



# Parameterized convection, grid-scale clouds and resolution sensitivity in the Community Atmosphere Model

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## This paper describes...

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*Received ...*

## 1. Introduction

An increasing number of Atmospheric General Circulation Models (AGCMs) are being developed to maximize efficiency on massively parallel systems, permitting regionally-refined high-resolution, or even globally high-resolution weather ( $\Delta x = 5$  km and less) and climate ( $\Delta x = 50$  km and less) simulations (Skamarock *et al.* 2012; Zängl *et al.* 2014; Harris *et al.* 2016; Ullrich *et al.* 2017; Lauritzen *et al.* 2018). These models are built using unstructured meshes that while allows for substantial grid flexibility, require physical parameterizations (*physics*) that behave consistently as the truncation scale of the model changes with different grid resolutions, referred to as scale-aware physics. The most common approach towards developing scale-aware physics is through the lens of limited area, large-eddy simulations (e.g., Plant and Craig 2008; Arakawa and Wu 2013; Song and Zhang 2018). Through subsequently filtering large-eddy solutions to lower-resolution grids, a relationship between first- and higher-order moments (Germano 1992) may be understood and ultimately parameterized as a function of grid resolution. While this approach is likely necessary for developing scale-aware physics, it is not sufficient. The equations of motions have inherent scale dependencies, with the properties of dynamical modes a function of native grid resolution (Orlanski 1981; Weisman *et al.* 1997; Pauluis and Garner 2006; Jeevanjee and Romps 2016). Scale-aware physics should also recognize these native grid dependencies.

The sensitivity of the Community Atmosphere Model (CAM; Neale *et al.* 2012), and its predecessor, the Community Climate Model (CCM) to resolution (*resolution* refers to *horizontal resolution*, hereafter) is well documented through convergence studies (Kiehl and Williamson 1991; Williamson *et al.* 1995; Williamson 2008; Rauscher *et al.* 2013; Zarzycki *et al.* 2014; Herrington and Reed 2017). Despite thirty years of continual model development, there are robust sensitivities to resolution that have persisted in all versions of the model. This study argues that a unifying cause, the inherent scale sensitivities of the underlying dynamical equations, can explain the robust responses to resolution that occur in CAM/CCM, *since it is difficult to conceive that inevitable responses to native grid resolution could be ignored in the pursuit of scale-aware physics.*

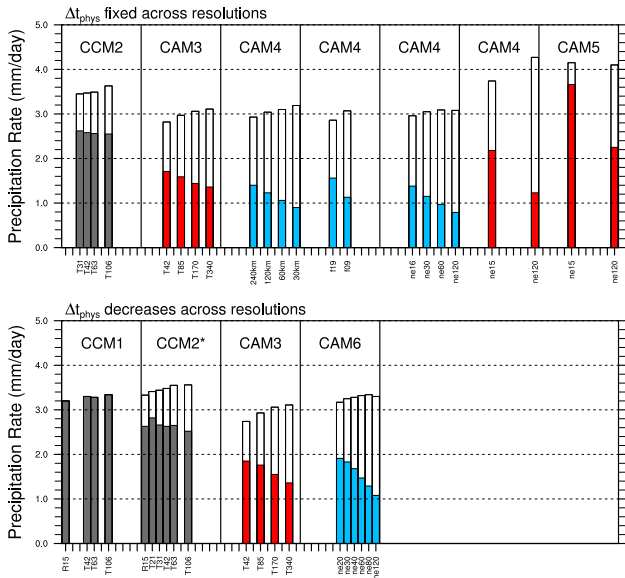
In CAM/CCM, the atmosphere progressively dries with increasing resolution, seen through a reduction in simulated total precipitable water (Kiehl and Williamson 1991; Williamson *et al.* 1995; Williamson 2008; Rauscher *et al.* 2013; Zarzycki *et al.* 2014; Herrington and Reed 2017), which typically, but not always (see Williamson *et al.* 1995; Zarzycki *et al.* 2014), coincides with a reduction in cloud cover. Kiehl and Williamson (1991) and Williamson *et al.* (1995) suggested that the drying of the atmosphere is due to greater magnitude resolved vertical velocities with increasing resolution, with greater subsiding motion increasing the export of dry air from the upper troposphere. This mechanism is consistent with an analysis of moisture budgets in CAM, version 4 (CAM4; Neale *et al.* 2010) across multiple resolutions (Yang *et al.* 2014; Herrington and Reed 2017).

It is well known that the magnitude of vertical velocities increase with resolution in atmospheric models. While the cause of this sensitivity has been established for large-eddy simulations (see Jeevanjee 2017, and references therein), only recently has the vertical velocity field in AGCMs and their sensitivity to resolution received attention (Donner *et al.* 2016; O'Brien *et al.* 2016), albeit with conflicting explanations (Rauscher *et al.* 2016; Herrington and Reed 2018). To generalize the relationship between vertical velocity and resolution, let  $\alpha$  refer to the ratio of  $W_0$ , the vertical velocity scale of some reference grid spacing  $\Delta x_0$ , to  $W$ , the vertical velocity scale of any  $\Delta x$ . A power law for  $\alpha$  in  $\Delta x$  is then,

$$\alpha = \frac{W_0}{W} = \left( \frac{\Delta x_0}{\Delta x} \right)^n, \quad (1)$$

where  $n$  is the power law exponent.

Rauscher *et al.* (2016) derive an estimate  $n = b - 1$  by combining a scale analysis of the continuity equation with a power law representation  $\Delta x^{2b}$  of the second-order structure function of the horizontal wind. Strictly speaking,  $\Delta x$  here refers to the distance between two points for which the velocity increment is computed in the structure function, but with this distance set to the model grid-spacing. Observations indicate that  $b = \frac{1}{3}$  for scales less than about 1000 km (Cho *et al.* 1999), which according to the Weiner–Khinchin theorem  $-(2b + 1) = -\frac{5}{3}$  is equal to the slope of the kinetic energy spectrum for mesoscale motions (Nastrom and Gage 1985). Rauscher *et al.* (2016) argue that the  $-\frac{5}{3}$  slope



**Figure 1.** Bar-graph of the convective (solid) and grid-scale (white) climatological precipitation rates in prior CAM/CCM convergence studies. Each window contains a single convergence study, with identical x-axis; the approximate grid resolution. Colors indicate the model configuration; January ensemble (black) and aqua-planet configurations with SST profiles *QOBS* (blue) and *CNTL* (red) after Neale and Hoskins (2000). Studies included in this figure are Kiehl and Williamson (1991) (CCM1), Williamson *et al.* (1995) (CCM2), Williamson (2008) (CAM3), Rauscher *et al.* (2013); Zarzycki *et al.* (2014); Herrington and Reed (2017) (CAM4), Zarzycki *et al.* (2014) (CAM5) and this study (CAM6). CCM2\* refers to the modified parameter experiment of Williamson *et al.* (1995), where parameters vary with resolution to reduce the dependence of cloud fraction on resolution.

is common in both observations and models, and provides an emergent constraint for  $b = \frac{1}{3}$  and  $n = -\frac{2}{3}$ .

In large-eddy simulations, the sensitivity of vertical velocities to resolution is adequately explained by a scale analysis of the dynamical equations (Weisman *et al.* 1997; Pauluis and Garner 2006; Jeevanjee and Romps 2016). For hydrostatic scales relevant to AGCMs, a scale analysis of the Poisson equation gives  $W \propto D^{-1}$ , where  $D$  is the horizontal scale of a buoyancy perturbation driving vertical motion (Herrington and Reed 2018). In CAM aqua-planet simulations, the largest source of buoyancy is from grid-scale cloud formation, whose horizontal extents are set by the effective resolution of the model (i.e., some multiple of  $\Delta x$ ), indicating  $n = -1$  (Herrington and Reed 2018). Herrington and Reed (2017) has shown that the  $n = -1$  scaling does not explain the behavior of CAM4 in a convergence experiment, but follow-up studies (Herrington and Reed 2018; Herrington *et al.* 2019) indicate that the inadequacy of the  $n = -1$  scaling is not definitive due to time-truncation errors associated with fixing the physics time-step ( $\Delta t_{phys}$ ) across resolutions in that study.

Another robust response of the CAM/CCM lineage to resolution is an increase in stratiform precipitation rates (i.e., the precipitation from grid-scale clouds), at the expense of parameterized convective precipitation rates. This behavior is summarized in Figure 1, which is a bar-graph of the climatological, global mean stratiform and convective precipitation rates in prior CAM/CCM convergence studies. The studies of Kiehl and Williamson (1991), Williamson *et al.* (1995) and Williamson (2013) indicate that the tendency to reduce  $\Delta t_{phys}$  with resolution would by itself reduce the convective precipitation rates, however Figure 1 (top row) indicates that convergence studies with fixed  $\Delta t_{phys}$  still show a reduction in convective precipitation rates with resolution.

In this study, a convergence experiment using CAM, version 6 (CAM6; [https://ncar.github.io/CAM/doc/build/html/users\\_guide/index.html](https://ncar.github.io/CAM/doc/build/html/users_guide/index.html)) is carried out and analyzed in detail. It is shown that the resolution sensitivity of

vertical velocities are well described with  $n = -1$  in equation (1), provided  $\Delta t_{phys}$  is defined in a way that avoids large truncation errors across resolutions. The reduction in convective precipitation rates with resolution in CAM6 is shown to result from the greater magnitude subsiding motion, creating a more stable atmosphere in which the criterion for parameterized convection occurs less often. The feedback of the resolved vertical motion on the physics indicates that the root cause of resolution sensitivity in CAM arises from the sensitivity of resolved dynamical modes to native grid resolution. Section 2 describes CAM6 and details the convergence experiment. Section 3 contains a thorough analysis of the CAM6 simulations and Section 4 provides some discussion and conclusions.

## 2. Methods

### 2.1. Dynamical Core

This study uses the spectral-element dynamical core option of Community Atmosphere Model (CAM-SE; Dennis *et al.* 2012), coupled with a mass conserving, semi-Lagrangian advection method for accelerated multi-tracer transport (CSLAM; Lauritzen *et al.* 2017), and dry-mass vertical coordinate with comprehensive treatment of moisture and energy (Lauritzen *et al.* 2018). The dry dynamics are solved using the high-order, momentum, mass and energy conserving spectral element method (Taylor and Fournier 2010), with the elements defined by a cubed-sphere grid. The notation for the horizontal grid resolution is an ‘ne’ followed by the number of elements making up an edge of one cubed-sphere face, e.g., ne30. Hyper-viscous  $\nabla^4$  explicit numerical dissipation is applied to temperature, dry pressure thickness, rotational and divergent winds. CSLAM tracer transport uses a finite volume grid constructed from the cubed-sphere of elements, and contains the same degrees of freedom as the dry dynamics.

### 2.2. Physical Parameterizations

The physics are evaluated on the finite-volume CSLAM grid, and the tendencies mapped back to the spectral element grid. The coupled system, referred to as CAM-SE-CSLAM, conserves energy, mass and preserves linear correlations between two reactive species to within machine precision (Herrington *et al.* 2018). A coarser physics grid, containing  $\frac{5}{9}$  fewer degrees of freedom than the dynamical core grid is also available as part of the CAM-SE-CSLAM package (Herrington *et al.* 2019). This lower-resolution physics grid is used in this study, but only as a member of a perturbed parameter ensemble and not in the default convergence experiment. The dynamics time-step is subcycled within a longer physics time-step  $\Delta t_{phys}$ , and the temperature and momentum increments from the physics are divided by the number of subcycles and added to the dynamical core at the beginning of each subcycle. The full moisture increment from the physics is applied only at the start of the first subcycle to conserve tracer mass (*f*type = 2 option in Lauritzen *et al.* 2018).

The simulations use the CAM6 physics package. The Cloud Layers Unified by Binormals (CLUBB Golaz *et al.* 2002; Bogenschutz *et al.* 2013) is an assumed probability distribution function (PDF) high-order closure model that handles shallow convection, planetary boundary layer mixing and cloud macrophysics. The macrophysics are coupled with a two-moment bulk cloud microphysics scheme with prognostic precipitation (Gettelman *et al.* 2015), and microphysics are coupled with a three mode Modular Aerosol Model (Liu *et al.* 2012). The combined macrophysics/microphysics routines generate grid-scale clouds with stratiform precipitation. Deep convection is parameterized using a quasi-equilibrium mass flux scheme (Zhang and McFarlane 1995) and a dilute form of the convective available

Table 1. Experimental design and global means.

Variable	<i>ne20</i>	<i>ne30</i>	<i>ne40</i>
$\Delta x$ (km)	166.8	111.2	83.4
$\nu$ ( $m^4/s$ )	$1.5 \times 10^{15}$	$4.0 \times 10^{14}$	$1.5 \times 10^{14}$
$\Delta t_{phys}$ (s)	2700	1800	1350
Total Cloud Fraction	0.844	0.835	0.824
Total Precipitable Water (mm)	23.31	23.01	22.62
Convective Precipitation (mm/day)	1.91	1.83	1.68
Stratiform Precipitation (mm/day)	1.26	1.42	1.60

potential energy (CAPE) is computed and used as the convective trigger (convection occurs if dilute CAPE  $\geq 70$  J/kg), and for closing the mass fluxes in the cloud ensemble (Neale *et al.* 2008). The deep convection scheme also parameterizes convective momentum transport (Richter and Rasch 2008).

### 2.3. Experimental Design

The convergence experiment is performed in an aqua-planet configuration (Neale and Hoskins 2000; Medeiros *et al.* 2016), an all ocean planet with fixed, zonally symmetric sea surface temperatures modeled after present day Earth (QOBS in Neale and Hoskins 2000). The aqua-planets are in a perpetual equinox, and aerosols are largely absent from the simulations. Each simulation is ran for one simulated year. Six different horizontal grids are used in this study, which are provided in Table 1. The horizontal hyper-viscosity operators  $\nu$  vary with resolution after Herrington *et al.* (2019), also provided in Table 1. The values of  $\nu$  are a factor 2.5 greater for divergence damping and are not shown.  $\Delta t_{phys}$  is chosen to scale with resolution, in proportion to the grid spacing,

$$\Delta t_{phys} = \Delta t_{phys,0} \times \frac{n_{e,0}}{n_e}, \quad (2)$$

where  $\Delta t_{phys,0}$  is taken to be the standard 1800s used in CAM-SE-CSLAM at the standard resolution,  $n_{e,0} = ne30$  (equivalent to an average equatorial grid spacing  $\Delta x = 111.2$ km). This scaling was chosen to avoid large time-truncation errors in a rising moist bubble test (Appendix A in Herrington *et al.* 2019), and it is understood that this choice of  $\Delta t_{phys}$  will likely lead to greater resolution sensitivity (Williamson 2008). The convective time-scale in the deep convection scheme is fixed at 3600 s in all simulations.

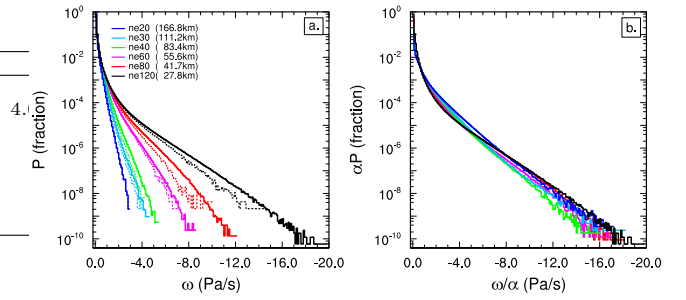
## 3. Results

Table 1 provides globally averaged, climatological (omitting the first month) metrics for the CAM6 simulations which are typically published in CAM/CCM convergence studies. Total precipitable water, total cloud fraction and deep convective precipitation rate decreases, while stratiform precipitation increases, monotonically with resolution. Resolution sensitivity in CAM6 is similar to all prior versions of the model.

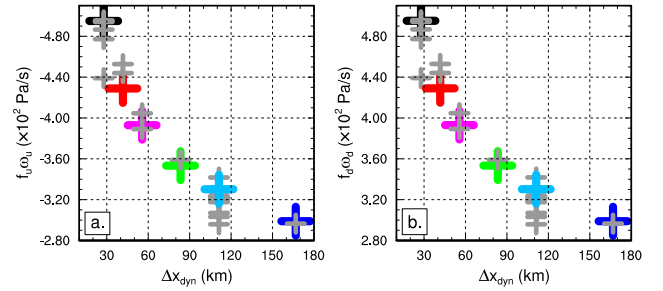
### 3.1. Vertical Velocities and Resolution

The PDF of negative, or upward vertical pressure velocities  $\omega$  in the aqua-planets is shown in Figure 2a. The magnitude of upward  $\omega$  increases monotonically with resolution, with positive, or downward  $\omega$  behaving similarly (not shown). This monotonic increase in the magnitude of  $\omega$  is evident even after remapping all the model output to a common grid (*ne20*; dotted curves Figure 2a).

The PDF's may be scaled to the highest-resolution resolution grid through  $P(\omega)_s = \alpha P(\omega/\alpha)$ , where  $\alpha$  is the scale factor from equation 1, and setting  $\Delta x_0$  to the *ne120* grid-spacing. Figure 2b shows the scaled PDFs using  $n = -1$  in equation 1. The scaled PDF's all collapse onto the high-resolution reference, indicating



**Figure 2.** Probability density distribution of the upward vertical pressure velocities  $\omega$  computed everywhere in the model from 1 year of 6-hourly data (a) raw values (solid) and values remapped to the *ne20* grid (dotted), (b) values scaled to the *ne120* resolution.



**Figure 3.** (a,b,c,e,f,g) Components of the global mean vertical pressure velocity, (a)  $\langle f_u \rangle \langle \omega_u \rangle$  (b)  $\langle f_d \rangle \langle \omega_d \rangle$ . Colors are as in Figure 2. Grey crosses are for the perturbed parameter runs.

the a power-law with  $n = -1$  explains to first-order the variation in vertical velocity with resolution in the aqua-planet simulations.

Changes to the vertical velocity field can be further understood through decomposing the mass weighted vertical mean  $\omega$  into upward and downward components,

$$\langle \omega \rangle = \langle f_u \rangle \langle \omega_u \rangle + \langle f_d \rangle \langle \omega_d \rangle, \quad (3)$$

where  $\langle f_x \rangle$  and  $\langle \omega_x \rangle$  refers to the vertical mass fraction  $\left( \frac{\int f_x dp}{\int dp} \right)$  and the  $x$  component of the mass weighted vertical mean of  $\omega$   $\left( \frac{\int \omega_x dp}{\int dp} \right)$ , respectively, subscript  $u$  refers to upward motion and  $d$ , downward motion.

The global mean, climatological components  $\langle f_u \rangle \langle \omega_u \rangle$  and  $\langle f_d \rangle \langle \omega_d \rangle$  are provided in Figure 3a,b for the aqua-planet simulations. The magnitude of both  $\langle f_u \rangle \langle \omega_u \rangle$  and  $\langle f_d \rangle \langle \omega_d \rangle$  increase monotonically with resolution, and are both equal and opposite, which is a requirement of mass conservation in the model and a convenient check of the calculation. While  $\langle f_d \rangle$  is about 25% larger than  $\langle f_u \rangle$  in all simulations, the vertical mass fractions varies by only few percent with resolution, and so the monotonic behavior of  $\langle f_x \rangle \langle \omega_x \rangle$  with resolution is primarily from variations in  $\langle \omega_x \rangle$  (not shown).

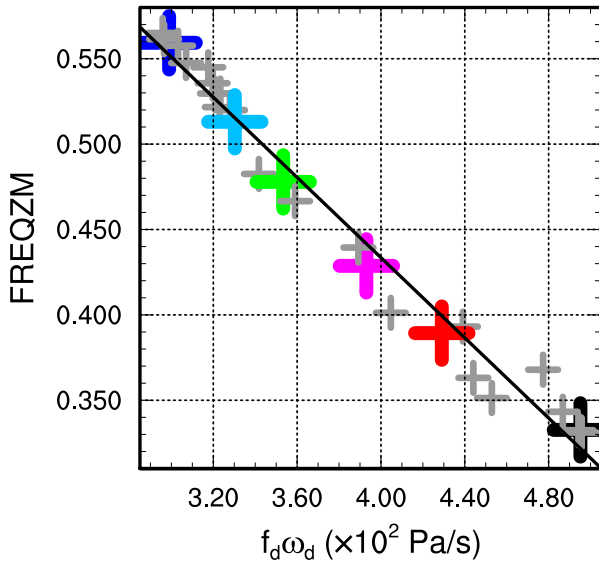
### 3.2. Vertical Velocities and Convective Precipitation

The Zhang and McFarlane (1995) deep convection scheme (referred to as the ZM scheme, hereafter) is modulated by the dilute CAPE calculation, which itself is intertwined with the vertical velocity field (Song and Zhang 2018). The CAPE budget can be separated into two components (Zhang 2002); instability due to the thermodynamic state of parcels in the boundary layer and the instability generated through advection of dry static energy and moisture by the environment, i.e., the resolved flow. The latter term is defined as,

$$-R_d \int_{p_t}^{p_b} \frac{\partial T_{ve}}{\partial t} d \ln p \quad (4)$$

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**Figure 4.** Scatter plot of  $\langle f_d \rangle \langle \omega_d \rangle$  and  $FREQZM$ , and the fitted linear regression which has a Pearson's R-value = 0.99. Colors are as in Figure 2. Grey crosses are for the perturbed parameter ensemble.

where  $T_{ve}$  is the virtual temperature of the environment,  $R_d$  the gas constant for dry air and subscripts  $b$  and  $t$  refer to the parcel launch level (typically in the boundary layer) and the level of neutral buoyancy, respectively (Zhang 2002). Equation 4 contains a term, the vertical advection of potential energy, which simplifies to  $w \frac{\partial qz}{\partial z} = gw$ , and directly proportional to the vertical velocity  $w$  by the factor  $g$ , the acceleration of gravity (F. Song, personal communication). In subsiding regions,  $w$  is negative and opposes the generation of CAPE through adiabatic warming of the environment.

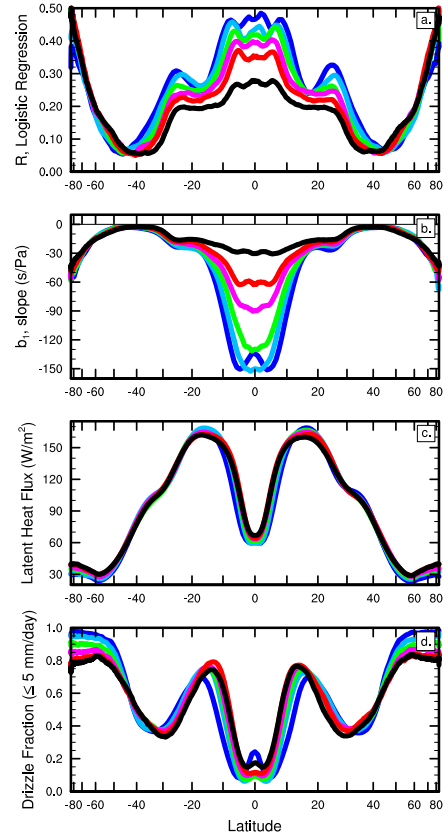
There is an excellent negative correlation (Pearson's R-value = 0.99) between the global mean, climatological  $\langle f_d \rangle \langle \omega_d \rangle$  and a measure of the activity of the ZM scheme in the simulations,  $FREQZM$  (Figure 4). At any given grid-point and time-step,  $FREQZM$  is a binary variable: one if the ZM scheme is active, zero if it is not. Time-mean  $FREQZM$  therefore indicates the fraction of the model time that the ZM scheme is triggered, i.e., dilute CAPE exceeds  $\geq 70 \text{ J/kg}$ . It is hypothesized that the greater subsiding motion with resolution opposes the generation of dilute CAPE through subsidence warming, reducing the frequency the ZM scheme is triggered, and creating the strong negative correlation in Figure 4.

To test the hypothesis, a logistic regression between subsiding motion and  $FREQZM$  is performed for each grid column within each of the simulations. Logistic regression uses an iterative method to fit a continuous variable predictor,  $x$  to a binary predictand  $p$  (Wilks 2011),

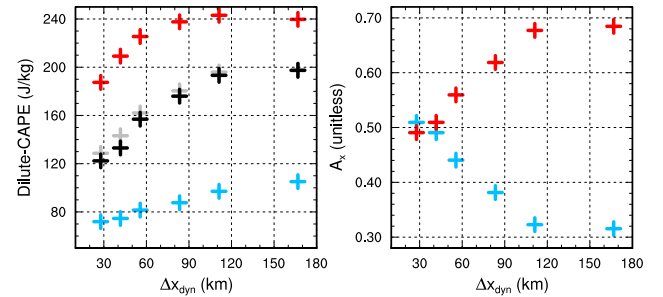
$$p = \frac{\exp[b_0 + b_1 x]}{1 + \exp[b_0 + b_1 x]}, \quad (5)$$

where  $b_0$  and  $b_1$  are the shape parameters of the exponential. The predictor is then the instantaneous  $\langle f_d \rangle \langle \omega_d \rangle$  of a grid column, and the predictand the binary  $FREQZM$ . Since the aqua-planets have zonally symmetric boundary conditions, there is a zonally varying structure in the goodness of fit (R-value) and parameter  $b_1$  (hereafter referred to as the sensitivity parameter; Figure 5a,b).

The zonal mean R-values indicates the greatest goodness of fit in the deep tropics ( $\pm 10^\circ$  latitude). Figure 5c shows the climatological, zonal-mean latent heat flux in the simulations, which is expected to contribute positively to CAPE through the component associated with the thermodynamic state of boundary



**Figure 5.** Zonal mean (a) R-values and (b) sensitivity parameter in the logistic regression, (d) time mean surface latent heat fluxes and (c) drizzle fraction. Colors are as in Figure 2.



**Figure 6.** (a) time mean fraction of the deep tropics in the simulations with upward ( $\langle \omega \rangle$ ) (red) and downward ( $\langle \omega \rangle$ ) (blue), (b) CAPE computed from the mean temperature and moisture profiles of upward regions and downward regions. Black is for CAPE computed from the mean temperature and moisture profiles for the entire deep tropics, grey is the approximate discussed in the text.

layer parcels. In the deep tropics, the latent heat flux is small, and the sensitivity parameter is large and negative (Figure 5b), which is consistent with our hypothesis that the subsiding motion actively depresses CAPE and the activity of the ZM scheme in the simulations. The sensitivity parameter becomes less negative in the deep tropics with resolution, likely due to the greater magnitude  $\langle f_d \rangle \langle \omega_d \rangle$  with resolution, which requires a lower sensitivity parameter to predict the binary of whether the ZM scheme is active. The R-values generally decrease with resolution indicating that there is degradation in the relationship with resolution. All values shown are statistically significant at the 95% level using a log-likelihood test (Wilks 2011).

To understand the degree to which atmospheric stability in the deep tropics is dependent on ascending and descending motion, temperature and moisture profiles are conditionally sampled based on whether  $\langle \omega \rangle$  is positive or negative, indicating predominantly

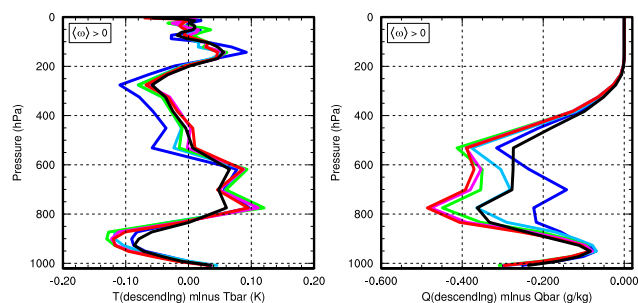


Figure 7

subsiding or ascending grid columns. The mean temperature and moisture profiles of subsiding and ascending regions in the deep tropics are used to compute the dilute-CAPE used by the ZM scheme, offline. Figure 6a indicates that the mean profile of ascending regions are associated with large values of CAPE ( $> 170$  J/kg), and low values in subsiding regions ( $< 110$  J/kg). Figure 7 shows the climatological temperature and specific humidity profiles of subsiding grid cells, averaged over the deep tropics and presented as anomalies from the mean temperature and specific humidity of the entire deep Tropics. The mean profiles of subsiding regions have an anomalous warming layer in the 600 – 800 hPa layer and an anomalous moisture deficit throughout the entire column. This warming of the environment in subsiding regions opposes the generation of CAPE through equation 4.

Figure 6b shows that fractional area of air columns in the deep tropics that are predominantly subsiding (ascending) changes drastically with resolution, from 0.32 (0.68) in the *ne20* ( $\Delta x = 166.8$  km) run, and monotonically increasing (decreasing) with resolution to 0.51 (0.49) in the *ne120* ( $\Delta x = 27.8$  km) run. Interestingly, the sum of the product of the fractional areas with their corresponding CAPE values gives approximately the same CAPE values computed from the mean temperature and moisture profiles over the entire deep tropics (Figure 6a). This provides strong evidence that CAPE values in the deep tropics are decreasing with resolution because a larger (smaller) space-time fraction of the deep tropics are made up of predominantly subsiding (ascending) grid columns with increasing resolution.

Poleward of the deep tropics and within the subtropics, the logistic regression indicates that subsidence is a poor predictor of *FREQZM* (Figure 5a,b). The R-value decreases to a local minimum between  $15^\circ - 20^\circ$  latitude, and the magnitude of the sensitivity parameter steeply declines. The local minimum in the R-value corresponds with a local maximum in the latent heat fluxes (Figure 5c), indicating that the boundary layer is being driven unstable by large surface latent heat fluxes. The CAPE values in the  $10^\circ - 15^\circ$  latitude region are likely to be small, since the ZM precipitation rate consists primarily of drizzle (Figure 5d), also discussed in Terai *et al.* (2018). The predominance of drizzle in this region is probably a result of the large subsiding motion in the subtropics (not shown) constraining CAPE from becoming too large. AGCMs are known to suffer from an excess drizzle bias in precisely this region (Dai 2006), and this analysis indicates that this bias is due to the use of a CAPE trigger function.

## Acknowledgement

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[www.sunrise-setting.co.uk](http://www.sunrise-setting.co.uk)

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