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2 Role of changes in mean temperatures vs. temperature gradients
3 in the recent widening of the Hadley circulation

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19

20 **Abstract**

21 The Hadley circulation (HC) has widened substantially in recent decades, and
22 it widens as the climate warms in simulations. But the mechanisms responsible for the
23 widening remain unclear, and the widening in simulations is generally smaller than
24 observed.

25 To identify mechanisms responsible for the HC widening and for model-
26 observation discrepancies, this study analyzes how interannual variations of tropical
27 mean temperatures and meridional temperature gradients influence the HC width.
28 Changes in mean temperatures are part of any global warming signal, whereas changes
29 in temperature gradients are primarily associated with ENSO. Six reanalysis datasets,
30 22 Atmospheric Modeling Intercomparison Project (AMIP) simulations, and 11
31 historical Climate Modeling Intercomparison Project Phase 5 (CMIP5) simulations are
32 analyzed, covering the years 1979-2012. The HC widens as mean temperatures
33 increase or as temperature gradients weaken in most reanalyses and climate models.
34 On average, climate models exhibit a smaller sensitivity of HC width to changes in
35 mean temperatures and temperature gradients than reanalyses. However, the
36 sensitivities differ substantially among reanalyses, rendering the HC response to mean
37 temperatures in climate models not statistically different from that in reanalyses.

38 While global-mean temperatures did not increase substantially between 1997
39 and 2012, the HC continued to widen in most reanalyses. The analysis here suggests
40 that the HC widening from 1979 to 1997 is primarily the result of global warming,
41 whereas the widening of the HC from 1997 to 2012 is associated with increased
42 midlatitude temperatures and hence reduced temperature gradients during this period.

43 **1. Introduction**

44 The Hadley circulation (HC) has widened in recent decades, leading to an
45 expansion of the subtropical dry zones (Hu and Fu 2007; Johanson and Fu 2009;
46 Seidel and Randel 2007; Lucas et al. 2014; Cubasch et al. 2013; Nguyen et al. 2013).
47 Climate models of Phase 3 (Johanson and Fu 2009) and Phase 5 (Ceppi and Hartmann
48 2012) of the Climate Model Intercomparison Project (CMIP3 and CMIP5)
49 underestimate the widening, which has led to speculations about the reliability of
50 models and reanalyses (Johanson and Fu 2009; Quan et al. 2013) and of HC extent
51 diagnostics (Davis and Rosenlof 2012).

52 The relative roles of global warming and of other climate variations in the
53 recent widening of the HC are unclear. In idealized and comprehensive climate
54 simulations, the total HC width (HCW, defined as the latitudinal distance between the
55 northern and southern termini of the HC) increases on average by ~ 1.2 degree latitude
56 per Kelvin global surface temperature increase ($^{\circ}\text{K}$) (Lu et al. 2007). Yet, observations
57 indicate that the HCW has increased at a substantially larger rate of up to ~ 7 $^{\circ}\text{K}$
58 (depending on the reanalysis used and the definition of HCW) between 1979 and 2005
59 (Johanson and Fu 2009). Additionally, global warming—indicated by the positive
60 trend in global mean surface temperature—appears to have ‘paused’ between 1997-
61 2012 (Cubasch et al. 2013), yet here we show that the widening of the HC has
62 continued during that time.

63 The goal of the present paper is to identify factors that play a role in the
64 observed and simulated widening of the HC and to assess their relative importance in
65 observations and models, so that possible causes of model biases can be pinpointed.

66 Starting from the observation that El Niño and the Southern Oscillation (ENSO) are
67 associated with substantial changes in HCW—the HC narrows during El Niño and
68 widens during La Niña (Seager et al. 2003; Nguyen et al. 2013)—we define simple
69 indices that decompose sea surface temperature (SST) variations orthogonally into
70 factors that are primarily associated with global warming (mean SST changes) and
71 ENSO (SST gradient changes).

72 We compare interannual variability and trends of the Hadley circulation width
73 in 6 reanalysis datasets with 22 Atmospheric Model Intercomparison Project (AMIP)
74 simulations, in which atmospheric GCMs are driven by prescribed historical SST, and
75 with 11 CMIP5 historical simulations, in which coupled ocean-atmosphere GCMs are
76 driven by prescribed historical atmospheric compositions (e.g., greenhouse gases and
77 volcanic aerosols). This allows us to separate HCW trends owing to different factors:
78 effects of recent changes in atmospheric composition, which should be captured in
79 both AMIP and CMIP5 simulations, can be separated from the effects of recent
80 changes in ocean conditions not related to external forcings (e.g., ENSO), which
81 would be captured in AMIP but not necessarily in CMIP5 simulations.

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83 **2. Data**

84 Annual mean data derived from monthly means for the years 1979-2012 were
85 analyzed from the 6 reanalysis datasets listed in Table 1 (with the exception of the 20th
86 Century Reanalysis, for which only data through 2011 were available). Sea surface
87 temperature and the Oceanic Niño Index (ONI, the deviation of the 3-month running
88 mean SST from a moving 30-year climatology in the Niño 3.4 region) were obtained

89 from the Extended Reconstructed SST (ERSST v3b) provided by the National Oceanic
90 and Atmospheric Administration's National Climatic Data Center (Smith et al. 2008).
91 Global surface temperature anomalies were obtained from the National Aeronautics
92 and Space Administration's Goddard Institute for Space Studies GISTEMP (Hansen
93 and Lebedeff, 1987), in which ERSST v3b is used for SST anomalies.

94 CMIP5 and AMIP monthly simulation data were downloaded from the Earth
95 System Grid Federation (ESGF). A total of 22 AMIP and 11 CMIP5 simulations are
96 used, covering the periods 1979-2008 and 1979-2005, respectively. Only the first
97 ensemble run is analyzed for each model simulation. Model names, affiliations, and
98 spatial resolutions are listed in Table 1. Additional information is available at the
99 CMIP website <http://cmip-pcmdi.llnl.gov>.

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101 **3. Results**

102 The dominant interannual SST variations are associated with global warming and
103 ENSO. Figure 1a shows the first (solid red) and second (solid blue) EOF of zonally
104 averaged interannual SST variations around their long-term mean for the years 1979-
105 2012. (For the principal component analysis, annual- and zonal-mean SSTs are
106 computed from monthly SST variations around their long-term monthly mean, and
107 variances and covariances are area-weighted.) The associated principal components
108 account for 42% and 25% of the variance of the annual- and zonal-mean SSTs (Fig.
109 1b), respectively. It is evident from the structure of the EOFs and the principal
110 component time series that the first EOF represents a global-warming signal and the
111 second is associated with ENSO. Indeed, the SST difference between typical El Niño

112 and La Niña conditions resembles the second EOF (Fig. 1a), and the associated
113 principal component time series correlates strongly with ONI (Fig. 1b). The principal
114 way in which ENSO variations manifest themselves in SST are changes in the
115 meridional SST contrast between the tropics and midlatitudes.

116 The dominant interannual SST variations motivate a decomposition of SST
117 variations into two simple orthogonal components, one associated with large-scale
118 temperature changes and one associated with changes in meridional temperature
119 contrasts between the tropics and midlatitudes. We define the indices $Mean(SST)$ and
120 $Grad(SST)$ as the area-weighted mean SST anomaly between $\pm 45^\circ$ (total shaded area
121 in Fig. 1a) and the difference between the mean SST anomaly between $20-45^\circ$ in both
122 hemispheres (dark shaded area) and the mean SST anomaly between $\pm 20^\circ$ (light
123 shaded area). This choice of latitude belts is motivated by the structure of the second
124 (ENSO) EOF, showing contrasting SST variations between $\pm 20^\circ$ and midlatitudes. The
125 $0-20^\circ$ and $20-45^\circ$ latitude belts are approximately of equal area, making $Mean(SST)$
126 and $Grad(SST)$ orthogonal. Note that our choice of signs implies that $Grad(SST)$
127 increases (becomes less negative) when midlatitudes warm differentially relative to the
128 tropics, so that it is negative during El Niño and positive during La Niña. The
129 advantage of this sign convention is that HCW then is expected to increase as either
130 $Mean(SST)$ or $Grad(SST)$ increase, implying positive sensitivities of HCW with
131 respect to either index.

132 Figure 2 shows the time series of annually averaged $Mean(SST)$ (top, solid
133 green) and $Grad(SST)$ (bottom, solid blue) for the years 1979-2012. The trends of
134 these indices during the periods 1979-1997 and 1997-2012 are shown by solid gray

135 lines with gray shadings marking Studentized 95% confidence bounds. The global-
136 mean surface temperature anomaly (dashed magenta; GISTEMP) for the same period
137 and latitude belt as $Mean(SST)$ is shown for reference in the top panel. It is clear that
138 $Mean(SST)$ correlates strongly with global-mean SST variations, but the inclusion of
139 land areas in the global-mean SST variations increases their variance. The ONI
140 (dashed orange, multiplied by -1) is shown for reference in the bottom panel. As
141 expected, $Grad(SST)$ correlates strongly with ONI, with a (Pearson) correlation
142 coefficient of -0.8.

143 To establish how the SST variations relate to HC variations, we define the
144 terminus of the HC as the first latitude where the meridional mass stream function,
145 averaged between the 850 and 300 hPa levels, changes sign poleward of the tropical
146 extrema. The vertical averaging of the stream function reduces sensitivity to vertical
147 structure (Kang et al. 2013; Davis and Birner 2013). The resulting HCW (latitudinal
148 distance between the northern and southern termini of the HC) has relatively small
149 inter-model variability (e.g., Johanson and Fu 2009; Quan et al. 2013; Nguyen et al.
150 2013) and is generally consistent with other, similar extent indices (Davis and
151 Rosenlof 2012).

152 The top panel of Figure 3 shows the time series of the annual-mean HCW from
153 the 6 reanalyses for the years 1979-2011. The northern and southern HC termini are
154 shown separately in the bottom panel. The HC widening is predominantly due to the
155 poleward migration of the HC terminus in the northern hemisphere (Hu and Fu 2007),
156 where the latitude of the terminus is also more variable than in the southern

157 hemisphere. The standard deviation of the spread of HCW's across the reanalyses is
158 0.2°, increasing with time at a statistically significant ($p < 0.05$) rate of 30% per decade.

159 Figure 4 shows trends in HC extent in the southern hemisphere (left column)
160 and northern hemisphere (right column) over the years 1979-2005 for the 6 reanalyses
161 (orange triangles), for the 22 AMIP simulations (blue crosses), and for the 11 CMIP5
162 simulations (green dots) listed in Table 1. Error bars mark Studentized 95% confidence
163 bounds. Ensemble means over reanalyses and simulations are shown without error
164 bars. The spread in trends across reanalyses is much higher than that across models
165 both in AMIP and CMIP5 simulations (Quan et al. 2012).

166 We calculate the sensitivity of HCW to variations in $Mean(SST)$ and
167 $Grad(SST)$ for each simulation by linearly regressing HCW against the SST indices.
168 The regression analysis is restricted to annual means, so that any sub-annual lag
169 between SST variations and the HC does not affect the results (Kang and Lu 2012;
170 Davis and Birner 2013). The regression model is

$$171 \quad HCW = a_0 + a_1 \cdot Mean(SST) + a_2 \cdot Grad(SST) + \varepsilon$$

172 where the coefficients a_1 and a_2 represent the sensitivity of the HCW to variations in
173 $Mean(SST)$ and $Grad(SST)$, a_0 is an intercept, and ε a residual.

174 Figure 5 shows the sensitivities for each reanalysis and simulation (with error
175 bars marking Studentized 95% confidence bounds), calculated using the longest
176 available period in each dataset (1979-2012 for reanalyses, orange triangles; 1979-
177 2008 for AMIP simulations, blue crosses; and 1979-2005 for CMIP5 simulations,
178 green dots). These sensitivities do not change substantially if the period of overlap
179 among the datasets, 1979-2005, is used for AMIP simulations and reanalyses.

180 The sensitivities to $Mean(SST)$ vary considerably across reanalyses. The NCEP
181 I, NCEP II and 20C reanalyses show statistically significant ($p<0.05$) positive
182 sensitivities, indicating that the HC widens as $Mean(SST)$ increases. By contrast, ERA-
183 Interim, CFSR, and MERRA show no statistically significant sensitivity to $Mean(SST)$.
184 Most climate simulations exhibit a sensitivity to $Mean(SST)$ similar to that found for
185 the ERA-Interim, CFSR, and MERRA reanalyses, with only 4 of the 33 AMIP and
186 CMIP simulations showing a statistically significant positive sensitivity to $Mean(SST)$.

187 All reanalyses exhibit a statistically significant positive sensitivity to
188 $Grad(SST)$. Similarly, 26 of the 33 climate simulations show a statistically significant
189 positive sensitivity to $Grad(SST)$. On average, the sensitivities of the ERA-Interim,
190 CFSR, and MERRA reanalyses ($\sim 4.5^\circ/\text{decade}$) are smaller than those found for the
191 NCEP I, NCEP II, and 20C reanalyses ($\sim 8.5^\circ/\text{decade}$), and are closer to those found in
192 the AMIP and CMIP5 simulations ($\sim 3^\circ/\text{decade}$).

193 Figure 6 shows the relative contributions of $Mean(SST)$ (green) and $Grad(SST)$
194 (blue) to the observed HCW changes (orange) during the entire period over which
195 reliable data are available (1979-2012, Fig. 6a) and restricted to subperiods: 1979-1997
196 (Fig. 6b), and 1997-2012 (Fig. 6c). The relative contributions are calculated by
197 multiplying the changes in $Grad(SST)$ and $Mean(SST)$ during the given periods by a_1
198 and a_2 , respectively. On average, the regression model captures 98% of the total HCW
199 change for the period 1979-2012 but much less for the shorter subperiods. Both
200 $Mean(SST)$ and $Grad(SST)$ changes contribute to the HCW change from 1979 to 2012,
201 in different proportion for different reanalyses and simulations. For the subperiods, the
202 regression analysis shows that the observed HC widening from 1979 to 1997 was

203 dominated by an increase in *Mean(SST)*. By contrast, the more recent HC widening
204 from 1997 to 2012, during the global warming hiatus, is dominated by an increase in
205 *Grad(SST)* (i.e., more prevalent La Niña conditions). Because the sensitivity of HCW
206 to *Mean(SST)* is low in AMIP simulations, nearly all of the HCW changes in AMIP
207 simulations is attributable to *Grad(SST)*. In contrast, variations in *Grad(SST)* tend to
208 cancel out when averaged in CMIP5 simulations (because the SST is not
209 observationally constrained so that ENSO events are not in phase with observations or
210 among simulations). Therefore most HCW changes in CMIP5 simulations are
211 attributable to *Mean(SST)*.

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213 **4. Discussion and Conclusions**

214 As already noted in previous studies, we found that the Hadley circulation
215 generally widens as surface temperatures increase on large scales, as they do under
216 global warming, and as temperature contrasts between the tropics and midlatitudes
217 decrease, as they do under La Niña (e.g., Lu et al. 2007, 2008; Frierson et al. 2007;
218 Levine and Schneider 2011; Nguyen et al. 2013). One way of interpreting these results
219 at least qualitatively is that the HC terminates at the lowest latitude at which baroclinic
220 eddies become sufficiently deep to reach the upper troposphere, leading to wave
221 activity divergence poleward of that latitude, and thus to upper-tropospheric
222 equatorward flow balancing the resulting angular momentum flux convergence there
223 (Korty and Schneider 2008). Relating the transition latitude to scaling theories for the
224 depth of baroclinic eddies (Held 1978; Schneider and Walker 2006) leads to the
225 expectation that the HC extends to where isentropic slopes first exceeds a critical value

226 (Korty and Schneider 2008; see also Held 2000; Walker and Schneider 2006; Lu et al.
227 2007). Because the isentropic slope is a ratio of a meridional temperature gradient and
228 a static stability, the HC is expected to widen as subtropical meridional temperature
229 gradients weaken (like under La Niña) and/or as the static stability increases (like
230 under global warming, because the dry static stability of a moist adiabat increases as
231 the temperature increases). Making these qualitative mechanistic statements
232 quantitative and testing them requires further study.

233 What we can conclude empirically and quantitatively is that variations in large-
234 scale mean SST ($Mean(SST)$) and in midlatitude-to-tropics SST gradients ($Grad(SST)$)
235 account for about two-thirds of the interannual HCW variations over the years 1979-
236 2012 in 6 reanalyses. They account for a similar portion of interannual HCW
237 variations in 22 AMIP and 11 CMIP5 simulations spanning the years 1979-2008 and
238 1979-2005, respectively. However, HCW sensitivities to variations in these indices
239 differ substantially among reanalyses and climate models.

240 Regressing HCW variations on $Mean(SST)$ and $Grad(SST)$ suggests that the
241 HC widening over the years 1979-1997 is primarily associated with global warming.
242 By contrast, the continued HC widening from 1997 to 2012 is mostly associated with
243 $Grad(SST)$ changes consistent with reduced tropics-to-midlatitude temperature
244 contrasts, such as occur under La Niña. More detailed analysis (Fig. 7) reveals that the
245 primary contributor to these $Grad(SST)$ changes are elevated midlatitude SST
246 (especially in the Pacific), while tropical SST remain relatively constant. This is
247 consistent with recent theoretical and observational studies that suggest the global
248 warming hiatus is related to increased tropical deep ocean heat uptake, brought about

249 by more prevalent La Niña conditions, while temperatures in the North Pacific are
250 elevated (Meehl et al. 2011; Balmaseda et al. 2013; Kosaka and Xie 2013). However,
251 while these results are not sensitive to the choice of 1997 as the year for subdividing
252 the record, they vary considerably among reanalyses.

253 The large spread of HCW variations across reanalyses precludes a clear
254 determination of the level of agreement between observed and simulated HCW trends
255 (Quan et al. 2013; Davis and Rosenlof 2012). The ERA-Interim, CFSR, and MERRA
256 reanalyses display similar HCW trends and sensitivity to variations in *Mean(SST)* and
257 *Grad(SST)* as the climate models. The NCEP I, NCEP II, and 20C reanalyses, on the
258 other hand, display significantly larger trends and sensitivity to variations in these
259 indices.

260 Ozone depletion may also play an important role in the HC widening, in
261 particular at the southern hemisphere (Polvani and Kushner 2002; Polvani et al. 2011).
262 However, as shown here, its contribution to recent widening was likely minor, as the
263 majority of the widening can be accounted for by SST variations, which are at most
264 very weakly affected by ozone depletion.

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270 here were performed using GOAT (Geophysical Observation Analysis Tool), a freely
271 available MATLAB based tool for retrieval, analysis and visualization of geophysical
272 data (<http://www.goat-geo.org>).

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385 **Captions**

386

387 **Table 1.** Reanalysis datasets and AMIP and CMIP5 climate simulations used in this
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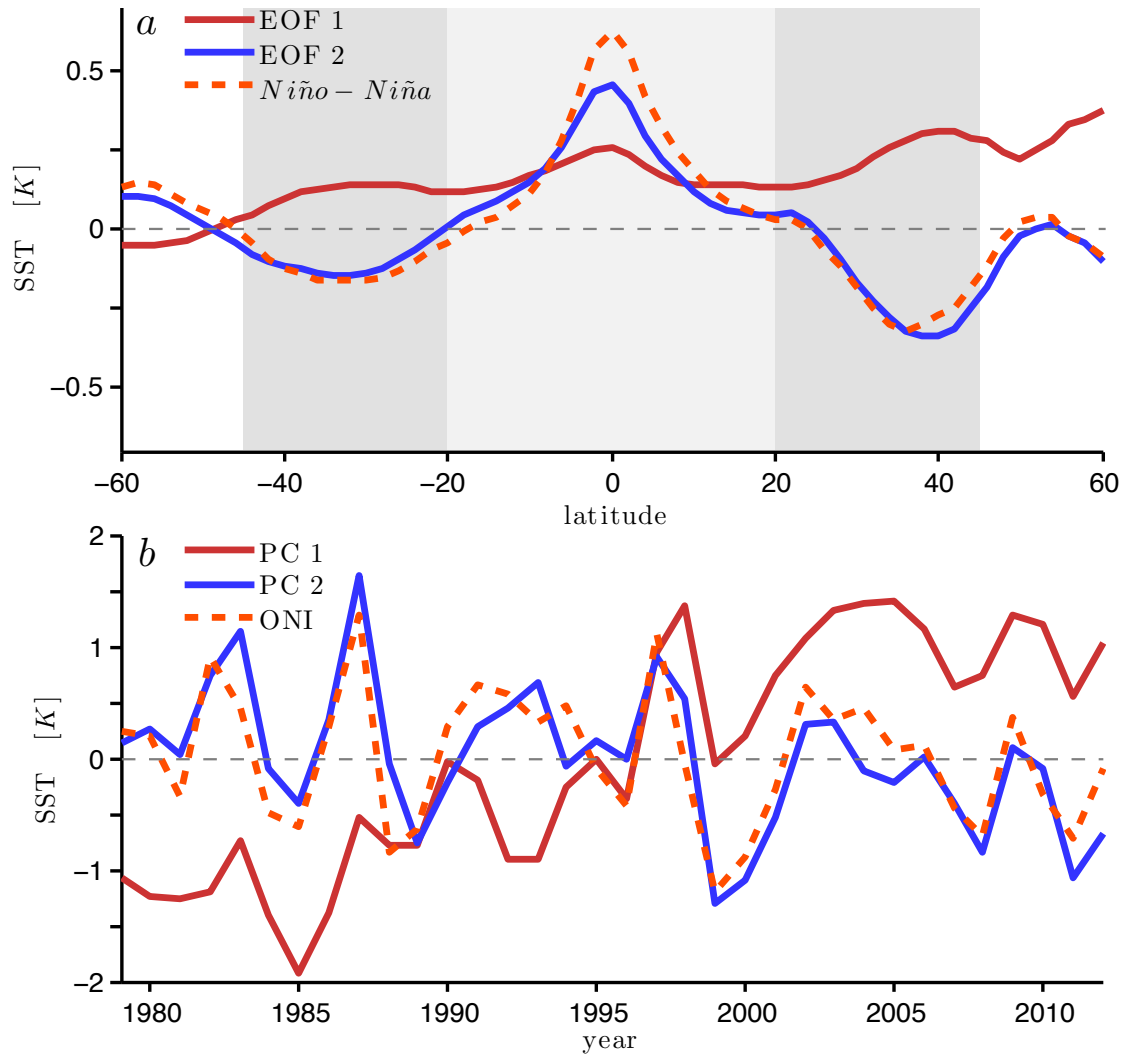
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454 **Figures**
455

<i>Reanalysis</i>	<i>Source and Description</i>	<i>Resolution</i>
NCEP-I	National Center for Environmental Prediction–National Center for Atmospheric Research (NCEP–NCAR) Global Reanalysis I (Kalnay et al. 1996)	T62×28
NCEP-II	NCEP/Department of Energy Global Reanalysis II (Kanamitsu et al. 2002)	T62×28
ERA-Interim	European Center for Medium-Range Weather Forecasts (ECMWF) Interim Reanalysis (Dee et al. 2011)	T225×60
MERRA	NASA Modern Era Retrospective-Analysis for Research and Applications (Rienecker et al. 2011)	720×270×72
20 th Cent. Rean.	National Oceanic and Atmospheric Administration (NOAA)-Cooperative Institute for Research in Environmental Sciences Twentieth-Century Reanalysis VII (Compo et al. 2011)	T62×28
CFSR	NCEP Climate Forecast System Reanalysis (Saha et al. 2010)	T382×64
<i>Climate Model</i>		
BCC-CSM1.1(A/H)	Beijing Climate Center Climate System Model, ver. 1.1	T42×26
BNU-ESM(A)	College of Global Change and Earth System Science, Beijing Normal University	T42×26
CanAM4(A)	Fourth generation Canadian Atmospheric Climate Model	T63×35
CanCM4(H)	Fourth generation Canadian Coupled Global Climate Model	T63×35
CanESM2(H)	Second generation Canadian Earth System Model	T63×35
CCSM4(A/H)	Community Climate System Model, version 4.0	288×192×26
CMCC-CM(A)	Euro-Mediterranean Center for Climate Change	T159×31
CSIRO-Mk3.6(A)	Commonwealth Scientific and Industrial Research Organization Mark, ver. 3.6.0	T63×18
EC-EARTH(A)	EC-Earth consortium Earth System Model	T159×62
FGOALS-G2.0(A)	Flexible Global Ocean–Atmosphere–Land System Model, gridpoint, ver. 2	T42×26
GFDL-CM2p1(H)	Geophysical Fluid Dynamics Laboratory (GFDL) Climate Model 2.1	144×90×24
GFDL-CM3(A/H)	GFDL Climate Model, ver. 3	144×90×48
GFDL-ESM2G(H)	GFDL Earth System Model with GOLD 3 ocean component	144×90×24
GFDL-ESM2M(H)	GFDL Earth System Model with MOM4 ocean component	144×90×24
GFDL-HIRAM-180(A)	GFDL High Resolution Atmospheric Model	576×360×17
GFDL-HIRAM-360(A)	GFDL High Resolution Atmospheric Model	1152×720×17
GISS-E2-H-CC(H)	Goddard Institute for Space Studies (GISS) Model E, coupled with HYCOM ocean model	180×73×40
GISS-E2-R(A/H)	GISS Model E, coupled with Russell ocean model	144×90×40
GISS-E2-R-CC(H)	GISS Model E, coupled with Russell ocean model	180×73×40
HadGEM2(A)	Hadley Centre Global Environmental Model, ver. 2	192×145×40
INMCM4(A)	Institute of Numerical Mathematics Coupled Model, ver. 4	180×120×21
IPSL-CM5A-LR(A)	L’Institut Pierre-Simon Laplace Coupled Model, ver. 5A	96×96×39
IPSL-CM5A-MR(A)	L’Institut Pierre-Simon Laplace Coupled Model, ver. 5A	144×143×39
IPSL-CM5B-LR(A)	L’Institut Pierre-Simon Laplace Coupled Model, ver. 5B	96×96×39
MPI-ESM-LR(A)	Max Planck Institute Earth System Model	T63×47
MPI-ESM-MR(A)	Max Planck Institute Earth System Model	T63×95
MRI-AGCM3.2H(A)	Meteorological Research Institute of Japan, Atmospheric GCM	T319×64
MRI-CGCM3(A)	Meteorological Research Institute of Japan, Coupled GCM	T159×48
NorESM1-M(A)	Norwegian Earth System Model, ver. 1	144×96×26

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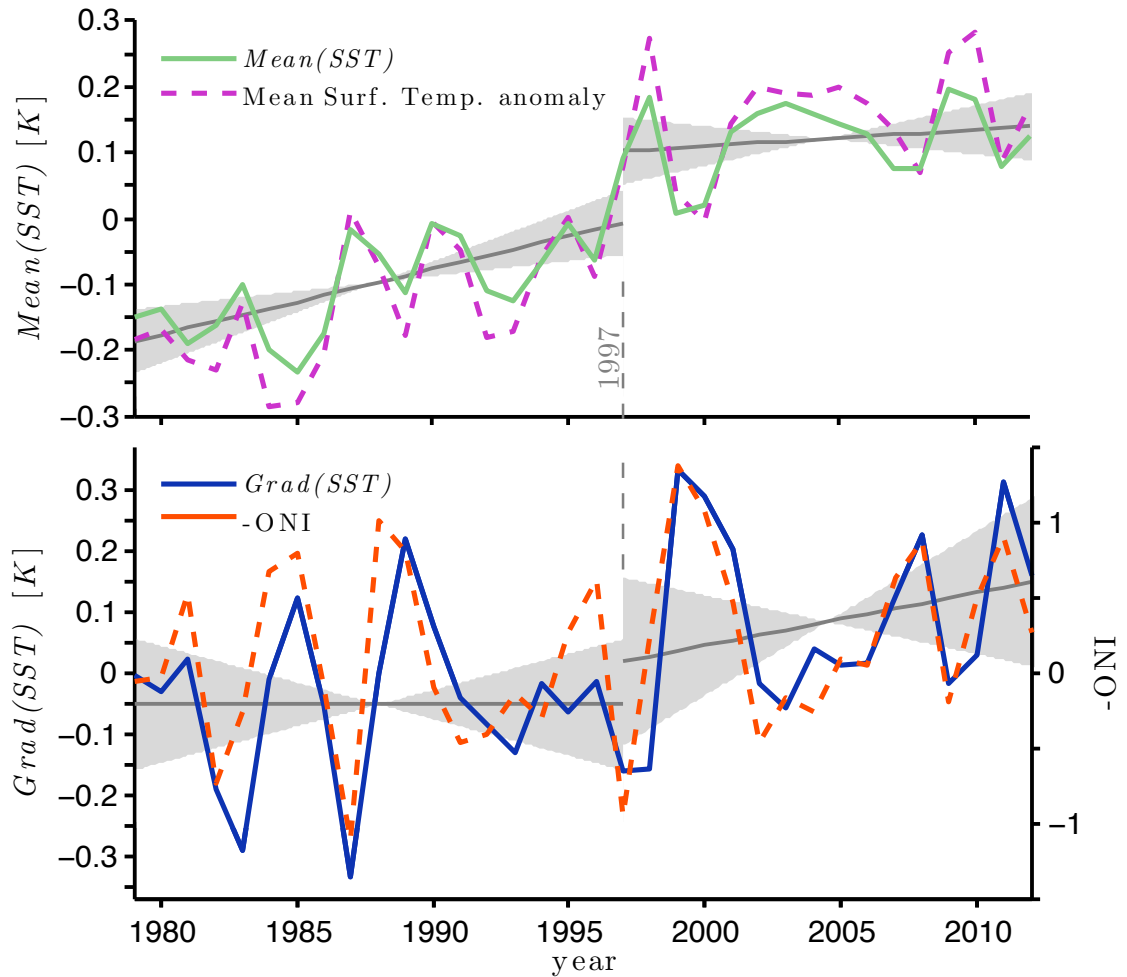


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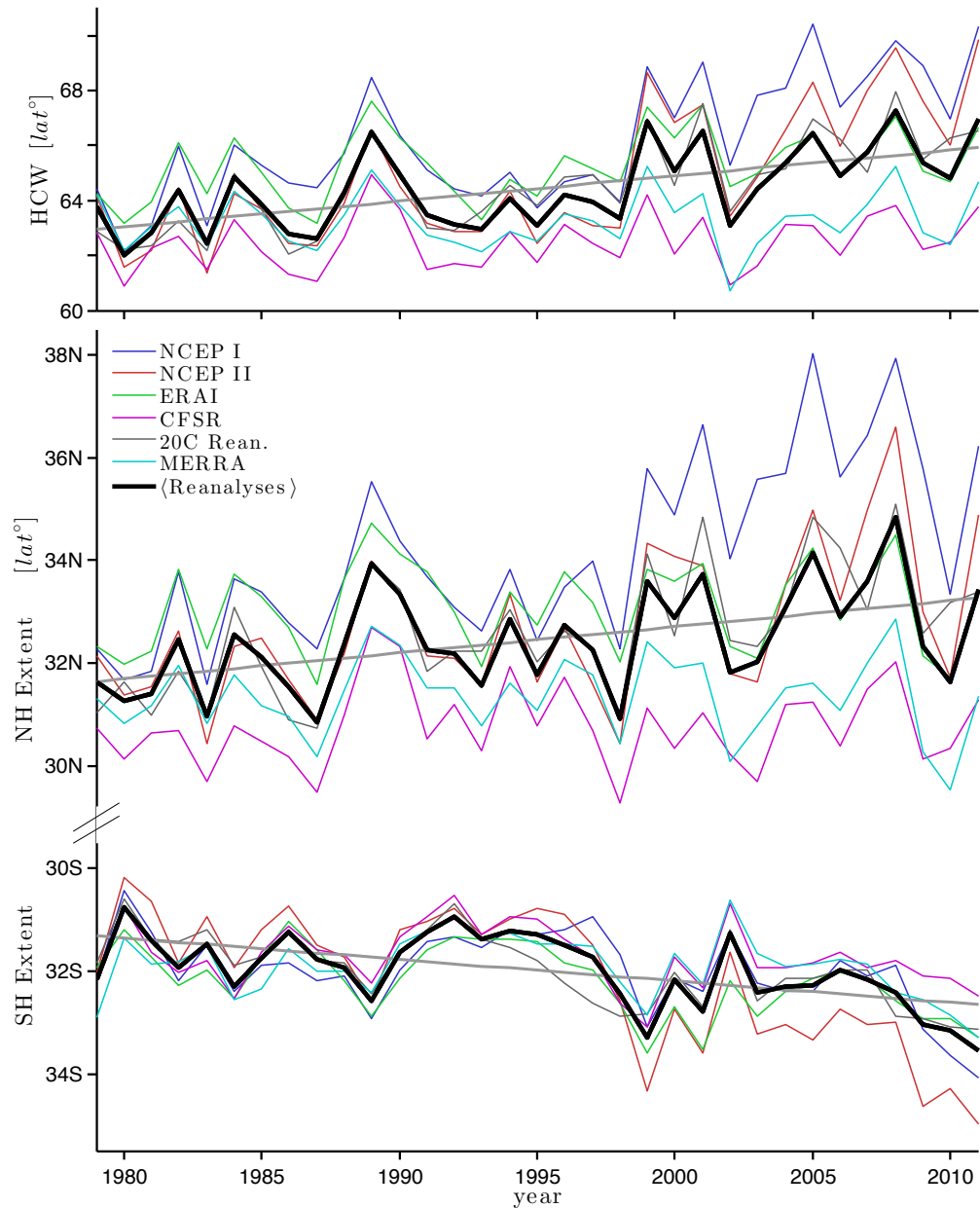
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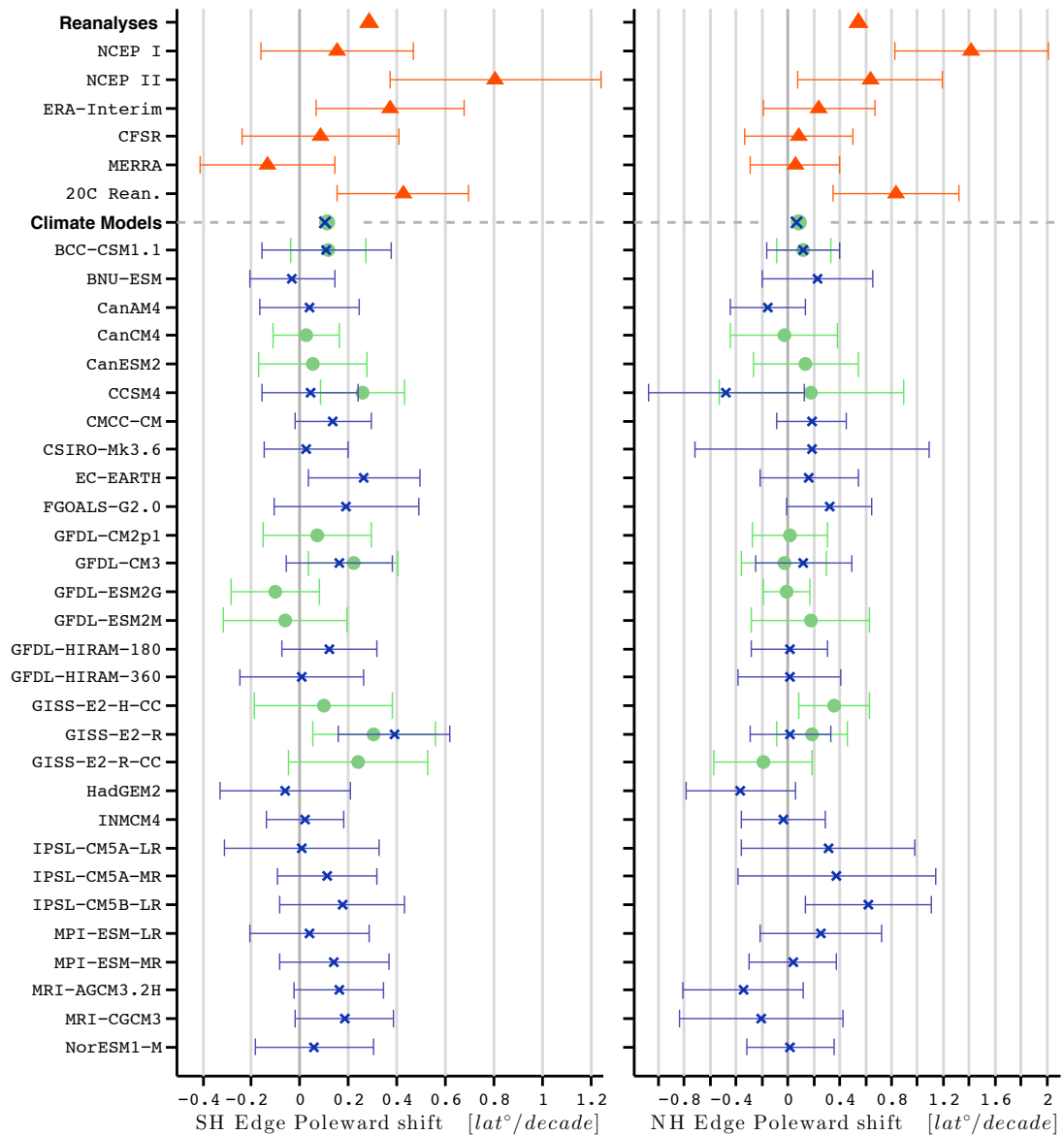
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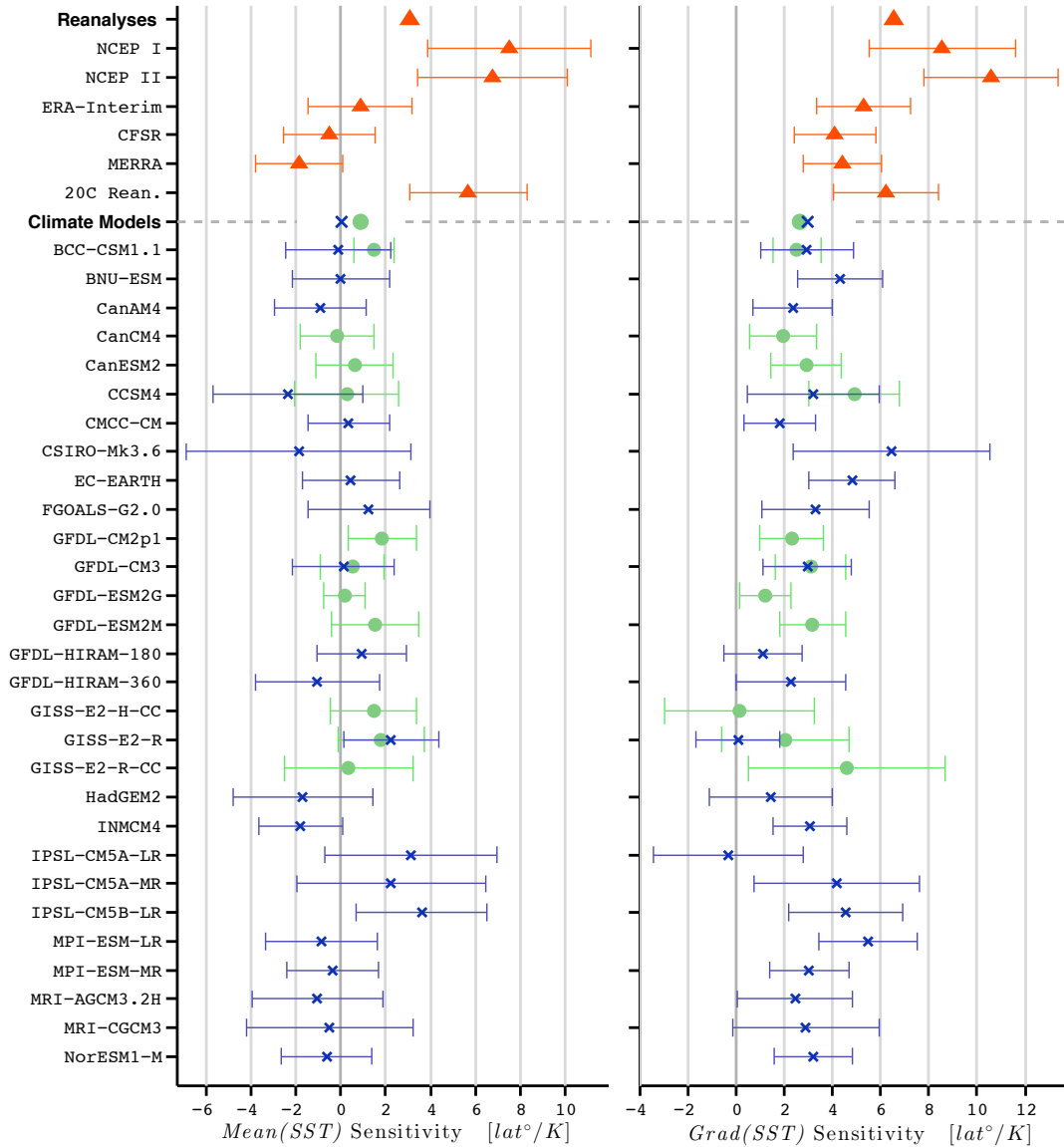
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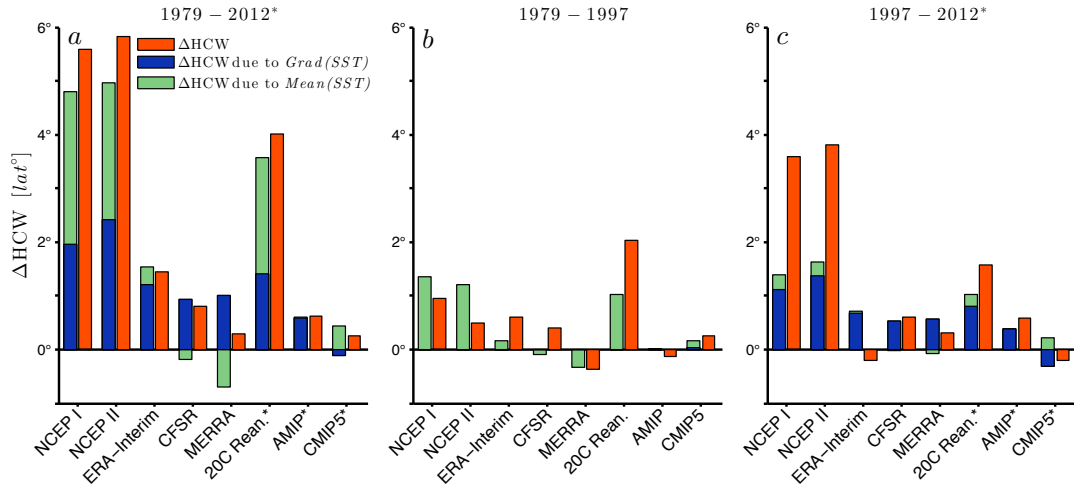
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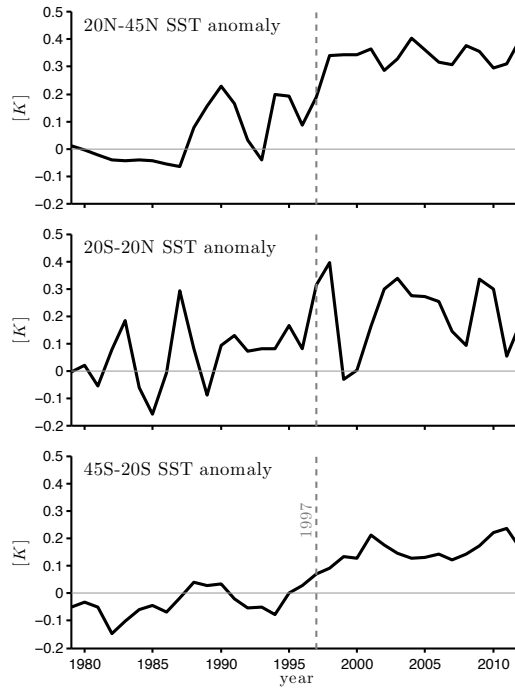
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