9 W m⁻², compared to the instantaneous forcing of 5.4 W m⁻² caused by the CO₂
164 quadrupling. We notice that the magnitude of temperature adjustment differs substantially
165 across the models, which results in quantitative differences in their adjusted radiative
166 forcing (Zhang and Huang, 2014). The inter-model spread (max-min) among 11 models
167 amounts to 30% of the mean.

168

169 3.2 Stratospheric temperature feedback

170 In the abrupt4xCO₂ experiment when the SST is allowed to vary (Figure 1, bottom
171 panel), stratospheric temperature continues to vary over the whole integration period (150
172 years) in many models. Because the radiative relaxation time in the stratosphere is short
173 (as manifested by the temperature response shown in the top panel of Figure 1), the
174 extended stratospheric temperature change cannot be understood as a forcing adjustment,
175 but a response that likely relates to SST changes.

176 When the radiation anomaly caused by stratospheric changes in humidity or
177 temperature, quantified using Equation 1, is plotted against the global annual mean
178 surface temperature anomaly, significant correlation is observed in most models. This
179 verifies a strong connection between the surface temperature and the stratospheric
180 radiative effect under question, and justifies quantifying the stratospheric feedback using
181 Equation 2, as commonly done for tropospheric feedback.

182 We first calculate the temperature response that can be considered as a feedback
183 as the average of the last ten years (141- 150) of the abrupt4xCO₂ experiment minus
184 forcing adjustment as quantified above in sstClim4xCO₂ experiment. Figure 2 shows the
185 zonal-mean pattern of the feedback response of temperature and water vapor. A bullhorn
186 pattern with positive changes extending from subtropical upper troposphere both upward
187 and poleward is noticed in most of the models (see the mean of model ensemble, MME).

188 We then calculate the feedback parameter according to Equation 2 (see Table 1).
189 The feedback response of stratospheric temperature consists of both positive and negative
190 changes (Figure 2a). The bullhorn temperature response pattern leads to a distinct zonal

191 mean feedback pattern especially in the mid-latitudes (Figure 3a). Although the feedback
192 at every latitude zone is generally robust and different from zero, its global integration
193 results in a weak global mean feedback parameter, λ_{Tst} . The multi-model ensemble mean
194 of λ_{Tst} is $-0.02 \text{ W m}^{-2} \text{ K}^{-1}$ with a standard deviation (STD) of $0.04 \text{ W m}^{-2} \text{ K}^{-1}$, and a range
195 from $-0.09 \text{ W m}^{-2} \text{ K}^{-1}$ (MRI-CGCM3) to $0.04 \text{ W m}^{-2} \text{ K}^{-1}$ (IPSL-CM5A-LR). These results
196 suggest that the global mean temperature feedback in the models is rather uncertain.

197

198 3.3 Stratospheric water vapor feedback

199 Figure 2b shows the feedback response of the stratospheric water vapor in the
200 abrupt4xCO₂ experiment. The water vapor response reaches 4 times the unperturbed
201 climatological values in many models. The feedback parameter, λ_{WVst} , quantified by the
202 kernel method (Equation 1) has a multi-model mean value of $0.02 \text{ W m}^{-2} \text{ K}^{-1}$ and a
203 standard deviation of $0.01 \text{ W m}^{-2} \text{ K}^{-1}$ (Table 1). It is interesting to note that because the
204 OLR sensitivity to water vapor ($\frac{\partial R}{\partial q}$) changes sign from lower to upper stratosphere, a
205 uniform moistening in the stratosphere would lead to a small overall radiative effect after
206 compensation, such as in tropical regions (see Figure 3b).

207 When grouping the models according to their model top height, we find that the
208 high-top (higher than 1 hPa) ones show noticeably stronger water vapor feedback (see
209 Table 1). From the water vapor response pattern (Figure 2b), it is evident that the high-
210 top models tend to simulate a relatively stronger lower stratospheric moistening in the

211 extratropical regions. This leads to a substantial ($>0.2 \text{ W m}^{-2} \text{ K}^{-1}$) feedback in these regions
212 (Figure 3b).

213 It is worth noting that stratospheric water-vapor feedback parameter shown in
214 Table 1 is an order of magnitude smaller than the value reported by Dessler et al. (2013):
215 $0.3 \text{ W m}^{-2} \text{ K}^{-1}$. A few reasons may explain the difference. Firstly, the feedback evaluated
216 here is defined with respect to the TOA radiation flux while that of Dessler et al. is
217 evaluated at the tropopause. Stratospheric water vapor increases, by itself, would induce a
218 greater change in downwelling radiation at the tropopause (R_t) than in the upwelling
219 radiation at the TOA (R_o). This is because R_t is more sensitive to the stratospheric
220 emissivity (ϵ) increase than R_o . Consider a two-layer (troposphere and stratosphere) grey-
221 atmosphere model, $\partial R_t / \partial \epsilon$ equals σT_t^4 , which is the blackbody emission at the
222 stratospheric temperature T_t , while $\partial R_o / \partial \epsilon$ equals $\sigma T_s^4 - \sigma T_t^4$, which is the difference
223 between the blackbody emission at the equivalent troposphere-surface temperature T_s and
224 that at the stratospheric temperature T_t . It can be shown that $T_s^4 - T_t^4 < T_t^4$ given that the
225 stratosphere is at radiative equilibrium and absorbs solar radiation. Secondly, the water
226 vapor feedback given in Table 1 is measured by the kernel method (Eq. 1) and reflects
227 only the emissivity effect of water vapor but not the indirect effect through stratospheric
228 cooling. The subsequent stratospheric cooling (decrease in T_t) due to the radiative cooling
229 caused by water vapor, however, will damp the emissivity effect on R_t but enhance the
230 effect on R_o . If the stratosphere adjusts to a new radiative equilibrium, the overall changes
231 at the tropopause and at the TOA need to be balanced and thus the combined effect would

232 be equal no matter whether it is evaluated at the TOA or tropopause. This means that the
233 sum of water vapor and temperature radiative effects by the end of the abrupt4xCO2
234 experiment (when it approaches equilibrium), as given by Table 1, has appropriately
235 accounted for the combined water vapor radiative effects.

236

237 3.4 Combined feedback

238 The above results indicate that the stratosphere has a sign-uncertain temperature
239 feedback but a weak positive water vapor feedback. Adding the two effects yields a wide
240 range of feedback strengths with a minimum of $-0.06 \text{ W m}^{-2} \text{ K}^{-1}$ and a maximum of 0.07 W
241 $\text{m}^{-2} \text{ K}^{-1}$. As a result, the MME is nearly zero, with a STD of $0.04 \text{ W m}^{-2} \text{ K}^{-1}$ (Table 1).

242 Although the global mean feedback is insignificant, stratospheric changes play a non-
243 negligible role in local radiative feedback especially in extratropics (see Fig. 3).

244 To verify the feedback values obtained above using the differencing method
245 (Equations 1 and 2), we also calculate the feedback parameters using a regression method,
246 by regressing the global annual mean radiation anomalies in years 21-150 in the
247 abrupt4xCO2 experiment to the surface temperature anomalies. The results obtained from
248 the two methods are generally in agreement (see Table 1). The only noticeable
249 discrepancy in the CCSM4 model is due to weak linear relationship between the
250 stratospheric temperature-caused radiation anomaly and surface temperature anomaly
251 (and thus greater regression uncertainty).

252

253 **4. Cause of local stratospheric feedback**

254 4.1 Temperature feedback

255 The analysis above indicates that the stratospheric temperature feedback is locally
256 significant in the extratropics (Figs. 2a and 3a). The stratospheric temperature response
257 shown in Figure 2a consists of both positive and negative changes. In general, the
258 positive signals emerge from both sides of the subtropical tropopause region and extend
259 poleward and upward in both hemispheres. This pattern of warming, looking like bull
260 horns, does not resemble the temperature change that is caused by stratospheric
261 moistening, which would be uniformly negative (e.g., Forster and Shine 1999). Instead,
262 one can draw similarities between the feedback temperature response here and the
263 temperature changes in many of the global warming experiments (e.g., Son et al. 2009),
264 which suggests a common cause of the bullhorn-like feedback response of the
265 stratospheric temperature.

266 We find that the bull horns-like temperature change pattern between 60°S and
267 60°N is very well correlated with the anomaly of the residual vertical velocity w' (see
268 Andrews et al 1987, Eq. 3.5.1b for definition) in the stratosphere (compare Figs. 4a and
269 b). The increases of upwelling in the deep tropics and downwelling in the extratropical
270 regions, as shown in Figure 3b, particularly indicate strengthening of the BDC in the
271 quadrupling CO₂ experiment as in the scenario integrations (e.g., Butchart et al., 2006;
272 Manzini et al., 2014). The consequent adiabatic cooling and warming largely explain the
273 bullhorn pattern in the stratospheric temperature change. This result suggests that the

274 peculiar stratospheric temperature feedback response likely results from the strengthening
275 of the BDC.

276 To verify that it is the SST-driven circulation change that gives rise to the
277 bullhorn-like temperature feedback response in the stratosphere, we conduct the
278 following experiment using CAM5 (Neale et al. 2010). The model is integrated from
279 1960 to 2007 with greenhouse gas concentration fixed at 1960 value but with time-
280 varying historical SST values. Four ensemble runs are done. Figure 4c shows that this
281 experiment reproduces the bullhorn-shaped temperature response pattern seen in the
282 quadrupling CO₂ experiment fairly well (compare Figs. 4a and 4c). Although temperature
283 trend in the Southern Hemisphere high latitudes is different, it is not statistically
284 significant.

285 We diagnose the temperature tendency terms ($\frac{dT}{dt}$, T: temperature; t: time) in the
286 CAM5 simulations, including those caused by dynamics (heat advection) and physics
287 (the physical parameterizations of longwave and shortwave radiative heating, moist
288 processes, vertical diffusion, deep convective detrainment and orographic gravity wave
289 drag, etc). We find that the temperature tendency caused by the resolved dynamics, as
290 opposed to the parameterized physics, accounts for the bullhorn-shaped temperature
291 pattern. The pattern caused by the physics is dominated by radiative cooling, which is
292 spatially uniform, as shown by previous studies (Forster and Shine 1999), and does not
293 explain the bullhorn-shaped pattern. In comparison, the pattern caused by the dynamics
294 (Figure 4 d) is also bullhorn-shaped and has a strong spatial correlation with the overall

295 temperature trend pattern (correlation coefficient: 0.95). Moreover, the dynamically-
296 caused temperature change pattern is well correlated with the anomalous residual vertical
297 velocity w' between 60°S and 60°N. The spatial correlation between the two variables is -
298 0.54; the temporal correlation between the annual mean anomalies of the two variables at
299 50hPa averaged over the tropics (30°S-30°N) is -0.80. These results affirm that surface
300 warming causes dynamics adjustment (BDC strengthening) in the stratosphere, which
301 then leads to the distinct temperature change pattern.

302 It is important to note that the positive and negative temperature changes caused
303 by the stratospheric circulation changes have compensating radiative effects over the
304 globe. Using the kernel approach (Eq. 1) the global-mean feedback effect due to the
305 dynamical term (Figure 4d) is calculated to be $-0.01 \text{ W m}^2 \text{ K}^{-1}$. This affirms that the
306 dynamical heating/cooling does not lead to a significant feedback in the global-mean
307 surface temperature.

308

309 4.2 Water vapor feedback

310 Unlike tropospheric water vapor variations, which can be largely explained by
311 tropospheric temperature change and conservation of relative humidity, stratospheric
312 water vapor is not controlled by local temperature. The water vapor and temperature
313 change patterns (Figure 2) in the abrupt4xCO2 experiment bear no similarity in the
314 stratosphere.

315 Figure 2 b shows that in most models the most noticeable stratospheric water
316 vapor increase occurs in the lowermost stratosphere that is adjacent to the tropical upper
317 troposphere region where the atmospheric moistening is maximized. This suggests that
318 the stratospheric moistening is through mixing (e.g., isentropic) that transports water
319 from tropical upper troposphere to lower stratosphere. Indeed, the global mean specific
320 humidity in the lowermost stratosphere (above tropopause and below 70 hPa) and the
321 tropical mean (30°S–30°N) upper tropospheric specific humidity (UTH) averaged in a
322 100 hPa layer below tropopause are strongly correlated. Table 2 shows that the
323 correlation between the annual anomalies of the two variables in every model is greater
324 than 0.9 (many close to 1).

325 The UTH control of the overworld stratosphere (above 70 hPa) is noticeably
326 weaker (see Table 2). For this region, it is expected that the ascent strength of the BDC
327 and the temperature at tropical cold point tropopause (CPT) also influence the
328 stratospheric humidity (Gettelman et al. 2010, Feuglistaler et al. 2014). Similar to what is
329 found by Dessler et al. (2014), we find strong anti-correlation (-0.81) between the
330 residual velocity w and the CPT temperature, which indicates that the two control factors
331 have degenerated to one (with compensating effects). We correlate the annual anomalies
332 of the CPT temperature and the stratospheric specific humidity in each model and find
333 significant correlation in some models. In comparison, the specific humidity in both
334 lowermost and overworld stratosphere is better explained by the UTH, except for the
335 MIROC5 model. We also conduct a multiple regression of the stratospheric humidity

336 change against both variables: UTH and CPT. We find they together can explain most of
337 the stratospheric water vapor change in most models, except for the overworld
338 stratosphere in the INMCM4 model.

339 Finally, with regard to the inter-model differences in these variables, we find high
340 correlation between the global mean overall stratospheric water vapor change and the
341 tropical upper tropospheric water vapor change (correlation coefficient: 0.86), and the
342 tropical CPT temperature (0.67), respectively. In summary, these results suggest that the
343 moist increase in the lowermost stratosphere can be mostly attributed to mixing of upper
344 tropospheric water vapor, while that in the overworld is also affected by changes in BDC
345 strength and in tropical tropopause temperature.

346

347 **5. Discussion and conclusions**

348 We analyze the stratospheric responses in climate models that can be considered
349 as a feedback to surface warming. The GCMs examined have a stratospheric temperature
350 feedback ranging from -0.09 to $+0.04$ $\text{W m}^{-2} \text{K}^{-1}$ and a weaker water vapor feedback from
351 0.01 to 0.03 $\text{W m}^{-2} \text{K}^{-1}$. The sum of the two effects ranges from -0.06 to 0.07 $\text{W m}^{-2} \text{K}^{-1}$ with
352 almost zero multi-model ensemble mean value. The high-end feedback magnitudes
353 suggest that the stratosphere may have a non-negligible effect on climate sensitivity. The
354 considerable range of the feedback values indicate that this feedback mechanism is
355 poorly quantified in the models.

356 The overall climate feedback of the same CMIP5 models analyzed here amounts
357 to $-1.4 \pm 0.4 \text{ W m}^{-2} \text{ K}^{-1}$ (MME and STD, see Zhang and Huang, 2014). In comparison, the
358 stratospheric feedback makes considerably less contribution to the overall climate
359 feedback and its spread in these models. However, we note that the stratospheric
360 adjustment, i.e., the rapid stratospheric temperature change that is induced by CO_2 cooling
361 and is not related to surface warming, has a much more significant impact on the
362 radiation energy budget (a MME of 1.9 W m^{-2} , in comparison to a 5.4 W m^{-2} instantaneous
363 forcing of quadrupling CO_2). It can be concluded that the significant inter-model spread
364 of the overall stratospheric radiative impact as noticed by Huang (2013b) can be mostly
365 attributed to forcing adjustment.

366 We also note that the results here do not exclude the possibility of stratospheric
367 feedback caused by mechanisms other than water vapor and temperature variations. For
368 instance, Zhou et al. (2014) find a non-negligible cirrus cloud feedback in short-term
369 climate variations in observational data (a fraction of which may be related to clouds
370 above the tropopause and thus be considered a stratospheric feedback), although this
371 feedback is insignificant in GCM global warming experiments (Zelinka et al., 2012).

372 With regard to the cause of stratospheric feedback, we find that the strengthening
373 of the BDC explains the stratospheric temperature feedback. The circulation change
374 causes the temperature change through both dynamical (via adiabatic heat advection) and
375 radiative (via changing stratospheric water vapor) heating. These two mechanisms are
376 characterized by distinctive zonal mean temperature change patterns. The dynamical

377 heating pattern resembles the shape of bullhorns while the radiative heating pattern is
378 much more uniform. This suggests that it should be possible to attribute the overall
379 temperature change in both simulations and observation records to the two mechanisms
380 based on these distinctive spatial signatures, which shall be investigated in future work.

381 Unlike temperature feedback, stratospheric water vapor shows positive feedback
382 in all experiments. The stratospheric water vapor response largely results from
383 transported moisture from the tropical upper troposphere through mixing, but is also
384 modulated by cold point temperature as well as BDC strength. It warrants further
385 research to clarify how different mechanisms (e.g., ascent strength vs. tropopause
386 temperature) control the stratospheric water vapor change in a warming climate, at least
387 in the models. It should be borne in mind that not all 11 CMIP5 models included in this
388 analysis fully resolve the stratosphere. The high-top models seem to have a stronger
389 water vapor feedback (see Table 1) and this can be attributed to the relatively stronger
390 extratropical lower stratospheric moistening, the effects of which are also stressed by
391 Dessler et al. (2013).

392 Although the net effect of global-mean stratospheric temperature and water vapor
393 feedback is small, we find that stratospheric changes may be important for local radiative
394 feedback. A significant positive feedback is found in the extratropics. This could
395 effectively change meridional temperature gradient in the troposphere. Since the
396 circulation is sensitive to temperature gradient change in addition to temperature change
397 itself, this local radiative feedback can affect circulation in certain regions. This potential

398 link between stratospheric feedback and tropospheric climate change needs to be
399 explored in future study.

400

401 **Acknowledgements**

402 We thank three anonymous reviewers whose comments helped improve the
403 quality of the paper. Y. Huang and MZ are supported by a Discovery grant from the
404 National Science and Engineering Research Council of Canada (RGPIN418305-13). YX
405 is supported by a postdoctoral fellowship of Fonds de recherche du Québec- Nature et
406 technologies. YX and Y. Hu are supported by the National Natural Science Foundation of
407 China (41025018) and by the National Basic Research Program of China (973 Program,
408 2010CB428606). SWS is supported by Korea Ministry of Environment as “Climate
409 Change Correspondence Program”. We acknowledge the World Climate Research
410 Programme's Working Group on Coupled Modelling for the CMIP5 model data used in
411 this study.

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488 **Tables**

489 Table 1. Stratospheric temperature and water vapor feedback parameters of each model in
 490 the unit of $W\ m^{-2}\ K^{-1}$. Two methods are used here: a differencing method and a regression
 491 method (see details in the texts). The results are grouped to high-top (HT, at 1 hPa or
 492 above) and low-top (LT) models. See Table 9.A.1 of the IPCC 5th assessment report for
 493 details of the models.

494

MODEL	Model top	Differencing Method			Regression Method		
		λ_{Tst}	λ_{WVst}	λ_{st}	λ_{Tst}	λ_{WVst}	λ_{st}
GFDL-CM3	HT	-0.02	0.03	0.01	-0.02	0.03	0.01
IPSL-CM5A-LR	HT	0.04	0.03	0.07	0.06	0.02	0.08
MPI-ESM-MR	HT	0.01	0.03	0.03	0.01	0.02	0.03
MRI-CGCM3	HT	-0.09	0.03	-0.06	-0.07	0.03	-0.04
CanESM2	HT	-0.03	0.03	-0.01	-0.03	0.02	-0.01
CCSM4	LT	-0.06	0.01	-0.05	0.00	0.01	0.01
CSIRO-Mk3.6.0	LT	0.03	0.01	0.04	0.04	0.00	0.04
HadGEM2-ES	LT	0.02	0.02	0.04	0.06	0.02	0.07
INMCM4	LT	-0.03	0.01	-0.01	-0.02	0.02	0.00
MIROC5	LT	-0.02	0.01	-0.01	-0.01	0.02	0.01
NorESM1-M	LT	-0.01	0.01	-0.00	0.01	0.01	0.02
Mean		-0.02	0.02	0.00	0.01	0.02	0.02
STD		0.04	0.01	0.04	0.04	0.01	0.04

495

496 Table 2. Correlation between global mean lowermost (below 70hPa) and overworld
497 (above 70hPa) stratospheric specific humidity and two control factors: temperature at the
498 cold point tropopause (CPT) averaged over 10°S–10°N and tropical upper tropospheric
499 specific humidity (UTH) averaged over 30°S–30°N. The correlation coefficients are
500 calculated based on the annual mean anomalies of these variables in Years 21-150 in the
501 abrupt 4xCO₂ experiment for each model. In the case of CPT+UTH, stratospheric
502 specific humidity is first regressed to the two variables in a multiple regression and then
503 correlation coefficient is calculated between GCM-simulated and regression-model-
504 predicted humidity anomalies.

505

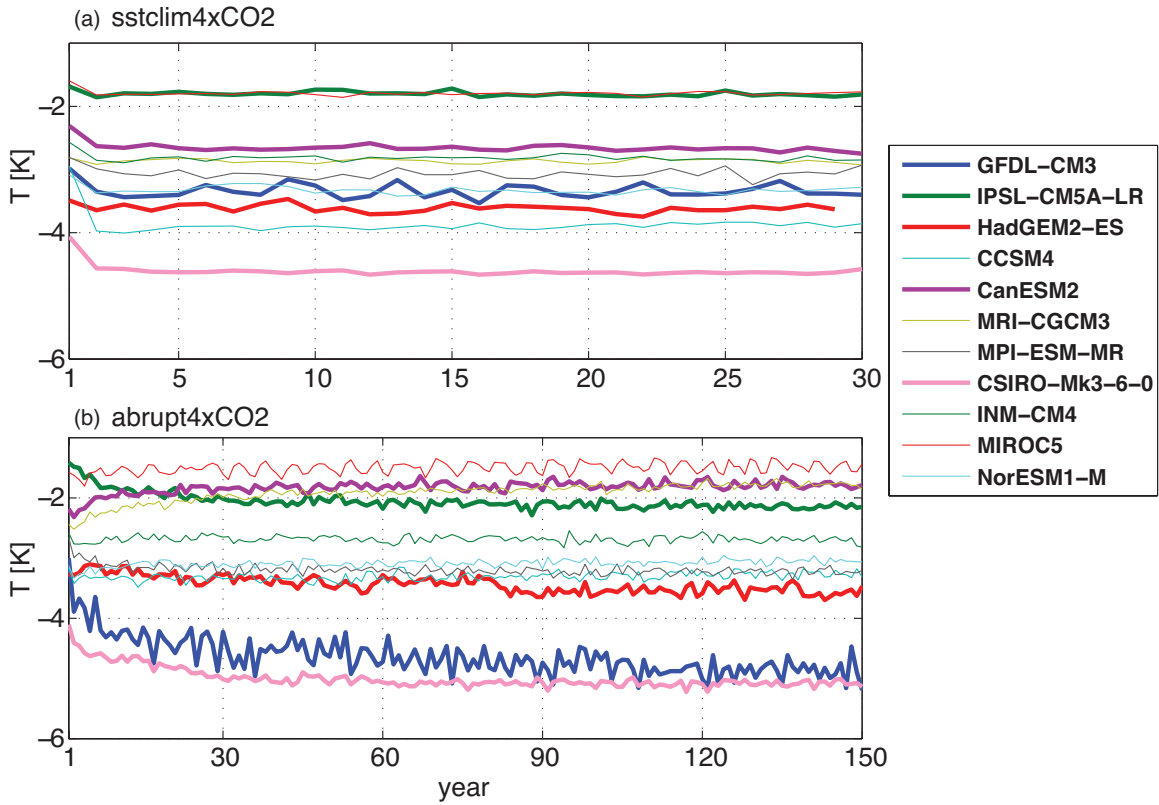
MODEL	Model top	Lowermost stratosphere			Overworld stratosphere		
		CPT + UTH	CPT	UTH	CPT + UTH	CPT	UTH
GFDL-CM3	HT	0.99	-0.07	0.99	0.92	0.13	0.89
IPSL-CM5A-LR	HT	0.99	-0.33	0.99	0.91	-0.30	0.91
MPI-ESM-MR	HT	0.99	-0.25	0.99	0.87	0.18	0.77
MRI-CGCM3	HT	0.97	0.92	0.97	0.87	0.83	0.87
CanESM2	HT	0.99	-0.06	0.99	0.86	0.01	0.86
CCSM4	LT	0.97	0.26	0.97	0.86	0.32	0.86
CSIRO-Mk3.6.0	LT	0.99	0.94	0.99	0.96	0.92	0.95
HadGEM2-ES	LT	0.98	-0.97	0.98	0.95	-0.91	0.95
INMCM4	LT	0.91	0.34	0.91	0.37	-0.05	0.36
MIROC5	LT	0.98	0.95	0.97	0.75	0.72	-0.57
NorESM1-M	LT	0.97	0.39	0.97	0.85	0.40	0.85

506

507

508 **Figures**

509



510

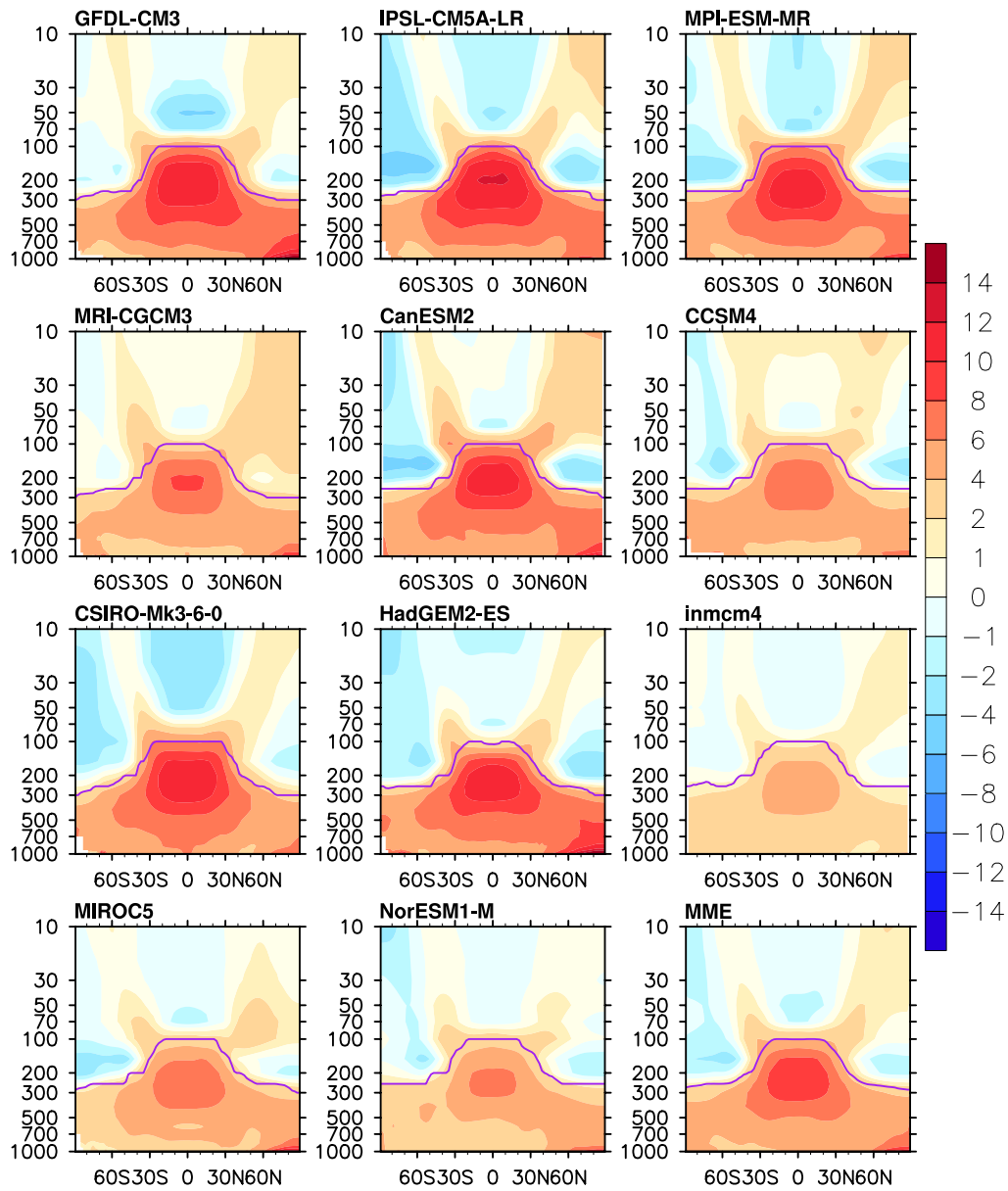
511 Figure 1. Time series of global mean 50 hPa temperature change in the sstClim4xCO2

512 (top) and abrupt4xCO2 (bottom) experiments. The changes (unit: K) are relative to their

513 control runs sstClim and piControl, respectively. Note that the range of x-axis is different

514 in two time series.

515

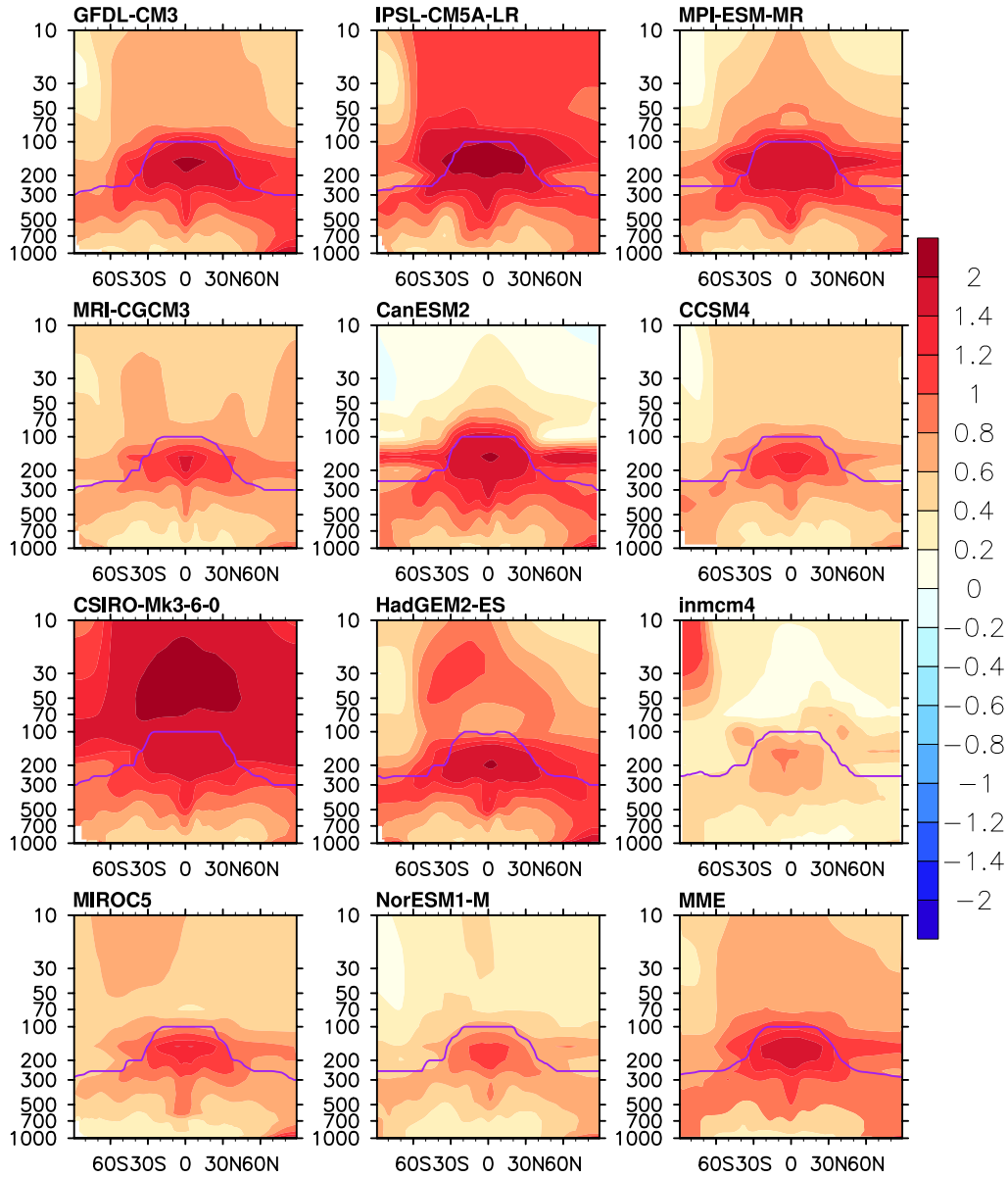


516

517 Figure 2. Zonal mean feedback response in a) atmospheric temperature ΔT , unit: K, and b)

518 logarithm of specific humidity, $\Delta \log_2(q)$. The thick line indicates the tropopause.

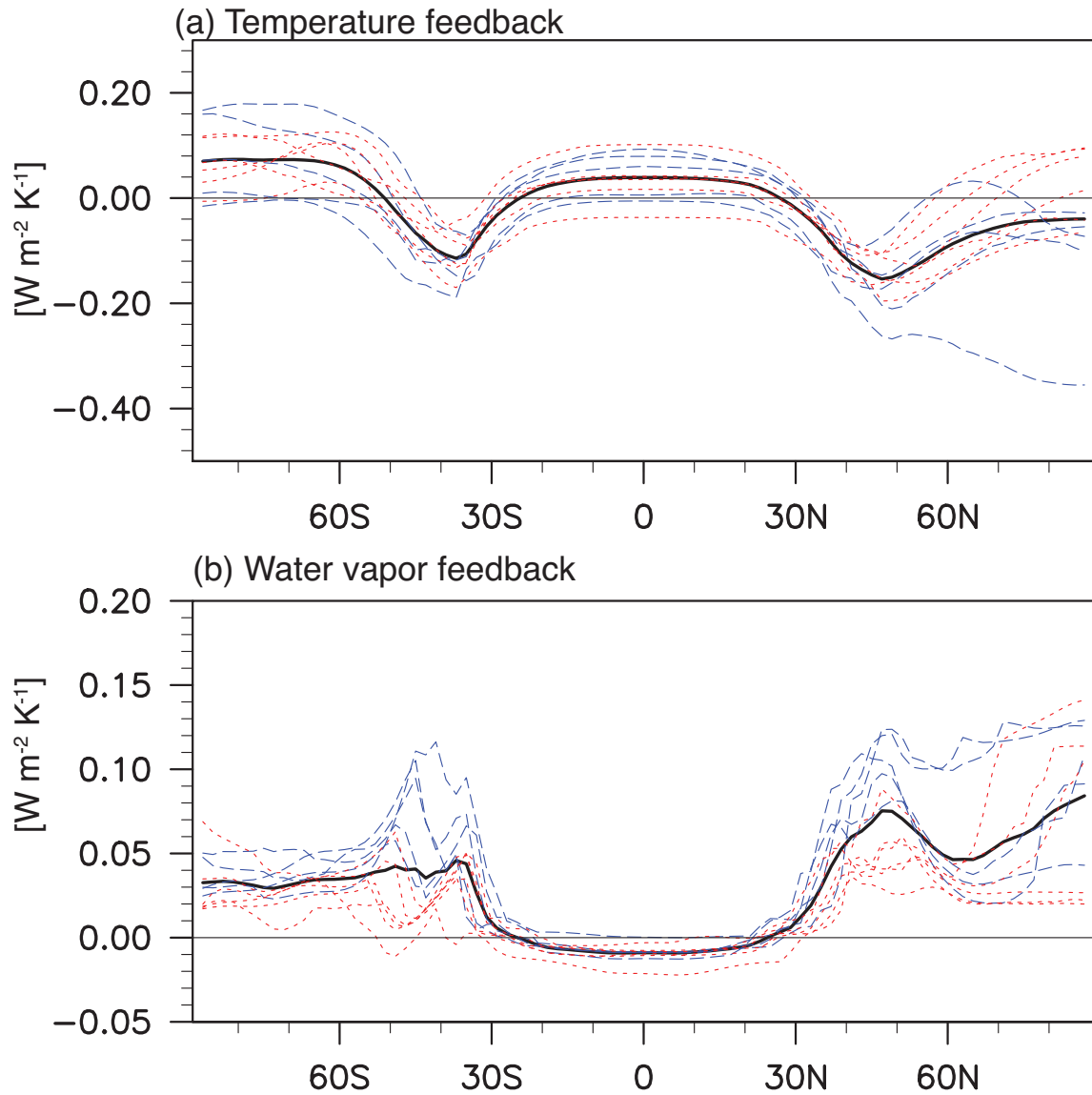
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520

521 Figure 2 b. Zonal mean feedback response in the logarithm of specific humidity, $\Delta \log_2(q)$.

522

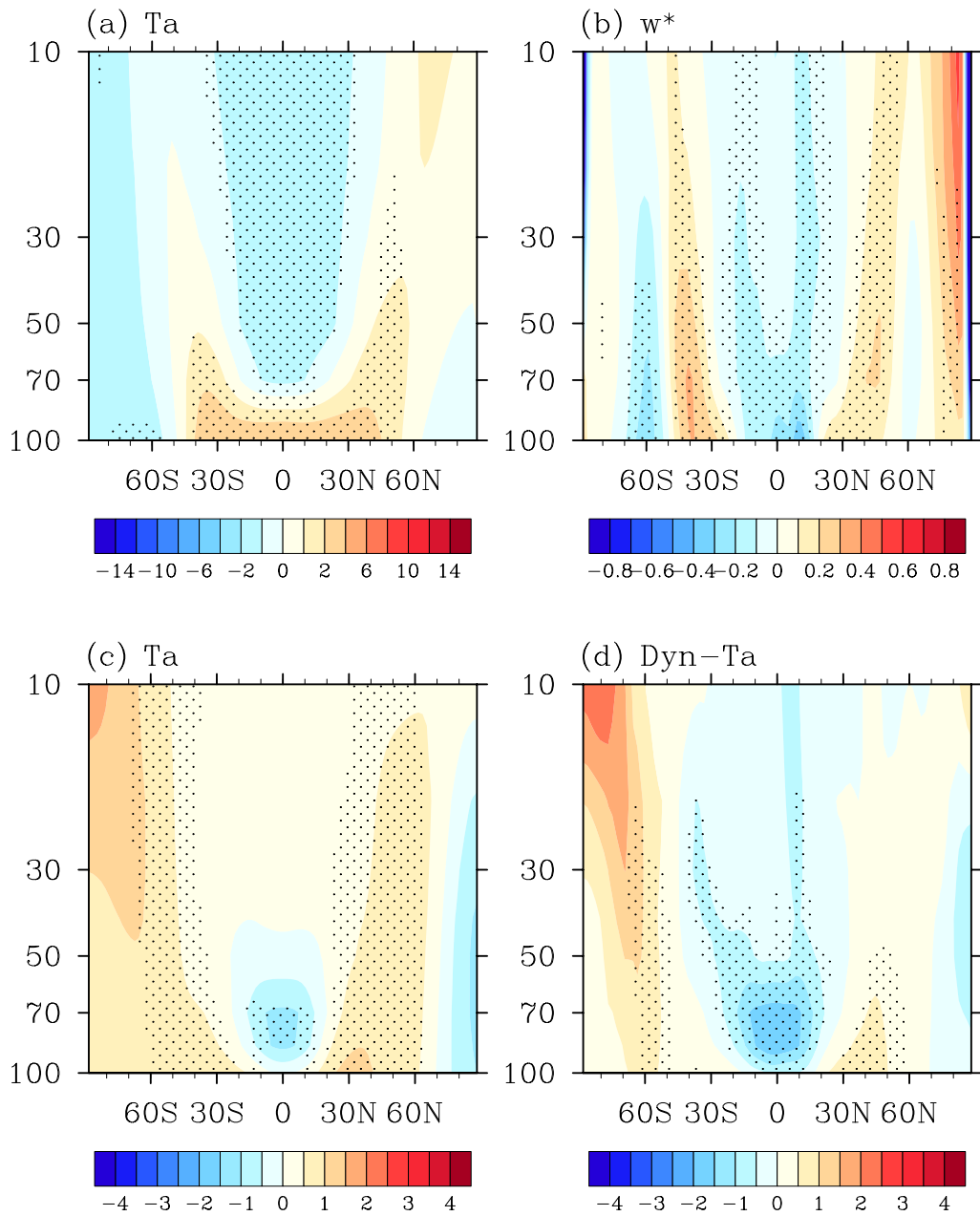


523

524 Figure 3. Zonal mean radiative feedbacks (unit: $\text{W m}^{-2} \text{K}^{-1}$) of the stratospheric a)

525 temperature and b) water vapor. The high- and low-top models are denoted by blue and

526 red dashed lines respectively. The thick black line denotes the multi-model mean.



528

529 Figure 4. a) Multi-model mean feedback temperature response (unit: K) in the

530 abrupt4xCO₂ experiment. b) Multi-model mean change in the residual vertical velocity w^*

531 of the overturning circulation in the abrupt4xCO₂ experiment (unit: mm/s). Contoured
532 here is $(-1) \times \Delta w$, so that negative (positive) means ascent (descent). c) The ensemble
533 mean feedback temperature response (unit: K) in the CAM5 experiment. d) The dynamics
534 contribution to the temperature response (unit: K) in c). For the CAM5 experiment, the
535 change is the difference between the means of 2003-2007 and 1960-1964. In (a) and (b),
536 stippling indicates at least 13 models showing the same sign of change; in (c) and (d),
537 significant trend at 90% confidence level.
538