

## Reply to the review from Referee 1

We are thankful to this referee for the review and the associated suggestions, listed in italics below. We provide our detailed responses (regular font) and plans; our revised manuscript will be available in a fairly short time.

It would seem from the referee comments that there are no demonstrable big issues with the science (or math), besides some requested clarifications, and we are pleased that Referee 1 found our manuscript to contain “some interesting results” [and Referee 2 found “a lot of valuable and detailed information”]. We hope, furthermore, that the plans we describe herein for clearer messages and revisions will be of a satisfactory enough nature, or we will need to ask for more specific comments.

*(1) This paper evaluates two versions of the WACCM model using satellite observations, mainly from Aura MLS, but also using multi-instrument compilations. The paper contains some interesting results, but it is also very long (70 pages in the submitted format and 32 figures, plus supplement) and focused on one specific model.*

**Reply:** We are planning to cut down on the length of this manuscript, mainly by relegating some of the less critical Figures to the Supplement. Although this does not necessarily translate into a very large cut in terms of text length, we consider this work to be a fairly comprehensive analysis, which therefore leads to a longer paper; there have definitely been some longer (atmospheric) papers in the literature, and specifically in ACP. Turning this into two separate papers mainly for the sake of overall length seems too artificial, and this would be quite an elaborate proposition, with the need for some duplication regarding both the data sets and the models; as an aside, this would actually lead to more reviewing work for the community. We hope to have shown that detailed analyses are necessary to enable identification of both good agreement (a result in itself) or significant differences between model runs and the data sets, but also for some of the more subtle differences, and furthermore, that an understanding and discussion of error bars and potential data issues is important. We will also strive to reduce the amount of text in the revised manuscript, especially where some less critical aspects can be discussed more succinctly, or taken out altogether. In particular, we plan to shorten Section 5.1.1 (pages 11-13) to a text length that roughly matches (rather than exceeds) the text length of Section 5.1.2 (on variability issues); the cuts to Sect. 5.1.1 will be of order 30% (or more).

In terms of reducing the amount of Figures and related changes, our specific plans are to remove Figs. 13, 14, 15, and 17 from the main text (and relegate these to the Supplement, with a slightly shortened discussion), since these mainly reinforce the expectation (already noted for  $O_3$  and  $H_2O$ ) of better model/data fits from SD-WACCM, as one might expect from a model with better dynamical constraints than the FR-WACCM version. Such an expectation does not hold for the variability diagnostics, so these are really best left in the main text, although we will plan to displace Figure 22 (on the  $N_2O$  and  $HNO_3$  variability comparisons), and move it to the Supplement. Moreover, we feel that Figure 31 on lat/p contours of short-term trend for various species can be moved to the Supplement, as it is less critical, and given past (and ongoing) work on this topic. While Figure 32 is interesting to us, it is more of a side note on lower stratospheric tropical cohesiveness for various species exhibiting similar dynamical variability, so we decided that the text and Figure in this case can be eliminated altogether without much of an impact on this paper.

In summary, the total number of Figures in the main text will be trimmed down by almost a quarter, with a more manageable total of 25 Figures; writing up a multi-year effort of (part-time) work on detailed model/data comparisons is bound to lead to a longer manuscript than several shorter analyses; to our knowledge, fits, correlations, variability, and trend comparisons are rarely investigated to this extent in model/data comparisons, even for a single model (or two flavors of one model). This, with some reductions (and clarifications) in the text (including the Abstract and Conclusions section), will at least show our good faith effort towards the referee comments. Recommending a goal of exactly 20 Figs. (as done by Referee 2) is rather arbitrary, but our point here is that we have considered these requests with some care, and that we are being responsive.

*(2) The paper contains an evaluation of the model (SD and FR) for 5 species compared to satellite observations. The paper points out general agreement and areas of disagreement, but the reasons for any disagreement are not really looked into (except for  $HNO_3$  and the lack of ion chemistry).*

**Reply:** There are several aspects to these model/data comparisons. Looking carefully into reasons for disagreement can be the subject of separate papers altogether, possibly involving new model runs (which would take quite a bit of time), and this would also increase the length of this (already long) manuscript. We will point to where some likely causes can be mentioned, although in all fairness, we believe that this has already been done in several places (see more in the numbered

list below), and beyond the HNO<sub>3</sub> issue mentioned by this referee. However, we are also adding more information and discussion in various places (see further below).

In particular, we provide further explanatory material in some of the following areas, ignoring from this list the HNO<sub>3</sub> issues (and lack of full model chemical pathways) already sufficiently described in the manuscript. Without the exact revised text for now, please see the following list of specifics, although some of the items in this list are there to provide some rebuttal to implications that we provide few explanations besides showing the comparisons themselves (or the advantages of one model version versus the other). We strongly believe that these comparisons (in themselves) are worth displaying in a publication, even if this only applies to the WACCM model, which is considered state-of-the art. Moreover, and almost as importantly, we have shown that areas of disagreement very often fall within the estimated error bars, so there are not that many really significant discrepancies; we hope to take some credit, in fact, for trying to be careful about including realistic error bars in many of these comparisons. However, an investigation into other models for similar areas of agreement or disagreement is beyond the scope of this work, which we consider a first step that can help other modeling groups focus on certain regions of potential disagreement. Later on, another paper could hopefully identify where, and maybe why, certain models do better than others in certain places or time periods; in fact, some of this may already be “in the works” or near completion (based on a list of planned studies for CCMI at [www.met.reading.ac.uk/%7Eqr903932/CCMIwebsite/Wordpress\\_PDFs/CCMI1\\_PlannedAnalysis\\_20170715.pdf](http://www.met.reading.ac.uk/%7Eqr903932/CCMIwebsite/Wordpress_PDFs/CCMI1_PlannedAnalysis_20170715.pdf)).

1. *Page 6, 1<sup>st</sup> paragraph:* We now make the point regarding the Fig. 2 (and Fig. 1) model/data lower stratospheric O<sub>3</sub> differences near 50°N-60°N (even if it may be obvious) that transport-related model issues (not chemistry issues) are the most likely reason for the models to significantly overestimate mean ozone and its seasonal cycle at mid- to high latitudes. In addition, we are adding related information in the text for H<sub>2</sub>O comparisons, given that we also see a significant (factor of two) WACCM model overestimate of the MLS H<sub>2</sub>O fields (mean value and seasonal amplitude) in the same region (detailed plots not shown); this discrepancy goes beyond a (previously documented) 30-40% dry bias of MLS H<sub>2</sub>O versus sonde data a few km below the tropopause. However, digging into model details (or even the meteorological fields),

in addition to possible other data sources (or data issues) for O<sub>3</sub> (and H<sub>2</sub>O) comparisons would need to be the subject of a new investigation, interesting as it might be.

2. *Page 8, lines 6-14, and Fig. 7:* Regarding the seasonal changes over Antarctica, our analyses include species other than HCl and provide more of a climatological description regarding this discrepancy in HCl behavior than what was shown in the paper by Groos et al, (ACP, 2018). The latter work attempted to ascribe such a discrepancy to various factors, without a fully satisfactory answer, and we do not currently have further thoughts on this topic, as more detailed investigations (not speculation) would be required to make further progress. On the same topic, we do provide a likely explanation for the better matches from SD-WACCM (vs FR-WACCM), namely the connection to more realistic temperatures.
3. *Page 11, lines 36-38 and Section 5.1.1:* The better SD-WACCM results (here and in this section more generally) regarding model/data fit diagnostics and model/data correlation coefficients are related to the better dynamical description for the “specified-dynamics” version of WACCM, as we point out in this section in more than one place (see also the 2<sup>nd</sup> part of the top paragraph on page 12, regarding H<sub>2</sub>O comparisons). This is the main result from the discussions on pages 11-13, and a result that is worth including in this paper (in our opinion), even if there are other (probably more illuminating) results.
4. *Section 5.1.2 on model/data variability comparisons:* The interannual variability in monthly means represents a useful diagnostic of model/data comparisons, and it also relates to trends and detectability of trends, as we point out in this section. The main variability disagreement between models and data involves water vapor, a species that is also more difficult to model, given its different phases and its more complex pathways for entry into the stratosphere, the influence of ENSO and cold point temperatures, as well as the QBO and circulation changes, along with changes in methane and (mainly in the mesosphere) the solar cycle impact. Some of these processes (or their variability at least) are possibly not sufficiently well represented in either SD-WACCM or FR-WACCM, but there are better fits to the data from SD-WACCM. Also, on the variability issue, we do make the point that the H<sub>2</sub>O interannual variability is underestimated by the models, and since the uncertainty in trend detection

depends on the variability, a larger than modeled atmospheric variability implies that it will take longer than expected to detect long-term trends in water vapor.

5. *Section 5.2 (trend comparisons)*: Here are the main points for each species:

- **O<sub>3</sub>**: MLS data alone have not been used yet to document trends (for the MLS years of operation that overlap the model runs), so this is a novel result, even if the time period is short enough that the ( $2\sigma$ ) trend error bars are often fairly large. If one averages the results over the upper stratosphere, there are robust indications of an increase, based on the MLS data alone, and this avoids some issues associated with merged data sets (e.g., changes in spatio-temporal coverage between different instruments). It is also interesting to see indications of increases in the tropical lower stratosphere (albeit with less robustness than in the upper stratosphere), in apparent agreement with the SD-WACCM results. Most notably, the lat./height patterns of trends, ignoring the absolute error bars, are remarkably similar for MLS data and SD-WACCM (see Fig. 25); we feel that this is a very informative plot. Furthermore, version 2.20 of GOZCARDS O<sub>3</sub> is evaluated for trends in this work, and we highlight some differences versus the original GOZCARDS data set.
- **H<sub>2</sub>O**: The main points for this species are now made more relevant, we hope, in the context of what one might expect from longer-term trends versus what happened during the shorter-term (2005-2014) versus MLS trends, which are significantly larger than what one would expect from the water vapor changes caused by increases in methane alone. We also note that FR-WACCM trend results are significantly smaller than SD-WACCM (and observations), but this does not imply a longer-term systematic underestimate from FR-WACCM, based also on our looks at longer-term time series (although these are not displayed specifically in this manuscript). The Abstract has now been changed to reflect these points as well.
- **HCl**: We are not planning much change regarding these results, and we think that the main points are clear enough: there is some underestimation of MLS HCl trends from the models, and some LS tropical positive trends in these observations which deserve further investigation. However, we will add a pointer to recent work (if it gets in press soon) that shows the impact on HCl trends of a better treatment of VSLS and their trends, as this seems to be a way to close at least part of the gap

(model versus data trends). The other issue could be related to an MLS overestimate of the HCl LS trends (as this is what happens in the upper stratosphere, a known issue for MLS HCl there).

- **N<sub>2</sub>O and HNO<sub>3</sub>:** There is good agreement for these two species overall, in terms of the model versus data trends. Some of these trend variations versus height (particularly for N<sub>2</sub>O) must be related to stratospheric age of air and circulation, but we also clearly see (in time series not shown here) that the QBO, in particular, has a large impact on the variability, as one moves away from the tropopause region; this is a well-known feature. This large percent variability (as one reaches the mid-stratosphere) swamps the underlying long-term trends in N<sub>2</sub>O. The WACCM time series capture the observed (MLS) variability remarkably well, and the trends for 2005-2014 reflect this sort of agreement (Fig. 30). There are some slightly larger differences in terms of the somewhat poorer phasing of variability (and fits to the data) for FR-WACCM, but the main features versus latitude and height are well reproduced. This also holds for HNO<sub>3</sub>. We will thus add a few words very similar to these in this part of Section 5.2, in terms of our understanding (and at least partial explanation) of these trends and their variations.

Our draft revised Abstract (see below) also hopefully clarifies the main points in a somewhat better way (without making it much longer), as a response to the Referee comments. The revised text will add related information for clarifications and context; it will also be trimmed elsewhere to try to address the issue of paper length inasmuch as possible (without losing too much content).

*(3) The comparison of the performance of the SD and FR models is a main focus of the paper. There are differences but overall conclusions on the accuracy of SD models, for example, seem to be missing.*

**Reply:** We do not fully understand this comment, but we will attempt a reply that covers the options. It is really beyond the scope of this work to try to dive into why SD models differ from one another, if that is the reviewer's point, although we think that this would be an interesting study for the future. We have examined only the SD-WACCM/MERRA model in detail in this study using multiple diagnostics. There will be future papers that compare processes and biases

between the participating CCMI SD models (as mentioned earlier). The point of our work is to perform a detailed model/observational analysis of two configurations (FR and SD) using the same modeling system (i.e., CESM framework). Here, the tracer advection routine (Lin, flux form finite volume) and WACCM chemistry module (for gas-phase, heterogeneous, and photolysis reactions) are identical between the two configurations. The differences between the two configurations are mainly due to how the circulation is derived. The FR configuration allows the ozone to be interactive with the heating rates and therefore circulation. The SD configuration uses a specified meteorology that drives the circulation. Therefore, when we compare the FR and SD model versions observation-based diagnostic, the "goodness" of the results between FR and SD removes uncertainty of both the advection and chemistry assumptions (since they are the same). However, there is still uncertainty in the derivation of the circulation in FR and the nudging approach used with the observed meteorology. The approach described in this paper is essentially a first step in understanding how well models represent biases and variability in comparison to observations. The next step could be, of course, to examine diagnostics across multiple model systems, but not here (see also our response to item (1)). We plan to change part of the Introduction (and maybe the model section also) in the revised version to better motivate the purpose of our analyses of FR-WACCM versus SD-WACCM, as mentioned above.

If, on the other hand, the reviewer is asking about the accuracy of the specific SD-WACCM model run used here, most of the comparisons here show that there are few large areas of disagreement, beyond the error bars in the MLS data, so this is a clear statement (we believe) regarding the model accuracy (absolute), in comparison to state-of-the art observations; we also identified a few areas of disagreement. We could add (in the revised version) percentage difference numbers regarding the "accuracy level" (model/data agreement level) for each species, if this is what the reviewer is asking. We have preferred to let the first few Figures (Figs. 1,3,4,5,6 regarding climatological levels of agreement) speak for themselves. One often obtains levels of model/data agreement within about  $\pm 5$  to 10%. However, quoting a more detailed range of "accuracies" versus species, pressure, and latitude, can add up to a fair amount of text. We have already highlighted regions where we believe that model issues might need more investigation, and some regions where data issues could also contribute to the differences (e.g., where more difficult retrievals and/or fewer data validation possibilities exist). The right panels in these climatological comparison Figures help to take into account the systematic errors in the MLS data. If the Referee

really wants us to add more numbers in the text (or in the already long Abstract), we can try to do this in the revised manuscript, but we would otherwise stick to the fact that one can extract numbers out of the Figures already present in the manuscript. If another model wishes to “measure up” to the same data sets, new Figures of this kind would need to be produced, for comparison purposes.

*(4) The paper also uses both the models and data to look at trends. Reading the abstract paragraph which summarises the trend work does not give me a clear view of the main scientific points that have come out of the trend work. Is there something new about the observed known recent upper stratospheric ozone increase (i.e. recovery)? Or are the main points related to whether SD or FR simulations are better for studying past trends of different types of species (and I realise there are potential issues with both approaches). The paper also discusses metrics which can be used to evaluate CCM runs using observations. There is a lot of information here but again the main messages and recommendations are not clear to me.*

**Reply:** There are both types of aspects in our results, and while we thought that this was already fairly clear, we can try to clarify where needed, if we are given more specifics from the referee, after our revised version is finalized. Indeed, some points are made in terms of trends themselves (e.g., O<sub>3</sub> trends that are positive in the lower stratosphere over the MLS period, whereas longer time periods have indicated some decreases – so further confirmation with more years of data should be worthwhile in the near future), while other points clearly deal with the comparisons with model trends. In many aspects, SD-WACCM matches the latitude/height behavior of observed ozone trends quite well, and also matches the observed H<sub>2</sub>O trends better than FR-WACCM.

*For me as a reviewer the questions about this paper are*

- (i) what are new scientific results related to CCMs (including diagnostics) or trends in general*

**Reply:** Please see our replies above, as this reviewer comment is mainly a summary comment.  
*and*

- (ii) why does the evaluation of the two WACCM versions belong in an ACP paper, rather than the sister journal Geophysical Model Development (GMD). At the moment, and using the abstract as a basis, I really don't get the main scientific advances which would justify ACP versus GMD.*



*My recommendation is that the work needs to be presented with clearer scientific messages coming through in the abstract and conclusions. Work which does not directly contribute to the ACP-level results could be put in a GMD paper, or an expanded supplement.*

**Reply:** In response to this, we have made some changes, notably to the Abstract, main text, and conclusions, with more useful information to help strengthen the results on ozone and H<sub>2</sub>O trends. Short of the revised version (which we are finalizing soon), please see the revised (draft) Abstract at the end of this reply, with the highlighted parts as a guide to the non-minor changes.

Stratospheric science has progressed to the point of being quite well understood from the point of view of very sophisticated tools, like SD-WACCM (with mostly correct representations, or parameterizations, of the physics and chemistry), and this limits the extent of significant new advances. However, this manuscript is (in our view) one of the more comprehensive studies that confronts such a model with multi-year and multi-species data sets, for species with different lifetimes and gradients, so that a fuller depiction of areas of agreement or disagreement can be revealed. On the trends side, there is good overall agreement within the error bars; more specifically, the degree of agreement for SD-WACCM in terms of the latitudinal and vertical patterns is actually striking (see Fig. 25 in particular), if one ignores the issue of absolute error bars. Figure 25 is also an example that could be illuminating for other model comparisons, in due time (not here). Such excellent agreement in the patterns of trends is a model success worth documenting, in our view; otherwise, it could become just “word of mouth” between modeling groups, and we feel that the actual publication is important, after careful (time-consuming) analyses. While there have been some rather broad trend comparisons in the past between averaged data sets and averaged models, there are few that go into a lot of detail for different model runs; more of this type of work may well be in preparation elsewhere.

On the issue of trimming (or splitting) the manuscript, we do feel strongly that using the Supplement is a much better way to help cut down somewhat on the main paper, rather than to somewhat artificially break up this comprehensive work, given that this would also require a significant amount of duplication and extra work. We believe that, after some trimming of Figures and less essential text, and other clarifications, as mentioned earlier in more detail, this paper will be improved. On the other hand, there is a need for some added text in order to explain some issues better, namely for water vapor trends, their magnitude (in relation to what one would expect from methane increases), and the differences between the two models. In the end, we feel that setting

an arbitrary length goal does not make much sense, when a lot of comparison work is investigated (or even summarized) for multiple species with different lifetimes, in order to confront the models with a multi-dimensional and multi-faceted atmosphere. However, we will heed the advice regarding a trimmed down revised version, and we thank both referees for these comments.

Regarding the Journal issue, we feel quite strongly that such a paper is (or can certainly be) in the ACP domain, given that the model description is really a small part of this manuscript (WACCM having been used and described previously, including in GMD, *Morgenstern et al.*, gmd-10-639-2017), and that there are some scientific results discussed here (to be further clarified, as mentioned in our replies and in the upcoming revision), even if some of this confirms past/recent work, but from our own model/data comparisons. There is some “grey region” between ACP and GMD papers, with the latter being more geared towards model description and development (if one looks through many of those articles), although there are some model evaluation papers there as well. To be more specific, we include Table 1 at the end of this reply, and this provides a summary of all the papers that are part of the current CCMI special issue, which is what we are submitting to here; this special issue encompasses several journals (including ACP and GMD). As one can see from Table 1, the more recent papers have nearly all been part of ACP, after some initial work with much more of a model description focus. Some of the articles in ACP could compare broadly to the work we are trying to present, with a combination of model and data (and comparisons). We also feel that there are detailed aspects of the MLS data sets described in our work (regarding absolute error bars and trend uncertainties, including some drift issues) that would be of much interest to the stratospheric component of the ACP readership. Without attempting to be more comprehensive, we can state that we did consider the Journal topic seriously, which also led to some delays. We also consulted with the ACP editors on this topic, and we are pleased that they agree with our views; this topic is also something that editors consider as part of the pre-review process. It is also true that going through another 4 months of review with a completely new set of reviewers and editors is a considerable burden not just on the authors, with further time delays, but also on the reviewer community (especially for longer papers). We are thus thankful for the support we obtained towards finalizing this process for ACP, and we feel that we can now focus our efforts to that end; we would very much welcome reviewer support on this aspect as well.

### ***Minor comments***

*Page 1. Line 20. Can you be quantitative when discussing model over/underestimates?*

**Reply:** Certainly, these Abstract sentences are now rewritten for clarification, as follows:

“There are a few significant model/data mean biases, such as for lower stratospheric O<sub>3</sub>, for which the models at mid- to high latitudes overestimate the mean MLS values by as much as 50% and the seasonal amplitudes by ~60%. Another clear difference occurs for HNO<sub>3</sub> during recurring winter periods of strong HNO<sub>3</sub> enhancements at high latitudes; the strong model underestimate in this case (by a factor of about 2 to 6) stems from the omission of ion chemistry relating to particle precipitation effects, in the global models used here.” The relevant sections in the text will also be adjusted to match these more quantitative points.

*Page 1. Lines 26-27. In what way are the detailed interactions not as well represented?*

**Reply:** We have decided that this result, although correct, is not needed in the Abstract, given that one expects a free-running model to be less in-phase with actual dynamical situations represented better by SD-WACCM (and the observational record). This will therefore be removed from the Abstract, although the relevant (fairly brief) discussion can stay in the main text, as a demonstration of these somewhat subtle, but real differences, between model ‘flavors’ and observations.

*Page 2. Line 12. ‘differences’ rather than ‘variability’?*

**Reply:** Yes, this wording is changed to ‘differences’.

*Page 2. Line 14. ‘driven’ – not the correct word for what is inside the model. Usually used for the external forcings like winds or emissions etc.*

**Reply:** Yes, this wording is changed to “driven by time-dependent boundary conditions”, without mentioning the photochemical reactions (which can be taken as a ‘given’, given other references to the model).

*Page 2. Line 17-18. I think you should say a lot more about other SD work and cite papers, as SD v FR is a main focus of this paper. This would help to think about whether the WACCM SD results may be applicable to other SD models?*

**Reply:** We understand the importance of comparing various SD models, and we have discussed this earlier in our reply to item (3). We plan to change part of the Introduction in the revised version to better motivate the purpose of our analyses of FR-WACCM versus SD-WACCM, as mentioned above.

*Page 2. Line 27. Explain ‘high quality’.*

**Reply:** That is a fair comment, especially for a reader who might not know enough about the MLS data; however, for this Introduction, it would seem best not to try to give a detailed list of references on validation, etc... so we can just remove this somewhat vague wording for simplicity (and we are keeping the manuscript length in mind as well).

*Page 2. Line 36-39. Can you give examples of trend studies that have had these problems? Again, for the trend results presented here to be of scientific interest to the community, we need to know about issues of what has been done before.*

**Reply:** Yes, we can/will refer to some published work for ozone (Ball et al., ACP, 2017, acp-17-12269-2017) that points to regions/periods of trend differences that can be traced to data set issues and/or merging issues (for example, regarding merged SBUV data or an older ozone data version from GOZCARDS). While uncertainties relating to data merging are not easy to quantify, more work should ultimately be done on such a topic (separately from our current manuscript, of course); for SBUV, some work has been done regarding the propagation of uncertainties (Frith et al., ACP, 2017, acp-17-14695-2017). Incidentally, data merging uncertainty issues point to a good reason to at least try to start using MLS data alone (as there are no data merging or sampling difference issues) for trend work, versus model results and in general.

*Page 3. Line 34. After reading these sections it is not clear to me if ACE data (and which version) is included in either of the GOZCARDS versions. Please clarify.*

**Reply:** Certainly, this text will be clarified, by changing it to: “ACE-FTS data were not included in these more recent years.” The version matters less, since there is only one choice for recent years. We also plan to add the following sentence (just before paragraph 3), to clarify what was done for the special v2.20 GOZCARDS ozone product. “We note that no ACE-FTS data were included in this newer version of GOZCARDS O<sub>3</sub>.”

*Page 4. Line 39. Clarify that ‘organic halogens’ are the source gases.*

**Reply:** Yes, this will be changed to ‘organic halogens’ to specify the source.

*Page 5. Line 2. So the FR WACCM is relaxed to the observed tropical winds (QBO). What is the implication of that for the comparison? Does that constrain some of the comparisons? What would happen without this relaxation? (Why is it done?).*

**Reply:** If one wants to represent the observed stratospheric variability, one has to include QBO forcing in the tropical region; without this, the variability would be much less realistic, and less accurate. This was also the specification for the CCM1 scenario (REF-C1), to include either a nudged QBO or an interactively-derived QBO (if possible). The latest version of FR-WACCM, recently released to the community, now has an interactive QBO. This was not available for this CCM1 assessment.

*Page 5. Line 11. New paragraph before ‘Both’.*

**Reply:** Yes, this is changed to a new paragraph.

*Page 6. Line 28. The model comparisons don’t use the satellite averaging kernels (or temporal sampling I suppose?). Can you add more details on why you see no reason to apply the AKs?*

**Reply:** Some discussion of this aspect of the comparisons was already provided regarding Fig. 2 model/data differences on page 6 (lines 26-29), and this is a generic type of response for these comparisons (as has also been verified in the context of other comparisons of MLS data versus models, notably for water vapor). The MLS instrument system has sharply peaked vertical Averaging Kernels as a result of its limb viewing geometry and field of view characteristics, with stratospheric vertical resolutions of order 2.5 to 4 km in most cases (species) of relevance here. The largest impacts (from neglecting profile smoothing) can be expected in the upper troposphere, at least when comparing to fine resolution sonde profiles. Examples of smoothed and unsmoothed ozone comparisons are provided in the original MLS ozone validation paper (Fig. 6) by *Froidevaux et al.* (JGR, 2008, 10.1029/2007JD008771), in the context of comparisons versus SAGE II, which has a vertical resolution finer than 1-2 km; this shows that the effects are typically quite small (less than a few percent) even for SAGE-type profiles. The WACCM model profiles are provided on a

grid that is not substantially finer than the MLS retrieval grid, and such profiles will thus be affected even less. Also, both model runs in this case are on the same vertical grid (and the model profiles do not generally differ by very large amounts); they will be affected in the same (small) way by a small amount of smoothing to match the MLS retrieval grid. While we could add more words to this effect, we will probably not plan to lengthen the manuscript much regarding this point, given that we have at least touched on this topic already.

*Page 7. Line 13. Any idea why there are larger differences for SD WACCM? What are the implications for SD studies?*

**Reply:** Transport-related model issues, as mentioned regarding some regions of disagreement between ozone observations and data, could also impact the lower stratospheric HCl abundances. However, the HCl amounts in this region are quite small, so we do not wish to over-emphasize this sort of discrepancy for this species. Finally, it is also a region where the MLS retrievals are less well constrained, in terms of percentage accuracy at least, although this does not help to alleviate model-to-model differences. We should probably not overemphasize such large percentage differences, given the low abundances in this case.

*Page 7. Line 16. Explain ‘good dynamical tracer’ for non-experts.*

**Reply:** Yes, we will add some words here “N<sub>2</sub>O, a long-lived species in the lower stratosphere, which means that good (or poor) model/data agreements in this region can confirm (or deny) accurate model representations of the dynamics.”

*Page 12. Line 36. ‘do not have the right chemistry’. I would suggest rephrasing this.*

**Reply:** Yes, we can rephrase this to ‘do not include the necessary photochemical pathways, including the effects of energetic particle precipitation on ion chemistry in the upper atmosphere’.

## Revised Abstract:

We evaluate the recently delivered Community Earth System Model version 1 (CESM1) Whole Atmosphere Community Climate Model (WACCM) using satellite-derived global composition datasets, focusing on the stratosphere. The simulations include free-running (FR-WACCM) and specified-dynamics (SD-WACCM) versions of the model. Model evaluations are made using global monthly zonal mean time series obtained by the Aura Microwave Limb Sounder (MLS), as well as longer-term global data records compiled by the Global Ozone Chemistry and Related Trace gas Data Records for the Stratosphere (GOZCARDS) project. A recent update (version 2.20) to the original GOZCARDS merged ozone ( $\text{O}_3$ ) data set is used here.

We discuss upper atmospheric climatology and zonal mean variability using  $\text{O}_3$ , hydrogen chloride (HCl), nitrous oxide ( $\text{N}_2\text{O}$ ), nitric acid ( $\text{HNO}_3$ ), and water vapor ( $\text{H}_2\text{O}$ ) data. There are a few significant model/data mean biases, such as for lower stratospheric  $\text{O}_3$ , for which the models at mid- to high latitudes overestimate mean MLS values by as much as 50% and the seasonal amplitudes by ~60%; such differences require further investigations, but would appear to implicate (in part) a transport-related issue in the models. Another clear difference occurs for  $\text{HNO}_3$  during recurring winter periods of strong  $\text{HNO}_3$  enhancements at high latitudes; model underestimates in this case (by a factor of 2 to 6) stem from the omission of ion chemistry relating to particle precipitation effects, in the models used here. In the lower stratospheric high southern latitudes, variations in polar winter/spring composition observed by MLS are generally well matched by SD-WACCM, the main exception being for the early winter rate of decrease in HCl, which is too slow in the model. In general, we find that the latitude/pressure distributions of annual and semi-annual oscillation amplitudes derived from MLS data are properly captured by the corresponding model values.

One of the model evaluation diagnostics we use represents the closeness of fit between the model/data anomaly time series, and we also consider the correlation coefficients. Not surprisingly, SD-WACCM, which is driven by realistic dynamics, generally matches observed deseasonalized anomalies better than FR-WACCM does. We use the root mean square variability as a more valuable way to estimate differences between the two models and the observations. We find, most notably, that FR-WACCM underestimates the observed interannual variability for  $\text{H}_2\text{O}$  by ~30%, typically, and by as much as a factor of two in some regions; this has some implications for estimates of the time needed to detect small trends, based on model predictions.

We provide trend comparisons between various data sets and (CESM1) WACCM, using a multivariate linear regression (MLR) model. Both MLS and WACCM show a robust upper stratospheric  $\text{O}_3$  increase from 2005 to 2014 by ~0.2-0.4%/yr ( $\pm 0.2\%/yr$ ,  $2\sigma$ ), depending on which latitude range (tropics or mid-latitudes) is considered. In the lower stratosphere, some decreases are indicated for 1998-2014 (based on merged GOZCARDS  $\text{O}_3$ ), but we find near-zero or positive trends when using MLS  $\text{O}_3$  data alone for 2005-2014. The SD-WACCM results track these observed tendencies, although there is little statistical significance in either result; the patterns of  $\text{O}_3$  trends versus latitude and pressure are remarkably similar between SD-WACCM and MLS. For  $\text{H}_2\text{O}$ , the most statistically significant trend for 2005-2014 is an upper stratospheric increase, peaking at slightly more than 0.5%/yr in the lower mesosphere, in fairly close agreement with SD-WACCM trends, but with smaller values in FR-WACCM. As shown before by others, there are multiple factors that can influence low-frequency variability in  $\text{H}_2\text{O}$ ; indeed, these recent short-term trends are larger than what one would expect from changes associated with slow secular increases in methane. For HCl, while the lower stratospheric vertical gradients of MLS trends are duplicated to some extent by SD-WACCM, the model trends (decreases) are always on the low side of the data trends. There is also little model-based indication (in SD-WACCM) of a significantly positive HCl trend derived from

the MLS tropical series at 68 hPa. These differences deserve further study. For N<sub>2</sub>O, the MLS-derived trends (for 2005-2012) point to negative trends (of up to -1%/yr) at NH mid-latitudes and positive trends (of up to +3%/yr) at SH mid-latitudes, in good agreement with the asymmetry that exists in SD-WACCM trend results. The small observed positive N<sub>2</sub>O trends of ~0.2%/yr in the 100 to 30 hPa tropical region are also consistent with model results (SD-WACCM in particular), which are very close to known rates of increase in tropospheric N<sub>2</sub>O. In the case of HNO<sub>3</sub>, MLS-derived lower stratospheric trend differences (for 2005-2014) between hemispheres are opposite in sign to those from N<sub>2</sub>O and in reasonable agreement with both WACCM results. In general, variations tied to the QBO play a big role in terms of the interpretation of stratospheric trends over short time periods (such as 2005-2014); longer time periods are typically required to robustly extract underlying long-term trends, notably in the lower stratosphere.

The data sets and tools discussed here for the evaluation of the models could be expanded to additional comparisons of species not included here, as well as to model intercomparisons using a variety of CCMs, in order to search for systematic differences versus observations or between models, keeping in mind the range of model parameterizations and approaches.



**Table 1.** Pubs. in CCMI special issue (mostly ACP papers recently, with a variety of topics/thrusts).

Reference	Title	Type of study (model vs data, etc...)	Some novel aspects of atm. science?	Mostly model description or model analyses? > not much data
Jockel, P. et al. (2016), 10.5194/ <b>gmd-9-1153-2016</b> <b>GMD</b>	Earth System Chemistry integrated Modelling (ESCiMo) with the Modular Earth Submodel System v-2.5	<i>One model</i> with different scenarios	Not really	Yes, model sensitivity (scenario) runs
Tilmes, S. et al. (2016), 10.5194/ <b>gmd-9-1853-2016</b> <b>GMD</b>	Representation of the CESM1 CAM4-chem within the CCMI	<i>One model</i> (different scenarios) & some data	Not really	Model evaluation studies
Strode, S. A. et al. (2016), 10.5194/ <b>acp-16-7285-2016</b>	Interpreting space-based trends in CO with multiple models.	Model and data	Yes, in terms of model/data differences.	A combination of models and data
Morgenstern, O. et al. (2017), 10.5194/ <b>gmd-10-639-2017</b> <b>GMD</b>	Review of the global models used within phase 1 of CCMI.	Descriptions of various CCMI models	Not directly	Model descriptions only
Fernandez, R. P. et al. (2017), 10.5194/ <b>acp-17-1673-2017</b>	Impact of biogenic VSL bromine on the Antarctic O <sub>3</sub> hole during the 21 <sup>st</sup> century.	<i>One model</i> and data - with model predictions	Not directly, but based on model predictions	Yes, mostly model predictions
Smalley, K. M. et al. (2017), 10.5194/ <b>acp-17-8031-2017</b>	Contribution of different processes to changes in tropical LS H <sub>2</sub> O in CCMs.	Models and some data	Yes, based on model behaviors & inferences	Yes, mostly model analyses
Hardiman, S. C. et al. (2017), 10.5194/ <b>gmd-10-1209-2017</b> <b>GMD</b>	The Met Office HadGEM3-ES CCM: evaluation of strat. dynamics, impact on O <sub>3</sub>	<i>One model</i> : different simulations (FR vs SD)	Not directly	Yes, mostly model analyses and evaluations
Lin, M. et al. (2017), 10.5194/ <b>acp-17-2943-2017</b>	US surface O <sub>3</sub> trends & extremes (1980- 2014): quantifying the roles of rising Asian emissions, domestic controls, wildfires, and climate.	<i>One model</i> with data comparisons	Yes, based on one model's behavior & inferences	Mostly model inferences (with some data comparisons)
Maycock, A. C. et al. (2018), 10.5194/ <b>acp-18-11323-2018</b>	The representation of solar cycle signals in strat O <sub>3</sub> - Part-2: Analysis of global models.	Mostly multi-model results	Not directly, mostly model dependence on inputs	Yes, mostly a model sensitivity study

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Morgenstern, O. et al. (2018), 10.5194/ <b>acp</b> -18-1091-2018	O <sub>3</sub> sensitivity to varying greenhouse gases and ozone-depleting substances in CCMI-1 simulations.	Multi-model description & consistency of responses to forcings	Not directly	Yes, a model sensitivity study
Revell, L. E. et al. (2018), 10.5194/ <b>acp</b> -17-13139-2017	Impacts of Mt. Pinatubo volcanic aerosol on the tropical stratosphere in CCM simulations using CCMI & CMIP6 stratos. Aerosol data	<i>One model.</i> Sensitivity of T and O <sub>3</sub> response to volcanic aerosol data	Not directly	Yes, mostly a model sensitivity study
Hou, P. et al. (2018) <b>acp</b> -18-8173-2018	Sensitivity of atmos. aerosol scavenging to precip. intensity and frequency in context of climate change	Some data but mostly a prediction sensitivity study	Yes, but based on prediction sensitivities	Yes, mostly a model sensitivity study (with different met. fields)
Phalitnonkiat, P. et al. (2018), 10.5194/ <b>acp</b> -18-11927-2018	Extremal dependence between T and O <sub>3</sub> over the continental US.	Some data but mostly multi-model prediction	Yes, but based on model predictions	Yes, mostly a model sensitivity study
Orbe, C. et al. (2018), 10.5194/ <b>acp</b> -18-7217-2018	Large-scale tropospheric transport in the CCMI simulations.	Multi-model diffs.: AOA, transport.	Not directly	Yes, mostly a model sensitivity study
Wu, X. et al. (2018), 10.5194/ <b>acp</b> -18-7439-2018	Spatial and temporal variability of interhemispheric transport times.	<i>One model:</i> Variability of idealized tracers	To some extent, based on model sensitivity	Yes, mostly a model sensitivity study (of variability)
Dietmuller, S. et al. (2018), 10.5194/ <b>acp</b> -18-6699-2018	Quantifying the effect of mixing on the mean age of air in CCMVal-2 and CCMI-1 models.	Multi-model look: factors influencing AOA	Not directly	Yes, mostly a model sensitivity study
Dhomse, S. S. et al. (2018), 10.5194/ <b>acp</b> -18-8409-2018	Estimates of ozone return dates from CCMI simulations.	Multi-model estimates: O <sub>3</sub> return dates	Yes, but based on predictions	Yes, mostly a model sensitivity study
Ayarzaguena, B. et al. (2018), 10.5194/ <b>acp</b> -18-11277-2018	No robust evidence of future changes in major stratospheric sudden warmings: a multi-model CCMI assessment	Multi-model study of major strat. sudden warmings	Yes, based on model predictions	Yes, mostly a model sensitivity study

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Lamy, K. et al. (2018), ACPD, 10.5194/acp-2018-525	UV radiation modelling using output from the CCMI	Multi-model UVI versus climo UVI data	Yes, based on model results	A combination of models and data
Revell, L. E. et al. (2018) acp-2018-615	Tropospheric ozone in CCMI models and Gaussian emulation to understand biases in the SOCOLv3 CCM.	Multi-model comparison of tropos. ozone vs data	Mostly geared towards model refinements	A combination of models and data

## Reply to the review from Referee 2

We are thankful to this referee for the review and the associated suggestions, listed in *italics* below. We provide our detailed responses (regular font) and plans; our revised manuscript will be available in a fairly short time. For added information, we have provided the revised Abstract in our reply here, although most of those (highlighted) changes were done as a response to comments from the other Referee.

It would seem from the referee comments that there are no demonstrable big issues with the science (or math), besides some requested clarifications, and we are pleased that Referee 2 found our manuscript to contain “a lot of valuable and detailed information” [and Referee 1 also found “some interesting results”].

*The manuscript aims to evaluate the stratospheric composition of the free-running and specified-dynamics version of CESM1 (WACCM). The evaluations are based on comparisons to satellite measurements including single-instrument and merged data records. The model diagnostics include zonal monthly mean comparisons, seasonal and semi-annual cycles as well as long-term trends. All evaluations are described in detail and valuable information on various aspects of the model performance is provided. Overall, the manuscript is of great interest for scientist directly working with WACCM or potentially with other earth-system models. Therefore, such a detailed manuscript would seem much more appropriate in a journal focused on geoscientific model development/validation and I would urge the authors to submit it to a journal focused on this topic.*

**Reply:** We do not agree that the fairly comprehensive analyses presented here are of more limited interest to modeling groups only, because there are also inferences from data sets that have not been presented before (in particular trend analyses from MLS data alone). We have also added a few clarifications to better explain certain aspects of these trends and comparisons (largely in response to the other Referee).

Regarding the Journal issue, we feel quite strongly that such a paper is (or can certainly be) in the ACP domain, given that the model description is really a small part of this manuscript (WACCM having been used and described previously, including in GMD, *Morgenstern et al.*, gmd-10-639-2017), and that there are some scientific results discussed here (to be further clarified, as mentioned in our replies and in the upcoming revision), even if some of this confirms past/recent work, but from our own model/data comparisons. There is some “grey region” between ACP and

GMD papers, with the latter being more geared towards model description and development (if one looks through many of those articles), although there are some model evaluation papers there as well. To be more specific, we include Table 1 at the end of this reply, and this provides a summary of all the papers that are part of the current CCMI special issue, which is what we are submitting to here; this special issue encompasses several journals (including ACP and GMD). As one can see from Table 1, the more recent papers have nearly all been part of ACP, after some initial work with much more of a model description focus. Some of the articles in ACP could compare broadly to the work we are trying to present, with a combination of model and data (and comparisons). We also feel that there are detailed aspects of the MLS data sets described in our work (regarding absolute error bars and trend uncertainties, including some drift issues) that would be of much interest to the stratospheric component of the ACP readership. Without attempting to be more comprehensive, we can state that we did consider the Journal topic seriously, which also led to some delays. We also consulted with the ACP editors on this topic, and we are pleased that they agree with our views; this topic is also something that editors consider as part of the pre-review process. It is also true that going through another 4 months of review with a completely new set of reviewers and editors is a considerable burden not just on the authors, with further time delays, but also on the reviewer community (especially for longer papers). We are thus thankful for the support we obtained towards finalizing this process for ACP, and we feel that we can now focus our efforts to that end; we would very much welcome reviewer support on this aspect as well.

### ***Major comments***

*1) The paper delivers a lot of valuable and detailed information, however, is overall very long. In particular, the number of figures could be reduced from 32 to around 20. To give one example, Figure 2 is only discussed very briefly in the text in order to illustrate mean biases and annual cycle differences shown elsewhere and could be removed.*

**Reply:** We really prefer to keep Fig. 2 in the main text as this does show much better than Fig. 1 how the models and the data differ (in certain regions) in terms of not only the mean differences, but also the annual cycle; these differences are now also better quantified in the upcoming revised version (in answer to a comment from reviewer 1).

We are planning to cut down on the length of this manuscript, mainly by relegating some of the less critical Figures to the Supplement. Although this does not necessarily translate into a very large cut in terms of text length, we consider this work to be a fairly comprehensive analysis, which therefore leads to a longer paper; there have definitely been some longer (atmospheric) papers in the literature, and specifically in ACP. Turning this into two separate papers mainly for the sake of overall length seems too artificial, and this would be quite an elaborate proposition, with the need for some duplication regarding both the data sets and the models; as an aside, this would actually lead to more reviewing work for the community. We hope to have shown that detailed analyses are necessary to enable identification of both good agreement (a result in itself) or significant differences between model runs and the data sets, but also for some of the more subtle differences, and furthermore, that an understanding and discussion of error bars and potential data issues is important. We will also strive to reduce the amount of text in the revised manuscript, especially where some less critical aspects can be discussed more succinctly, or taken out altogether. In particular, we plan to shorten Section 5.1.1 (pages 11-13) to a text length that roughly matches (rather than exceeds) the text length of Section 5.1.2 (on variability issues); the cuts to Sect. 5.1.1 will be of order 30% (or more).

In terms of reducing the amount of Figures and related changes, our specific plans are to remove Figs. 13, 14, 15, and 17 from the main text (and relegate these to the Supplement, with a slightly shortened discussion), since these mainly reinforce the expectation (already noted for  $O_3$  and  $H_2O$ ) of better model/data fits from SD-WACCM, as one might expect from a model with better dynamical constraints than the FR-WACCM version. Such an expectation does not hold for the variability diagnostics, so these are really best left in the main text, although we will plan to displace Figure 22 (on the  $N_2O$  and  $HNO_3$  variability comparisons), and move it to the Supplement. Moreover, we feel that Figure 31 on lat/p contours of short-term trend for various species can be moved to the Supplement, as it is less critical, and given past (and ongoing) work on this topic. While Figure 32 is interesting to us, it is more of a side note on lower stratospheric tropical cohesiveness for various species exhibiting similar dynamical variability, so we decided that the text and Figure in this case can be eliminated altogether without much of an impact on this paper.

In summary, the total number of Figures in the main text will be trimmed down by almost a quarter, with a more manageable total of 25 Figures; writing up a multi-year effort of (part-time) work on detailed model/data comparisons is bound to lead to a longer manuscript than several

shorter analyses; to our knowledge, fits, correlations, variability, and trend comparisons are rarely investigated to this extent in model/data comparisons, even for a single model (or two flavors of one model). This, with some reductions (and clarifications) in the text (including the Abstract and Conclusions section), will at least show our good faith effort towards the referee comments. Recommending a goal of exactly 20 Figs. is rather arbitrary, but our point here is that we have considered these requests with some care, and that we are being responsive.

*2) Differences are often only listed and not explored more in detail. To give one example, model HCl shows systematic differences in the lower stratosphere (evaluation based on Fig. 4) and a discussion relating those differences to shortcomings in the model transport or model chemistry would be interesting. Given the length of the manuscript, one could focus on the gases for which the detected differences are discussed in terms of model behavior (e.g., HNO<sub>3</sub>). Differences for other gases can be mentioned in the manuscript with the according figures being moved to the supplement.*

**Reply:** Yes, we pursued this type of reorganization, as explained above, with what we would consider a reasonable amount of delegating of material to the Supplement. We find some value in the remaining Figures, and feel that using a somewhat arbitrary number (such as 20) is not justified for a paper that covers a fair amount of ground and wishes to confront the models with a multi-species approach, in order to check for potential areas of weakness. Just stating good agreement and putting almost every Figure in the Supplement could work also, in principle, but that would be the other extreme, with a nearly complete lack of visual confirmation, which we think is important to preserve as well. Also, while we are striving to cut down on the length here, there are other long papers in the literature (but we will most likely avoid this sort of length in the future).

*3) In section 3, existing evaluations of WACCM and the WACCM composition in particular should be discussed. Such references come up in the latter part of the manuscript. If they are given combined in this section, it will easier for the reader to identify what the current challenges are and what is new in this manuscript.*

**Reply:** Yes, this section and/or the Introduction will be modified in the revised version (without adding too much length) to take this into account; in particular, we will add some motivation for the comparisons done here for FR-WACCM versus SD-WACCM (and observations).

***Minor comments:***

*1) Consider changing the title to ‘Evaluation of CESM1 (WACCM) free-running and specified-dynamics stratospheric composition simulations using global multi-species satellite data records.*

**Reply:** Given that water vapor is considered all the way through the mesosphere, we prefer to stick to our original title, but we did consider this suggestion.

*2) Page 5, line 31 – Page 6, line 2: This text could be moved to the discussion of the MLS data record in section 2.1.*

**Reply:** While this could be done in principle, we feel that the species-specific discussions of error bars and validation work is really best kept as part of the discussions for each species, and that the flow is less awkward this way; we have thus not tried to reorganize these portions of text.

*3) Page 7, line 24: Do you mean all earth system model or just WACCM with the term ‘general model underestimation’?*

**Reply:** We mean just the WACCM models here. This is clarified in the revised version by stating “model underestimation by both WACCM versions.” However, it is implicit that other models without the proper (more complicated) chemical processes and energetic particle pathways will also underestimate HNO<sub>3</sub> in the same fashion.

*4) Page 9, line 7 -10: Here, and also in other places, the sentence is too long for easy understandability. Consider splitting into two sentences at the semicolon.*

**Reply:** Yes, we will start a new sentence instead of using a semi-colon, if/as that may help. We will also consider some other places for such an issue.

*5) Page 12, line 5-8: The statement is made for the upper mesosphere. But isn’t it also true for the stratosphere?*

**Reply:** The statement (regarding worse diagnostic values) is somewhat true for the upper stratosphere as well, but we are mainly referring to SD-WACCM here; nevertheless, we have



modified the revised text to state that the (SD-WACCM) diagnostics “are of poorest quality in the mesosphere” (etc...).

*6) Page 13, line 7: MIPAS has been used earlier in the manuscript.*

**Reply:** Yes, thank you; this is readily fixed by defining MIPAS earlier on in the text (in the 2<sup>nd</sup> part of section 4).

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Smalley, K. M. et al. (2017), 10.5194/ <b>acp-17-8031-2017</b>	Contribution of different processes to changes in tropical LS H <sub>2</sub> O in CCMs.	Models and some data	Yes, based on model behaviors & inferences	Yes, mostly model analyses
Hardiman, S. C. et al. (2017), 10.5194/ <b>gmd-10-1209-2017</b> <b>GMD</b>	The Met Office HadGEM3-ES CCM: evaluation of strat. dynamics, impact on O <sub>3</sub>	<i>One model</i> : different simulations (FR vs SD)	Not directly	Yes, mostly model analyses and evaluations
Lin, M. et al. (2017), 10.5194/ <b>acp-17-2943-2017</b>	US surface O <sub>3</sub> trends & extremes (1980- 2014): quantifying the roles of rising Asian emissions, domestic controls, wildfires, and climate.	<i>One model</i> with data comparisons	Yes, based on one model's behavior & inferences	Mostly model inferences (with some data comparisons)
Maycock, A. C. et al. (2018), 10.5194/ <b>acp-18-11323-2018</b>	The representation of solar cycle signals in strat O <sub>3</sub> - Part-2: Analysis of global models.	Mostly multi-model results	Not directly, mostly model dependence on inputs	Yes, mostly a model sensitivity study

Reference	Title	Type of study (model vs data, etc...)	Some novel aspects of atm. science?	Mostly model description or model analyses? >not much data
Morgenstern, O. et al. (2018), 10.5194/ <b>acp</b> -18-1091-2018	O <sub>3</sub> sensitivity to varying greenhouse gases and ozone-depleting substances in CCMI-1 simulations.	Multi-model description & consistency of responses to forcings	Not directly	Yes, a model sensitivity study
Revell, L. E. et al. (2018), 10.5194/ <b>acp</b> -17-13139-2017	Impacts of Mt. Pinatubo volcanic aerosol on the tropical stratosphere in CCM simulations using CCMI & CMIP6 stratos. Aerosol data	<i>One model.</i> Sensitivity of T and O <sub>3</sub> response to volcanic aerosol data	Not directly	Yes, mostly a model sensitivity study
Hou, P. et al. (2018) <b>acp</b> -18-8173-2018	Sensitivity of atmos. aerosol scavenging to precip. intensity and frequency in context of climate change	Some data but mostly a prediction sensitivity study	Yes, but based on prediction sensitivities	Yes, mostly a model sensitivity study (with different met. fields)
Phalitnonkiat, P. et al. (2018), 10.5194/ <b>acp</b> -18-11927-2018	Extremal dependence between T and O <sub>3</sub> over the continental US.	Some data but mostly multi-model prediction	Yes, but based on model predictions	Yes, mostly a model sensitivity study
Orbe, C. et al. (2018), 10.5194/ <b>acp</b> -18-7217-2018	Large-scale tropospheric transport in the CCMI simulations.	Multi-model diffs.: AOA, transport.	Not directly	Yes, mostly a model sensitivity study
Wu, X. et al. (2018), 10.5194/ <b>acp</b> -18-7439-2018	Spatial and temporal variability of interhemispheric transport times.	<i>One model:</i> Variability of idealized tracers	To some extent, based on model sensitivity	Yes, mostly a model sensitivity study (of variability)
Dietmuller, S. et al. (2018), 10.5194/ <b>acp</b> -18-6699-2018	Quantifying the effect of mixing on the mean age of air in CCMVal-2 and CCMI-1 models.	Multi-model look: factors influencing AOA	Not directly	Yes, mostly a model sensitivity study
Dhomse, S. S. et al. (2018), 10.5194/ <b>acp</b> -18-8409-2018	Estimates of ozone return dates from CCMI simulations.	Multi-model estimates: O <sub>3</sub> return dates	Yes, but based on predictions	Yes, mostly a model sensitivity study
Ayarzaguena, B. et al. (2018), 10.5194/ <b>acp</b> -18-11277-2018	No robust evidence of future changes in major stratospheric sudden warmings: a multi-model CCMI assessment	Multi-model study of major strat. sudden warmings	Yes, based on model predictions	Yes, mostly a model sensitivity study

Reference	Title	Type of study (model vs data, etc...)	Some novel aspects of atm. science?	Mostly model description or model analyses? >not much data
Lamy, K. et al. (2018), ACPD, 10.5194/ <b>acp</b> -2018-525	UV radiation modelling using output from the CCMI	Multi-model UVI versus climo UVI data	Yes, based on model results	A combination of models and data
Revell, L. E. et al. (2018) <b>acp</b> -2018-615	Tropospheric ozone in CCMI models and Gaussian emulation to understand biases in the SOCOLv3 CCM.	Multi-model comparison of tropos. ozone vs data	Mostly geared towards model refinements	A combination of models and data

# 1Evaluation of CESM1 (WACCM) free-running and 2specified-dynamics atmospheric composition simulations 3using global multi-species satellite data records

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## 11Abstract

12We evaluate the recently delivered Community Earth System Model version 1 (CESM1) Whole Atmosphere Community Climate  
13Model (WACCM) using satellite-derived global composition datasets, focusing on the stratosphere. The simulations include  
14free-running (FR-WACCM) and specified-dynamics (SD-WACCM) versions of the model. Model evaluations are made using  
15global monthly zonal mean time series obtained by the Aura Microwave Limb Sounder (MLS), as well as longer-term global  
16data records compiled by the Global Ozone Chemistry and Related Trace gas Data Records for the Stratosphere (GOZCARDS)  
17project. A recent update (version 2.20) to the original GOZCARDS merged ozone (O<sub>3</sub>) data set is used [here](#).

18 ~~We discuss upper atmospheric climatology and zonal mean variability using O<sub>3</sub>, hydrogen chloride (HCl), nitrous oxide~~  
19~~(N<sub>2</sub>O), nitric acid (HNO<sub>3</sub>), and water vapor (H<sub>2</sub>O) data. There are a few significant model/data mean biases, such as for lower~~  
20~~stratospheric O<sub>3</sub>, for which the models at mid- to high latitudes overestimate the mean MLSo~~~~bserved values by as much as 50%~~  
21~~and the seasonal amplitudes by ~60%; such differences require further investigations, but would appear to implicate (in part) a~~  
22~~transport-related issue in the models.~~ Another clear difference occurs for HNO<sub>3</sub> during recurring winter periods of strong HNO<sub>3</sub>  
23enhancements at high latitudes; ~~th~~~~model underestimates in this case (by a factor of 2 to 6) is~~ stems from the ~~known~~-omission of  
24ion chemistry relating to particle precipitation effects, in the ~~global~~-models used here. In the lower stratosphere ~~ice~~ at high southern  
25latitudes, ~~the~~-variations in polar winter/spring composition observed by MLS are generally well matched by SD-WACCM, the  
26main exception being for the early winter rate of decrease in HCl, which is too slow in the model. In general, ~~we find that~~ the  
27latitude/pressure distributions of annual and semi-annual oscillation amplitudes derived from ~~the~~-MLS data are properly captured  
28by the corresponding model values. ~~Nevertheless, detailed aspects of the interactions between the quasi-biennial, annual, and~~  
29~~semi-annual ozone variations in the upper stratosphere are not as well represented by FR-WACCM as by SD-WACCM.~~

30 One of the ~~model~~ evaluation diagnostics we use represents the closeness of fit between the model/data anomaly time series,  
31and we also consider the correlation coefficients. Not surprisingly, SD-WACCM, which is driven by realistic dynamics, generally  
32matches observed deseasonalized anomalies better than FR-WACCM does. ~~Other results indicate that the root mean square~~  
33~~variability~~ We use the root mean square variability as a more valuable way to estimate differences between the two models and  
34the observations, ~~is sometimes found to be significantly smaller in FR-WACCM than in SD-WACCM and the observations. Most~~  
35~~notably, We find, most notably, that~~ FR-WACCM underestimates the observed interannual variability for H<sub>2</sub>O by ~30%,  
36typically, and by as much as a factor of two in some regions; this has some implications for ~~estimates of~~ the time needed to detect  
37small trends, ~~based on model predictions~~.

38 We ~~provide trend comparisons between various data sets and (CESM1) WACCM, have derived trends~~ using a multivariate  
39linear regression (MLR) model, ~~and there is a robust signal in B~~both MLS ~~observations~~ and WACCM ~~show a robust of an~~-upper  
40stratospheric O<sub>3</sub> increase from 2005 to 2014 by ~0.2-0.4%/yr ( $\pm$  0.2%/yr, 2 $\sigma$ ), depending on which ~~broad~~-latitude ~~range~~bin  
41(tropics or mid-latitudes) is considered. In the lower stratosphere, ~~while~~-some decreases are indicated for 1998-2014 (based on  
42merged GOZCARDS O<sub>3</sub>), ~~but~~-we find near-zero or positive trends when using MLS O<sub>3</sub> data alone for 2005-2014, ~~albeit with~~  
43~~no robust statistical significance.~~ The SD-WACCM results track ~~these observed~~ such positive tendencies, ~~(althoughbeit with no~~  
44~~there is little statistical~~ statistical-significance in either result;)- ~~the patterns of O<sub>3</sub> trends versus latitude and pressure are~~  
45~~remarkably similar between SD-WACCM and MLS.~~ For H<sub>2</sub>O, the most statistically significant ~~trend-trendresult~~ for 2005-2014 is

1an upper stratospheric increase, peaking at slightly more than 0.5%/yr in the lower mesosphere, in fairly close agreement with  
2SD-WACCM trends, but with smaller values in FR-WACCM. As shown before by others, there are multiple factors that can  
3influence low-frequency variability in H<sub>2</sub>O; indeed, these recent short-term trends are larger than what one would expect from  
4changes associated with slow secular increases in methane. For HCl, while the lower stratospheric vertical gradients of MLS  
5trends are duplicated to some extent by SD-WACCM, the model trends (decreases) are always on the low side of the data trends.  
6There is also little model-based indication (in SD-WACCM) of a significantly positive HCl trend derived from the MLS tropical  
7series at 68 hPa. These differences deserves further study. For N<sub>2</sub>O, the MLS-derived trends (for 2005-2012) point to negative  
8trends (of up to about -1%/yr) at in the NH mid-latitudes and positive trends (of up to about +3%/yr) at in the SH mid-latitudes, in  
9good agreement with the asymmetry that exists in SD-WACCM trend results. The s~~The~~ small observed positive N<sub>2</sub>O ~~N<sub>2</sub>O~~ trends  
10of ~0.2%/yr in the 100 to 30 hPa tropical region are also consistent with model results (SD-WACCM in particular), which in turn  
11are very close to the known rates of increase in tropospheric N<sub>2</sub>O. In the case of HNO<sub>3</sub>, MLS-derived lower stratospheric trend  
12differences (for 2005-2014) between hemispheres are opposite in sign to those from N<sub>2</sub>O and in reasonable agreement with both  
13WACCM results, despite large error bars. In general, variations tied to the QBO play a big role in terms of the interpretation of  
14stratospheric trends over short time periods (such as 2005-2014); longer time periods are typically required to robustly extract  
15underlying long-term trends, notably in the lower stratosphere.

16 The data sets and tools discussed here for the evaluation of the models could be expanded to additional comparisons of  
17species not included here, as well as to model intercomparisons using a variety of CCMs, in order to search for systematic  
18differences versus observations or between models, keeping in mind the range of model at there are different parameterizations  
19and approaches, for both free-running and specified-dynamics simulations.  
20

## 211 Introduction

22 State-of-the art chemistry climate models (CCMs) are known to reproduce the main features of stratospheric climatology and  
23change, although there have always been some differences~~variability~~ between the models (e.g., Waugh and Eyring, 2008;  
24SPARC, 2010; Dhomse et al., 2018). Free-running CCMs are used to make long-term simulations of atmospheric composition,  
25as well as predictions of future changes, driven by a large set of photochemical reactions, as well as time-dependent boundary  
26conditions for surface concentrations of greenhouse gases and ozone depleting substances (ODSs), sea surface temperatures and  
27sea ice concentrations, 11-year solar variability, sulfate aerosol surface area density, as well as tropospheric ozone and aerosol  
28precursor emissions. In more recent years, modeling groups have implemented “specified-dynamics” versions that are  
29constrained to meteorological fields (e.g., surface pressure, temperature, and horizontal and meridional winds). Our main  
30purpose here is to evaluate these two types of model runs from CESM1 WACCM, using multi-species satellite-derived global  
31composition data sets; we will refer to these two types as FR-WACCM (for the free-running model) version, and SD-WACCM;  
32(for the specified dynamics version). The SD-WACCM version has been used in studies ranging from examination of ozone  
33trends (e.g., Solomon et al., 2016; Ball et al., 2017; Wilka et al., 2018) to evaluation of galactic cosmic ray influence on ozone  
34(Jackman et al., 2016). This configuration has also been used to study dynamical processes that affect stratospheric ozone (e.g.,  
35Khosrawi et al., 2013; Gille et al., 2014) and has contributed to the understanding of satellite occultation instrument differences  
36(Sakazaki et al., 2015). Here, we perform a detailed model/observational analysis of two configurations (FR and SD) using the  
37same modeling system (CESM), and identical tracer advection and chemistry modules. Differences between the two  
38configurations should be caused mainly by the influence of different temperature fields on chemistry and by different mean  
39circulations. The model simulations awere based on scenarios defined by the Chemistry Climate Model Initiative (CCMI)  
40(Eyring et al., 2013; Morgenstern et al., 2017). Our evaluation focus is on monthly zonal mean time series from the models  
41versus satellite-derived global data sets. The main stratospheric (and mesospheric) time series used here are from Aura MLS  
42products data (version 4.2 data) and from the Global OZone Chemistry And Related trace gas Data records for the Stratosphere  
43(GOZCARDS), which include MLS data from late 2004 onward. The GOZCARDS data records includes merged multi-satellite  
44data files for O<sub>3</sub>, H<sub>2</sub>O, and HCl, and Aura MLS derived data files for HNO<sub>3</sub> and N<sub>2</sub>O; these 5 species are used for the model



1evaluations ~~herein~~. We ~~also~~ focus, in part, on the ~~Aura~~-MLS ~~high quality~~ data sets for 2005-2014 (~~with~~ 2014 being the last year  
2of WACCM runs considered here). The regular and nearly uninterrupted daily global coverage of the MLS day and night  
3measurements leads to minimal sampling-related biases, both for climatological comparisons (~~see~~ Toohey et al., 2013) and  
4trend-related studies. This data set also has a well characterized set of error bars (see Livesey et al., 2018, for the latest update to  
5the data quality documentation); however, we also note that there are some caveats to take into account regarding long-term  
6stability for some of the MLS species.

7 In terms of ~~the~~ model/data comparisons, we ~~will~~ analyze the climatological mean state and “goodness of fit” issues, as well as  
8variability. While one has the expectation that, in general, better fits to the data would be obtained for a specified-dynamics run  
9than for a less dynamically constrained run (FR-WACCM), one needs to demonstrate this ~~quantitatively~~ with diagnostics that ~~can~~  
10provide enough differentiation between models that ~~are~~ ~~cansometimes found to~~ track each other closely. There have been  
11essentially no ~~published~~ trend studies using ~~the~~-Aura MLS data ~~set~~ by itself. ~~T~~However, this data set now covers a sufficiently  
12long ~~time~~ period that it becomes useful to investigate such trends, as the analyses deal with one ~~homogeneous~~ data set only,  
13~~while can removing the~~ potential issues ~~associated~~ with data merging prior to 2005, whether related to poorer sampling ~~,~~ or  
14to uncertainties in ~~the~~ bias removal between ~~various~~ data sets. While such uncertainties can be difficult to quantify, attempts have  
15been made in the case of ozone data merging from multiple SBUV instruments, which display relative biases and drifts (Frith et  
16al., 2017); data merging uncertainties in this case were shown to play a large role regarding overall trend uncertainties.  
17Regarding sampling issues, Millán et al. (2016) showed, based on simulated atmospheric fields, that solar occultation-type  
18sampling can significantly bias trend results, as well as increase the time period required for robust trend detection, compared to  
19emission-type (much denser) sampling. On the downside, a shorter time series will ~~also~~ lead to larger uncertainties in ~~the~~ derived  
20trends.

21 We ~~first~~ provide (in Sect. 2) an overview of ~~the the~~ global stratospheric data sets used ~~herefor these comparisons~~. Brief  
22descriptions of FR-WACCM and SD-WACCM are ~~given provided~~ in Sect. 3. Climatological comparisons between ~~the~~ models  
23and ~~the~~-Aura MLS data ~~sets~~ are provided in Sect. 4, in order to assess ~~,~~ ~~for example,~~ whether any obvious biases exist; ~~thisese~~  
24~~comparisons~~ includes an overview of the main short-term variations, namely the annual oscillation (AO) and semi-annual  
25oscillation (SAO). More detailed comparisons of deseasonalized anomaly time series are provided in Sect. 5.1, where we  
26evaluate how well the two model versions fit the data sets, both in terms of closeness of fits and variability. ~~T~~Finally, trend  
27results and comparisons are ~~provided~~ investigated in Sect. 5.2, before the closing summary and discussion in Sect. 6.

28

## 292 Data sets

### 30 2.1 Aura MLS

31 The Microwave Limb Sounder (MLS) is one of four instruments on NASA's Aura satellite, launched on July 15, 2004. The  
32MLS antenna scans the atmospheric limb as Aura orbits the Earth in a near-polar sun-synchronous orbit, and the instrument  
33measures thermal emission (day and night) in narrow spectral channels, via microwave radiometers operating at frequencies near  
34118, 190, 240, and 640 GHz, as well as a 2.5 THz module to measure OH. MLS (see Waters et al., 2006) has been providing a  
35variety of daily vertical stratospheric temperature and composition profiles (~3500 profiles per day per product), with some  
36measurements extending down to the upper tropospheric region, and some into the upper mesosphere or higher. For more  
37information and access to the MLS data, the reader is referred to <http://disc.sci.gsfc.nasa.gov/Aura/data-holdings/MLS>; the  
38current data version is labeled 4.2x (with x varying between 0 and 3, depending on the date). Data users interested in MLS data

1quality and characterization, estimated errors, and related information, should consult Livesey et al. (2018), the latest update to  
2the MLS data quality document (available from the MLS website at <http://mls.jpl.nasa.gov>).

## 3     2.2     GOZCARDS

4     The data ~~set~~ considered here for longer-term model evaluation analyses is from GOZCARDS, a data record ~~that was~~ created  
5using ~~high-quality~~ satellite-based Level 2 data as “source” data sets, which were merged ~~together~~ into global monthly zonal mean  
6~~records~~ for O<sub>3</sub>, H<sub>2</sub>O, and HCl, going back in time before the (2004) launch of Aura. Readers are referred to the GOZCARDS  
7description and highlights provided by Froidevaux et al. (2015). In brief, for O<sub>3</sub>, the ~~original~~ GOZCARDS version 1.01 (v1.01)  
8data record starts in 1979 with solar occultation ~~data~~measurements from the first Stratospheric Aerosol and Gas Experiment  
9(SAGE I), and continues with data from SAGE II, the Halogen Occultation Experiment (HALOE), the Upper Atmosphere  
10Research Satellite (UARS) MLS, the Atmospheric Chemistry Experiment Fourier Transform Spectrometer (ACE-FTS, using  
11solar occultation), and Aura MLS. Basically, the overlap time periods for different data sets are used to calculate offsets between  
12zonal mean time series in 10°-wide latitude bins at each pressure level, and the data sets are adjusted to a reference value (SAGE  
13II mean values, for O<sub>3</sub>, or an average of satellite measurements for H<sub>2</sub>O and HCl); ~~M~~monthly standard deviations are also  
14provided, along with other diagnostic quantities. GOZCARDS data extensions past 2012 were created simply by adding more  
15recent MLS data, appropriately adjusted to account for zonal mean differences between versions, once the MLS O<sub>3</sub> v2.2 data  
16became unavailable (for 2013 onward); ~~the latest~~ ACE-FTS data ~~version~~ ~~were~~as not included ~~in these more recent years~~.  
17GOZCARDS O<sub>3</sub> ~~(v1.01)~~ has been used for past O<sub>3</sub> trend assessments and in comparisons to other data records (e.g., WMO, 2014;  
18Nair et al., 2015; Tummon et al., 2015; Harris et al., 2015; Ball et al., 2017, 2018).

19     For the GOZCARDS ~~ozone~~ O<sub>3</sub> data discussed here, unless otherwise noted, we use GOZCARDS v2.20, a recent improvement  
20and update to the original version. ~~This~~ ~~ozone~~ ~~v2.20~~ data set was provided for an updated assessment of stratospheric ozone by  
21Steinbrecht et al. (2017), as well as for the assessment activities of the Long-term Ozone Trends and Uncertainties in the  
22Stratosphere (LOTUS) project and in preparation for the latest international report on the state of the ozone layer, led by the  
23World Meteorological Organization (WMO). GOZCARDS ozone data updates are also used as part of the yearly “State of the  
24Climate” stratospheric ozone-related summaries, produced for the Bulletin of the American Meteorological Society (BAMS). For  
25GOZCARDS O<sub>3</sub> v2.20, the stratospheric retrieval pressure grid is twice as fine as for v1.01; there are now 12 regularly-spaced  
26levels per decade change in log of pressure. ~~The~~ UARS MLS O<sub>3</sub> data were not included in v2.20, since these retrievals are not  
27readily available on the finer vertical grid (although approximations such as interpolation could be used); also, there is no easy  
28provision of UARS MLS retrieval uncertainties on a finer grid. The most significant change for the new merged ~~O<sub>3</sub> ozone~~ is the  
29effect of using the ~~updated and~~ more robust version 7 data from SAGE II (Damadeo et al., 2013). Version 7 uses National  
30Aeronautics and Space Administration (NASA) Global Modeling and Assimilation Office (GMAO) Modern-Era Retrospective  
31Analysis for Research and Applications (MERRA) temperature (T) profile data (Rienecker et al., 2011) in the retrievals, and  
32these values (rather than T from the National Centers for Environmental Prediction (NCEP)) also have a significant impact on  
33the conversion of SAGE II O<sub>3</sub> from its native density/altitude grid to the GOZCARDS mixing ratio/pressure grid. Also, Aura  
34MLS v4.2 O<sub>3</sub> data are now used (instead of MLS v2.2); HALOE v19 O<sub>3</sub> profiles are included, after interpolation to the finer  
35pressure grid before merging. As a result of these ~~change~~improvements ~~in GOZCARDS O<sub>3</sub>~~, we have observed closer agreement  
36and larger correlation coefficients between the Stratospheric Water and Ozone Satellite Homogenized (SWOOSH) ~~ozone~~ data  
37~~record~~ (Davis et al., 2016) and GOZCARDS v2.20 O<sub>3</sub> ~~time~~series than between SWOOSH and GOZCARDS v1.01 (SWOOSH  
38~~O<sub>3</sub>~~ also uses SAGE II v7 ~~O<sub>3</sub> ozone~~ data); ~~M~~more details regarding the impact of GOZCARDS v2.20 O<sub>3</sub> on trends are provided in

2

### 33 **WACCM (CESM1) description and simulations**

4 WACCM (CESM1) is a chemistry climate model of the Earth's atmosphere, from the surface to the lower thermosphere  
 5(Garcia et al., 2007; Kinnison et al., 2007; Marsh et al., 2013; Garcia et al., 2017). WACCM is a superset of the Community  
 6Atmosphere Model, version 4 (CAM4), and includes all of the physical parameterizations of CAM4 (Neale et al., 2013) and a  
 7finite volume dynamical core (Lin, 2004) for the tracer advection. The horizontal resolution is 1.9° latitude x 2.5° longitude. The  
 8vertical resolution in the lower stratosphere ranges from 1.2 km near the tropopause to ~2 km near the stratopause; in the  
 9mesosphere and thermosphere the vertical resolution is ~3km. Simulations used here are based on the guidelines from the  
 10International Global Atmospheric Chemistry / Stratosphere-troposphere Processes And their role in Climate (IGAC/SPARC)  
 11Chemistry Climate Model Initiative (CCMI) (Morgenstern et al., 2017). Improvements in CESM1 (WACCM) for CCMI include  
 12a modification to the orographic gravity wave forcing, which reduced the cold bias in Antarctic polar temperatures (Garcia et al.,  
 132017; Calvo et al., 2017) and updates to the stratospheric heterogeneous chemistry, which improved the representation of polar  
 14ozone depletion (Wegner et al., 2013; Solomon et al., 2015). In this work, there are two CCMI scenarios, spanning the  
 151990-2014 period. The first scenario follows the CCMI REF-C1 definition and three ensemble members were completed; this  
 16falls under the “free-running” scenario. We note that all the analyses herein are based on an average of these three simulations.  
 17We have checked that the three representations' departures from the average are small enough not to require separate  
 18comparisons for each case, when pursuing average or root mean square (RMS) differences versus observations, in comparison to  
 19differences using the 2<sup>nd</sup> model scenario (see below); this is also true for the model/data comparisons of RMS variability. This  
 20first model scenario includes forcing from greenhouse gases (CH<sub>4</sub>, N<sub>2</sub>O, and CO<sub>2</sub>), organic halogens, volcanic aerosol surface  
 21area density and heating, and 11-year solar cycle variability. The sea surface temperatures are based on observations and the  
 22quasi-biennial oscillation (QBO) is nudged to observed monthly mean tropical winds over 86-4 hPa, as described in Matthes et  
 23al. (2010).

24 The second scenario is based on the CCMI REF-C1SD scenario and includes all the forcings of REF-C1, except for additional  
 25external QBO nudging. This scenario uses the specified dynamics (SD) option in WACCM (Lamarque et al., 2012). Here,  
 26temperature, zonal and meridional winds, and surface pressure are used to drive the physical parameterization controlling  
 27boundary layer exchanges, advective and convective transport, and the hydrological cycle. The meteorological analyses are taken  
 28from MERRA and the nudging approach is described in Kunz et al. (2011). The QBO circulation is inherent in the MERRA  
 29meteorological fields and is therefore synchronized with that in the “real” atmosphere. The horizontal resolution is the same as  
 30the REF-C1 version and the vertical resolution follows the MERRA reanalysis (from ~1 km resolution near the tropopause to  
 31about 2 km near the stratopause). The model meteorological fields are nudged from the surface to 50 km; above 60 km, these  
 32fields are fully interactive, with a linear transition in between.

33 Both WACCM versions used here contain an identical representation of tropospheric and stratospheric chemistry (Kinnison et  
 34al., 2007; Tilmes et al., 2016). The species included in this mechanism are contained within the Ox, NO<sub>x</sub>, HO<sub>x</sub>, ClO<sub>x</sub>, and BrO<sub>x</sub>  
 35chemical families, along with CH<sub>4</sub> and its degradation products. In addition, 20 primary non-methane hydrocarbons and related  
 36oxygenated organic compounds are represented, along with their surface emissions. In total there are 183 species and 472  
 37chemical reactions; this includes 17 heterogeneous reactions on multiple aerosol types (i.e., sulfate, nitric acid trihydrate, and  
 38water-ice). For this work, the CESM1 (WACCM) REF-C1 and REF-C1SD simulations will generally be referred to as  
 39FR-WACCM and SD-WACCM, respectively. While the runs were originally designed to stop at the end of 2010, for this work,

## 34 Climatological comparisons and biases

4 We first describe some of the major climatological features for the ~~various~~ stratospheric species mentioned in the  
 5 Introduction. We focus ~~here~~ on the main differences between average model trace gas abundances ~~from in the~~ FR-WACCM and  
 6 SD-WACCM ~~runs~~ and the corresponding ~~data abundances~~ from Aura MLS for 2005 through 2014; this includes a sub-section on  
 7 annual and semi-annual variations. ~~Further analyses of interannual variations and trends are discussed in Sect. 5.~~

### 8 4.1 Average abundances

9 We provide climatological latitude/pressure contour plots in the Supplement (Fig. S1 for O<sub>3</sub> and H<sub>2</sub>O, ~~and~~ Fig. S2 for HCl,  
 10 HNO<sub>3</sub>, and N<sub>2</sub>O), showing Aura MLS and WACCM ~~average mixing ratio~~ distributions, ~~averaged for over~~ 2005 ~~through~~ 2014.  
 11 Since such plots do not easily allow one to quantify ~~the largest~~ areas of model/data disagreement, we show in Fig. 1 (left column,  
 12 top two panels) the percent differences between WACCM and ~~the~~ MLS climatologies; a positive value means that, on average;  
 13 ~~for 2005–2014,~~ the model values exceed the data values. Also, we show in the right column (top two panels) the absolute value  
 14 of the average model/data difference divided by systematic error estimates (2 $\sigma$  values) for MLS ~~O<sub>3</sub> ozone~~. These error estimates  
 15 have been provided in ~~past~~ MLS validation and error characterization work as ~~tabulated~~ “typical” (global ~~average~~) profiles  
 16 ~~versus as a function of~~ pressure; ~~the latest update of~~ such error estimates for version 4 MLS data ~~are~~ provided by ~~the MLS team~~  
 17 ~~in~~ Livesey et al. (2018). The vertical profile of ~~estimated systematic errors for~~ MLS ~~O<sub>3</sub> ozone~~ ~~systematic errors~~ is given in the  
 18 Supplement (Fig. S3). ~~Note that the MLS team can provide further systematic error details for MLS data users (e.g., for pressure~~  
 19 ~~levels not listed in the standard Tables).~~ Past validation references for MLS ~~O<sub>3</sub> ozone~~ include Jiang et al. (2007), Froidevaux et al.  
 20 (2008a), and Livesey et al. (2008), as well as the more recent work covering many satellite ~~(and other)~~ instruments by Hubert et  
 21 al. (2016). The original MLS data validation work for H<sub>2</sub>O is from Read et al. (2007) and Lambert et al. (2007), who also  
 22 described N<sub>2</sub>O validation; ~~MLS, whereas~~ HNO<sub>3</sub> validation ~~work~~ was ~~provided~~ ~~discussed~~ by Santee et al. (2007).

23 The ~~two~~ bottom panels of Fig. 1 show a comparison between the ~~two~~ model ~~runs~~ (with percent differences on the left and the  
 24 ratio of the absolute differences versus data on the right). ~~The main conclusion from Fig. 1 is that M~~ most of the model ~~O<sub>3</sub> ozone~~  
 25 climatology falls within ~~about~~ 5 to 10% of the data climatology, except in the upper troposphere and lower stratosphere (UTLS),  
 26 where ~~the~~ SD-WACCM O<sub>3</sub> values are even larger than those from FR-WACCM (~~see~~ bottom left panel). Our work focuses on the  
 27 stratosphere, but both FR-WACCM and SD-WACCM average O<sub>3</sub> values at low latitudes are lower than the observed mean  
 28 ~~values~~ from 215 to 261 hPa (~~and these~~ MLS retrieval pressure levels ~~that~~ lie in the upper troposphere at these latitudes). While the  
 29 right column of Fig. 1 indicates that the difference to error ratio does not show a very significant systematic difference in this  
 30 region, there are known MLS positive biases versus tropical ozonesonde data; ~~and~~ this could account for ~~at least~~ part of the  
 31 apparent model low bias, at least for ~~the~~ 215 hPa ~~level; between this level and the tropopause (near 100 hPa), the SD-WACCM~~  
 32 ~~model values appear to be biased somewhat high. However~~ On the other hand, O<sub>3</sub>-mid-latitude ~~O<sub>3</sub> values~~ from 100 to 215 hPa  
 33 ~~is~~ are biased high in SD-WACCM ~~in particular~~, with a difference to systematic error ratio larger than 2 ~~to~~ 3 in most of this  
 34 region; otherwise, ~~Fig. 1 shows that~~ these ratios are ~~usu~~ typically less than 1 to 1.5. An illustration of the more significant  
 35 differences is given in Fig. 2, for ~~the~~ O<sub>3</sub> data and model ~~time~~ series at 215 hPa for 50°N–60°N (~~which corresponds to these~~  
 36 ~~abundances represent~~ lower stratospheric values). This shows that both FR-WACCM and SD-WACCM ~~average~~ values are larger  
 37 than the data ~~therein this region~~, and more so for SD-WACCM, ~~for which the overestimate can be larger than 50%.~~ In relation to  
 38 this ~~model overestimate of ozone~~, Imai et al. (2013) ~~have shown~~ ~~edn~~ that ~~the~~ SD-WACCM O<sub>3</sub> values are also larger than ~~those~~

1 ~~from the~~ Superconducting Submillimeter-Wave Limb-Emission Sounder (SMILES) ~~O<sub>3</sub>~~ in the lowest portion of the stratosphere  
2 (near-18-20 km). In Fig. 2, we also ~~see~~ ~~observe~~ that the model ~~O<sub>3</sub> ozone~~ annual amplitude (AO) is larger than the observed  
3 amplitude; ~~both models overestimate seasonal amplitudes by ~60%.~~ We discuss the ~~stratospheric~~ AO more generally in the  
4 next section. If anything, MLS O<sub>3</sub> at mid-latitudes is ~~biased~~ slightly high (by ~~~roughly~~ 5%) with respect to a multi-instrument  
5 mean ~~ozone field~~ based on a large number of ~~monthly zonal mean~~ satellite data sets from the Stratosphere-Troposphere  
6 Processes And their Role in Climate (SPARC) Data Initiative (DI), as discussed by Tegtmeier et al. (2013), who also showed that  
7 the MLS O<sub>3</sub> seasonal cycle at mid-latitudes and 200 hPa is in ~~very~~ good agreement with the multi-instrument mean. The ~~limb~~  
8 ~~emission measurements from~~ Aura MLS ~~measurements~~ for the species discussed here provide generally strongly peaked vertical  
9 averaging kernels with a resolution of 2.5-4 km (see Livesey et al., 2018, for sample ~~kernel plots of these kernels~~). We have  
10 confirmed that smoothing the model profiles using the **MLS averaging kernels (and a priori information) gives very little**  
11 **change (less than a few % for the Fig. 2 example, and even less at higher altitudes) in O<sub>3</sub> abundances and seasonal**  
12 **cycles, and we see no real need to use such a smoothing for our the model/data comparisons herein;** **The significant**  
13 **model/data differences in Figs. 1 and 2 are thus not caused by this sort of issue.** The mid-latitude O<sub>3</sub> differences mentioned  
14 above require more detailed investigations, but appear to implicate (in part) a transport-related issue in these models.

15 Figure 3 is the H<sub>2</sub>O analog of Fig. 1, ~~but~~ for pressures reaching up to 0.01 hPa, ~~since the Aura MLS H<sub>2</sub>O retrievals cover both~~  
16 ~~the stratosphere and the mesosphere~~; again, a typical profile of MLS systematic error estimates (Livesey et al., 2018) ~~was been~~  
17 used in deriving the results ~~shown~~ in the top two right panels, ~~which test for the existence of a significant bias between model~~  
18 ~~and observations~~. We note that MLS H<sub>2</sub>O ~~version-3~~ stratospheric data ~~generally~~ exhibit a slight high bias (of a few to 5%) versus  
19 multi-instrument mean ~~values~~, with a somewhat larger positive bias (of ~10%) in the lower mesosphere (Hegglin et al., 2013).  
20 Such biases are within the expected measurement systematic errors; ~~MLS version 4 stratospheric H<sub>2</sub>O data show essentially no~~  
21 ~~systematic change~~ versus in comparison to version 3 (Livesey et al., 2018). FR-WACCM and SD-WACCM H<sub>2</sub>O mean values are  
22 on the low side (by ~5-15%) relative to MLS H<sub>2</sub>O in the upper stratosphere and in most of the mesosphere (see Fig. 3), implying  
23 that the models are in good agreement with the SPARC DI multi-instrument mean H<sub>2</sub>O. There is independent evidence that MLS  
24 H<sub>2</sub>O has a dry bias near the hygropause (at the low end of the vertical range shown in Fig. 3, where the bottom level is 150 hPa);  
25 this has been known for some time (~~see~~ Read et al., 2007; Vömel et al., 2007). This is also consistent with the existence of a  
26 model high bias relative to MLS near 150 hPa, ~~assuming that the models come close to representing the H<sub>2</sub>O climatology in this~~  
27 ~~region~~. In terms of the significance of the biases, the right top two panels of Fig. 3 indicate that the H<sub>2</sub>O model/data comparisons  
28 are generally in agreement within the estimated (2 $\sigma$ ) systematic errors, and that this level of agreement is slightly better in the  
29 case of SD-WACCM.

30 For HCl, the climatological comparisons of Fig. 4 show that both models exhibit a small (5-10%) low bias versus MLS HCl  
31 in much of the stratosphere, with a stronger negative model bias in the tropic ~~sal~~ ~~region~~ between 100 and 150 hPa. The  
32 model/data relative biases in stratospheric HCl are generally within the MLS HCl systematic errors (see Fig. 4, top two panels at  
33 right). MLS HCl is slightly on the high side of ~~the~~ multi-instrument mean climatological results provided in the SPARC DI  
34 report (SPARC, 2017). The small negative model bias in the upper stratosphere could also arise from the lack of a sufficiently  
35 pronounced decrease in upper stratospheric MLS HCl, as a result of the interruption in the main MLS HCl ~~target band~~ (band 13)  
36 data after early 2006 (~~see~~ Livesey et al., 2018). There is also a known ~~strong~~ positive ~~systematic~~ bias in MLS ~~tropical~~ HCl at 150  
37 hPa ~~in the tropics~~ (~~see~~ Froidevaux et al., 2008b), so model underestimates in this region are not a sign of model weakness. We  
38 also note that both models exhibit a systematic difference versus HCl observations in the lower stratosphere (with larger  
39 differences for SD-WACCM), as well as a downward sloping pattern (equator to pole) in the southern hemisphere (SH), and  
40 smaller mean differences (for SD-WACCM) in the northern hemisphere (NH).



1 Figure 5 provides average comparisons for  $\text{N}_2\text{O}$ ; ~~this species is long-lived in the lower stratosphere, which means that good~~  
2 ~~(or poor) model/data agreement in this region can confirm (or deny) accurate model representations of the dynamics. (a good~~  
3 ~~dynamical tracer).~~ While the mean lower stratospheric SH  $\text{N}_2\text{O}$  values are larger for SD-WACCM than for FR-WACCM (bottom  
4 left panel of Fig. 5), the mean absolute fit for SD-WACCM versus MLS is not significantly better. The most significant  
5 climatological differences with respect to the error bars (top two right panels in Fig. 5) are in the upper stratosphere at low  
6 latitudes; in this region, SD-WACCM agrees somewhat better with MLS. However, this is also where the mean abundances  
7 decline rapidly with height towards the limits of the MLS sensitivity. Not too surprisingly, this is also where the SPARC DI  
8 results for  $\text{N}_2\text{O}$  show the largest scatter in terms of percent differences (often exceeding 10-20%, see SPARC, 2017).

9 Finally, the ~~climatological~~ comparisons for  $\text{HNO}_3$  (Fig. 6) reveal very few areas of ~~mean~~-model/data disagreements  
10 ~~significantly~~ outside the systematic uncertainties. However, there is a ~~general~~-model underestimation ~~by both WACCM versions,~~  
11 ~~especially in the polar upper stratosphere; this will be discussed more later. We will see later that there are large recurring~~  
12 ~~model/data differences in the upper stratosphere during certain months.~~ At high latitudes in the lower ~~portion of the~~ stratosphere,  
13 the models tend to overestimate the data. The upper troposphere is where the satellite-based  $\text{HNO}_3$  data have been validated the  
14 least, but there is some evidence for a high MLS bias in this region; ~~based on SPARC DI results~~ (see SPARC, 2017). While this  
15 might explain, ~~at least~~ qualitatively, why the models ~~are observed to~~ underestimate MLS tropical UT  $\text{HNO}_3$  (see Fig. 6), more  
16 work is needed to better evaluate  $\text{HNO}_3$  from models and satellite-derived data ~~sets~~ in this particular region.

17 It is also ~~worth emphasizing differences between interesting to point out~~ modeled and observed seasonal changes in the polar  
18 lower stratosphere over Antarctica. ~~Figure 7 depicts average seasonal changes over the 70°S-80°S region at 46 hPa for~~  
19 ~~2005-2014, using Aura MLS observations and model values for comparison. We wish to emphasize the slope of the early winter~~  
20 ~~decline in HCl, and indeed,~~ we see ~~in Figure 7 that the~~ model HCl values ~~at 46 hPa for 70°S-80°S~~ do not decline as fast ~~in early~~  
21 ~~winter as shown indicated by in~~ the data, even though SD-WACCM tracks the interannual variability better than FR-WACCM  
22 does (see Fig. S4 for the relevant time series ~~from 2005 through 2014~~). ~~Many of the options and U~~ncertainties regarding lower  
23 stratospheric heterogeneous chemistry modeling for SD-WACCM at high latitudes in the polar winter/spring have been discussed  
24 by Solomon et al. (2015); ~~who have pointed,~~ for one specific year (2011), ~~including~~ most of the features ~~shown depicted~~ in Fig. 7.  
25 For our broader ~~time~~-period, we see that the ~~average HCl~~ rate of ~~HCl~~ decline from May to July (dominated by nighttime  
26 conditions) is slower in both ~~the~~-SD-WACCM and FR-WACCM ~~results~~ than the corresponding mean HCl rate of change from  
27 MLS (top left panel of Fig. 7). Groöb et al. (2018) ~~have~~ recently discussed this HCl model/data discrepancy for dark polar vortex  
28 conditions, ~~including the potential impact of numerical diffusion issues in the Eulerian models,~~ in comparison to ~~their~~  
29 simulations using the Chemical Lagrangian Model of the Stratosphere (CLAMS), which shows even larger HCl discrepancies.  
30 These authors discuss ~~some~~-possible mechanisms and uncertainties, and they argue that additional decomposition of  
31 condensed-phase  $\text{HNO}_3$  might play a role, possibly via galactic cosmic ray impacts. Since this rapid decline in HCl occurs during  
32 polar night, ~~these authors point out that~~ this ~~early~~-HCl issue does not lead to much difference in polar ozone loss rates, which  
33 only become significant during sunlit conditions (early spring). Figure 7 confirms that, on average, the SD-WACCM  $\text{O}_3$  decline  
34 and rise match the data well. We also note that FR-WACCM shows smaller-than-observed declines in  $\text{HNO}_3$  and  $\text{H}_2\text{O}$ , whereas  
35 SD-WACCM matches these observations much better. The temperature panel (bottom center) gives a possible reason for these  
36 differences, as T from FR-WACCM is larger by a few degrees during the coldest phase than T from SD-WACCM  
37 (MERRA-based), and larger than the MLS-derived values. This would lead to less irreversible denitrification and dehydration.  
38 The ~~general~~ nature of the ~~Fig. 7~~ results ~~shown in Fig. 7~~ is similar at other lower stratospheric pressures ~~(and for latitudes~~  
39 ~~poleward of 80°S)~~, although there is some variability in the magnitude of the differences. Over the Arctic region (not shown

Here), temperature-related differences are not as ~~systematic or as~~ large as over Antarctica, but similar model/data differences in the early winter rate of ~~HCl~~ decline ~~in HCl~~ exist there also (as mentioned by Grooß et al., 2018).

3 As an addendum regarding the evaluation of models in comparison to data sets, we provide in Appendix A1 the results of a  
4 model grading approach ~~that has been used before in the past~~ (e.g., Douglass et al., 1999, Waugh and Eyring, 2008). We find ~~(see~~  
5 ~~Appendix A1)~~ that this grading method often leads to low grades (see Fig. A1), if applied using systematic uncertainty estimates  
6 from the MLS ~~data characterization work team~~ (Livesey et al., 2018). The model results, as good as they are in many respects,  
7 cannot always match the data closely enough, at least based on such grades (although ~~this~~ grading formulation could ~~also also~~  
8 be reconsidered). As mentioned in the Appendix, the multiplicative error factor (see Equation A1) can be increased (e.g., from 2  
9 to 4) to force these grades (see Fig. A2) to span a more useful range (in the plots). Indeed, we observe similarities between Fig.  
10 A2 (top two panels) and Fig. 1 (middle panels): poorer SD-WACCM performance for pressures  $\geq 100$  hPa, better mid-latitude  
11 results near 30-40 hPa, and poorer performance again near 3 to 5 hPa. Also, we observe the poorest H<sub>2</sub>O grades near 1 hPa in  
12 Fig. A2 (bottom panels), which is similar to the poorer performance in the middle panel of Fig. 3, while the best stratospheric  
13 H<sub>2</sub>O grades are found near 10-20 hPa, which matches the best performance (smallest values) in Fig. 3 (top two panels at right).  
14 In the case of merged data records, ~~we note that~~ it is generally more difficult to estimate systematic errors. The GOZCARDS data  
15 analyses led ~~to conservative (i.e. to possibly somewhat pessimistic)~~ systematic error estimates ~~as a function of latitude and~~  
16 ~~pressure~~ (see Froidevaux et al., 2015), ~~and these that~~ are significantly larger than ~~the systematic~~ error estimates for MLS data  
17 only. ~~There are~~ Other methods ~~that~~ could lead to useful error estimates, through the use of multi-satellite data sets and the  
18 spread between these (see SPARC, 2017), for some species at least. Moreover, when one considers ~~relative variations such as~~  
19 anomaly time series (as done in a subsequent section), it becomes even less clear how to best assign uncertainties in the context  
20 of “error-weighted” grades. ~~Some~~ data records may also drift with respect to others, or with respect to ground-based data, so  
21 that the actual errors will change with time (and possibly ~~with location as well~~), ~~in a difficult to determine way~~. We do not pursue  
22 this more traditional grading approach further here, especially as the two models we are comparing often lie fairly close together.  
23 For multi-model comparisons (which is outside the scope of this work), one could consider how to best apply grading methods  
24 such as the one in Appendix A1, along with other diagnostics such as those discussed here; in the end, the most important aspect  
25 of such analyses ~~may possibly~~ lies in the relative values of ~~the~~ grades or diagnostics for different models.

## 26 4.2 Annual and semi-annual cycles

27 Figure 8 displays the amplitudes of annual and semi-annual variations for MLS ~~O<sub>3</sub> ozone~~ and ~~the corresponding FR-WACCM~~  
28 ~~and SD-WACCM~~ runs for 2005-2014. ~~We obtained~~ These results ~~come~~ from a simple regression fit to the monthly mean ~~time~~  
29 series in each latitude/pressure bin. The primary time dependence of the fitted function is given by additive sine and cosine terms  
30 (with 12-month and 6-month periods), in addition to constant and linear trend terms; the AO and SAO amplitudes are given by  
31 the square root of the sum of the squares of the corresponding fitted coefficients. We see from Fig. 8 that the overall data and  
32 model patterns of AO and SAO variability are quite similar. The ~~O<sub>3</sub> ozone~~ AO amplitudes peak ~~(in ppmv)~~ at mid- to upper  
33 stratospheric levels, with high latitude variations also observed as a result of the effects of winter/spring polar chemistry and  
34 dynamics. ~~The~~ the lower stratospheric peak AO amplitudes are more prominent over the southern polar regions, where stronger O<sub>3</sub>  
35 depletion occurs on a seasonal basis. These MLS O<sub>3</sub> AO patterns are ~~very~~ similar to those obtained by Schoeberl et al. (2008),  
36 using a much shorter ~~time~~ period (Sep. 2004 to Dec. 2006); the same holds for other species (H<sub>2</sub>O and HCl) ~~considered in that~~  
37 ~~work and here~~. The observed SAO amplitude for O<sub>3</sub> exhibits strong peaks in the upper stratosphere, both in the tropics and at  
38 high latitudes. The anti-correlation between O<sub>3</sub> and temperature as a result of temperature-dependent photochemical production  
39 and loss terms for O<sub>3</sub> has long been known to cause most of the O<sub>3</sub> variability in the upper stratosphere (~~see~~ Perliski et al., 1989;

in relation to the AO and the SAO). The AO and SAO amplitudes obtained in that and other past studies (e.g., [see Ray et al., 21994](#)) are [very](#) similar to the [amplitude](#) patterns shown here. If we look more closely (and based on AO amplitude ratio plots not shown here), there are often O<sub>3</sub> AO amplitudes 20-80% larger than those derived from MLS data for both WACCM runs in the lower stratosphere (from 50 hPa at low latitudes to 215 hPa at high latitudes); [such a model overestimates](#) of the AO amplitude [whereas](#) shown in [the time series example of](#) Fig. 2. [More generally,](#) Outside of this region, we observe somewhat closer fits to the MLS AO amplitudes for the SD-WACCM version, [and](#) but both models track the data and each other well, with AO amplitudes typically within [a range of](#) ~25% [of the MLS AO amplitudes](#). For the Antarctic lower stratosphere, the timing and magnitude of the seasonal recovery after the ozone hole plays a role, and [in this respect,](#) we have observed that SD-WACCM generally fits the MLS data better than FR-WACCM does. In the tropical upper stratosphere, where the SAO is larger than the AO (see Fig. 8), the SD-WACCM results match the observed SAO amplitudes slightly better than those from FR-WACCM. Despite the existence of a few model/data differences, these AO and SAO amplitude comparisons, coupled with our examination of model/data amplitude ratio plots as well as the time series (which include the phase information), do not elicit major concerns regarding the model characterization of the primary processes expected to govern these modes of O<sub>3</sub> variability. The study of dynamical forcing mechanisms in relation to such modes continues to be an active area of research (e.g., see Ern et al., 2015, [and Smith et al., 2017](#)) [for a discussion of wave driving and the SAO](#). Also, [Smith et al. \(2017\) have recently shown that analyses of Aura MLS geopotential height data lead to derived tropical zonal mean winds that agree well with those derived from Sounding of the Atmosphere using Broadband Emission Radiometry \(SABER\) geopotential heights, and with direct wind data, thus enhancing our knowledge of tropical atmospheric dynamics \(including the SAO and QBO\).](#)

For H<sub>2</sub>O, a similar overview of the AO and SAO amplitudes is given in Fig. 9, which covers the [vertical](#) range from 100 to 200.01 hPa. A peak in these amplitudes resulting from [the](#) seasonal downward transport before the winter, followed by wintertime dehydration, is observed in the lower stratospheric southern polar region; we note that [the](#) SD-WACCM results match this feature better than [the](#) FR-WACCM [simulation](#) does. Other [interesting](#) features include the southern hemisphere's upper stratospheric AO peak in the extra-tropical [sal](#) region. This has been seen by many satellite [based](#) measurements ([see, as discussed in the comparisons by](#) Lossow et al., [\(2017a\)](#). Lossow et al. (2017b) [have](#) explained this "island" feature in more detail, [with the help of model simulations and analyses](#); they argue that vertical advection tied to the upper branch of the Brewer-Dobson circulation largely explains the seasonal highs (lows), via downwelling (upwelling). They also show that an AO maximum is observed as well in other species in roughly the same region, including in N<sub>2</sub>O MIPAS data; [We](#) confirm this behavior (see also Fig. S5) from the N<sub>2</sub>O AO amplitude feature observed in MLS data, as well as in the [model](#) WACCM runs (and more so in SD-WACCM). The derived AO and SAO amplitude patterns in H<sub>2</sub>O from Lossow et al. (2017a) are consistent with what we [find](#) [show here](#); this includes the peak values in the upper stratosphere and mesosphere, attributed to [the](#) combined effects of photochemistry and vertical transport. For ozone, a dominant feature in the SAO amplitude exists in the tropical upper stratosphere; see Lossow et al. (2017a) for a brief review of past work explaining such dynamically-driven features for H<sub>2</sub>O. While there is generally a good level of model/data agreement in the main H<sub>2</sub>O AO and SAO patterns, both WACCM comparisons tend to underestimate observed AO and SAO amplitudes in the lower stratosphere and overestimate AO amplitudes in the SH mesosphere, while slightly underestimating [the](#) mesospheric SAO amplitudes in both polar regions. The largest amplitude differences reach a factor of two, in places, for the lower stratospheric model underestimates, [which cannot be caused by slight model underestimates of average MLS H<sub>2</sub>O \(as seen in Fig. 3\)](#); however, we note that [this the lower stratosphere](#) is also the region where AO and SAO amplitudes are smallest (typically < 0.1 ppmv).

[Turning briefly to the other species discussed here,](#) For N<sub>2</sub>O, we [have](#) already mentioned the existence of the upper stratospheric AO peak (the "island" feature described by Lossow et al., 2017b) in the southern hemispheric extra-tropical region.



1 This is similar to the H<sub>2</sub>O AO amplitude maximum feature, but the N<sub>2</sub>O seasonal variations are anti-correlated with H<sub>2</sub>O, as  
2 demonstrated by Lossow et al. (2017b), using [Michelson Interferometer for Passive Atmospheric Sounding \(MIPAS\)](#) data (and as  
3 is also apparent in [the](#) MLS time series, not shown here). Furthermore, we observe in Fig. S5 a somewhat better match in the AO  
4 and SAO N<sub>2</sub>O amplitude patterns for SD-WACCM than for FR-WACCM versus MLS, in particular for tropical to southern  
5 mid-latitudes. ~~We note that~~ [this](#) is also manifested in better time series fits for SD-WACCM, besides the closer match in  
6 average values; ~~as mentioned in the Introduction,~~ this is what one would generally expect ~~ferom~~ [these](#) two model versions. ~~We~~  
7 ~~saw also in Fig. 5 that FR-WACCM overestimates the average values of upper stratospheric tropical N<sub>2</sub>O.~~  
8 For HCl and HNO<sub>3</sub>, the AO and SAO amplitudes are dominated by the variations at high latitudes (see Figs. S6 and S7). The  
9 model HCl upper stratospheric AO and SAO amplitudes match up fairly well with the observed amplitudes, despite the  
10 aforementioned issues relating to MLS upper stratospheric HCl trends. ~~The NH lower stratospheric polar variations are~~  
11 ~~somewhat underestimated by the models, and more so by FR-WACCM run, which (based on time series plots) exhibits larger~~  
12 ~~values at the low end and smaller values at the high end of the HCl summer to winter cycle.~~ For HNO<sub>3</sub>, the main AO and SAO  
13 model features follow the MLS patterns, although there is a model underestimation of the amplitudes in the upper stratospheric  
14 polar regions, because these models do not properly capture the observed recurrences of enhanced HNO<sub>3</sub>, as mentioned earlier  
15 (see also Sec. 4).

## 165 Time series comparisons

### 17 5.1 Anomaly time series: fits and variability

#### 185.1.1 Fits

19 We wish to evaluate which of the two WACCM models provides a better match, or fit, to the temporal variations in observed  
20 deseasonalized anomalies. We would expect SD-WACCM to generally fit these anomalies better than FR-WACCM. ~~We analyze~~  
21 ~~the model and data deseasonalized anomaly time series, obtained by differencing each month's zonal mean value from the~~  
22 ~~long-term averages for the same month.~~ We ~~then~~ calculate a diagnostic of model fit to the data, by using the RMS differences  
23 between these deseasonalized model and data series, and normalize by dividing this quantity by the RMS of the data anomalies  
24 themselves. ~~A~~ [Thus,](#) a diagnostic value ~~that is~~ much less than unity means that the match to the ~~time~~ series is much smaller than  
25 the typical variability; this also implies a good fit to ~~the~~ observed anomalies. In ~~the~~ Appendix (A2), we provide the mathematical  
26 expression for this “RMS difference diagnostic”. A better model fit to the observ~~ation~~~~sed anomaly series~~ will be  
27 ~~given~~ [represented](#) by a smaller “RMS difference diagnostic” value. We also calculate the ~~standard~~ (Pearson) correlation  
28 coefficients, R, between model and data anomalies, and we use R<sup>2</sup> as another measure of “goodness of fit” for the models. The  
29 first diagnostic is unitless and does not depart too much from the 0 to 1 range; R<sup>2</sup> is limited to the 0 to 1 range, with larger values  
30 indicating a higher degree of linear correlation. We also use these two diagnostics together, by calculating the ratio of R<sup>2</sup> over the  
31 RMS difference diagnostic to obtain a “combined diagnostic”. This diagnostic could have a large value (~~and~~ a good model result)  
32 from both a large R<sup>2</sup> ~~value~~ (in the numerator), meaning a high correlation with observed anomalies, and a small RMS difference  
33 (in the denominator), implying a good fit ~~to these observations~~. This ~~also~~ tends to amplify ~~the~~ differences between two model  
34 comparisons to the same data ~~series~~. An ideal model fit would correlate tightly in time to observed oscillations, but also exhibit  
35 the right magnitude ~~for these variations~~ by “hugging” the anomaly series ~~without being off in magnitude~~. Indeed, two model  
36 series could have oscillations in phase with data variations and ~~thus~~ the same R<sup>2</sup> values, but with different amplitudes (~~and~~  
37 ~~different~~ overall fits); conversely, two model series could have different R<sup>2</sup> values versus observations, if one is more out of  
38 phase than the other, but they could still produce similar RMS difference fits.

1 In Figure 10, we display latitude/pressure contour plots of the above diagnostics for FR-WACCM and SD-WACCM  
2 O<sub>3</sub> anomalies in relation to MLS anomalies for 2005-2014. We immediately see from the top two panels that the SD-WACCM  
3 RMS difference diagnostic values (in the 0.2 to 1 range in the stratosphere) are smaller than those from FR-WACCM  
4 (between with typical values between about 0.8 and 1.2). Values of R<sup>2</sup> values, between about 0.7 and 0.95 in most of the  
5 stratosphere, (middle panels) show that SD-WACCM also correlates very well with the observations from 2005-2014; R<sup>2</sup> with  
6 values typically between 0.7 and 0.95 in most of the stratosphere, and is somewhat smaller/poorer correlations in the UTLS. The  
7 FR-WACCM ozone O<sub>3</sub> series tend to correlate fairly well with the data at low to mid-latitudes for pressure levels between about  
8 870 and 7 hPa, which is also where the FR-WACCM RMS difference diagnostic shows better performance than in other regions,  
9 and (as an explanation) where the dynamics are nudged (to tropical winds) in a similar way as for SD-WACCM. However,  
10 FR-WACCM shows poor performance (almost zero correlation) at high latitudes and in all of the uppermost stratosphere.

11 Figure 11 shows sample O<sub>3</sub> series for the upper stratosphere (at 2.2 hPa) for 0°-10°N as well as 40°N-50°N. Although the  
12 tropical series show good correlations overall for both models versus data, some of the details in the observed semi-annual  
13 peaks and the interplay between the AO, SAO, and the quasi-biennial oscillation (QBO) are better followed by the SD-WACCM  
14 curve. The differences in O<sub>3</sub> amplitude and phase are more clearly displayed in the bottom (left) panel, which shows the  
15 deseasonalized anomalies. Diagnostic values provided in this panel for both models distinctly show that SD-WACCM performs  
16 better than FR-WACCM here, with a much larger R<sup>2</sup> value and a smaller RMS difference diagnostic value, and hence, a much  
17 better (larger) combined diagnostic value. The same comments apply to the right two panels of Fig. 11, which showcase the NH  
18 mid-latitudes at 2.2 hPa. In the high latitude lower stratosphere, the poorer FR-WACCM results in Fig. 10 are generally caused  
19 by time series that are observed to be less in-phase with the polar winter/spring variations, as well as by more departures in the  
20 variation magnitudes of such variations; we will return later to sample polar time series for ozone and other species. The bottom  
21 two panels in  
22 Fig. 10 amplify the model differences between the models, with values of the combined diagnostic values mostly below 1 in  
23 most regions for FR-WACCM, but values between 1 and 3 for the whole stratosphere in the SD-WACCM case. The more  
24 realistic dynamics in SD-WACCM, coupled with the same chemistry as FR-WACCM, allow for better SD-WACCM fits to the  
25 data, as shown quantitatively in Figs. 10 and 11. These plots also point to poor upper tropospheric results for both models (with  
26 SD-WACCM slightly better) in the upper troposphere, albeit with somewhat better results for SD-WACCM, although this is not  
27 the focus of this paper.

28 We now turn to Figure 12 for a description of the same diagnostics as above, but for model/data H<sub>2</sub>O comparisons, and  
29 a top pressure level at 0.01 hPa. We observe, again, that the diagnostics of fit are usually much better for SD-WACCM, which  
30 yields R<sup>2</sup> values of 0.6 to 0.9 and RMS difference diagnostic values below 1 for most of the stratosphere and lower mesosphere,  
31 and therefore better combined diagnostic results than FR-WACCM as well. The SD-WACCM diagnostics themselves are  
32 poorest/worsen in the upper mesosphere and at in the high latitude regions near 215 hPa. In the upper stratosphere and upper  
33 mesosphere, the better diagnostic results for SD-WACCM are seen in the time series (not shown here) as a better match versus  
34 the MLS H<sub>2</sub>O series anomalies in terms of the interannual variability at all latitudes, as well as for some seasonal peaks at high  
35 latitudes. We interpret this as the result of a better dynamical representation of the mesosphere for SD-WACCM. We note  
36 that the high-quality representation of mesospheric composition by SD-WACCM is also demonstrated in comparisons to  
37 measurements of CO profiles above Kiruna, Sweden, by MLS and the Kiruna Microwave Radiometer (Ryan et al., 2018). For  
38 H<sub>2</sub>O near 200 hPa, poor fits at high latitudes occur where MLS data is known to exhibit have a significant dry bias versus sonde  
39 and Atmospheric Infrared Sounder (AIRS) data, as discussed previously in MLS data documentation (Livesey et al., 2018), as  
40 well as by Vömel et al. (2007) and Davis et al. (2016). MLS H<sub>2</sub>O is low by a factor of several here versus the WACCM runs

1(which show values of 10-60 ppmv). The data variability may also be affected by the dry bias retrieval ~~(and oscillation)~~ issues at  
2the lowest altitudes ~~at for these~~ high latitudes ~~regions~~, where observed anomalies are more poorly tracked by the models; a  
3planned future update to the MLS H<sub>2</sub>O retrievals ~~will might~~ help to mitigate this discrepancy.

4 ~~Figure 13-Figure S8~~ displays results similar to Fig. 10 but for stratospheric HCl. SD-WACCM HCl results versus MLS are  
5~~also generally~~ superior to those from FR-WACCM and show high correlations ( $R^2 > 0.7$ ) in most of the lower stratosphere, with  
6somewhat poorer results in the upper stratosphere, where the RMS difference fits as well as the combined diagnostic are poor for  
7both models. ~~We trace this~~ upper stratospheric issue ~~is caused by a lack to a known~~ data problem in this region, where MLS  
8HCl trends are ~~known to be~~ too flat ~~(close to zero)~~ ~~and the models depart more from the observations (down to about 10 hPa)~~;  
9~~notably in the RMS difference diagnostic~~. Poorer correlations are observed for FR-WACCM at high latitudes, ~~which we will~~  
10~~return to later for the lower stratosphere~~, but even ~~fairly~~ subtle differences in the timing (phase) can lead to ~~significantly~~ poorer  
11correlations. ~~The~~ poorer fits at 100 hPa in the deep tropics are related to a large underestimate of the ~~mean~~ data, which may be  
12caused, ~~at least~~ in part, by a ~~n-MLS~~ high bias ~~from MLS~~ (Froidevaux et al., 2008b), but more so, for  $R^2$ , by ~~some~~ out-of-phase  
13~~model~~ variability ~~as well~~. ~~It will be difficult to resolve this issue until more realistic (lower) MLS HCl values are obtained, and as~~  
14~~the phasing may also change with new retrievals~~.

15 For ~~the dynamical tracer~~ N<sub>2</sub>O, we also observe in Fig. ~~S9+4~~ (showing model comparisons to the 68 to 1 hPa observations  
16from the 190 GHz MLS N<sub>2</sub>O band for 2005-2014) that SD-WACCM fits the data better than FR-WACCM, in both the  $R^2$  and the  
17RMS difference categories. FR-WACCM exhibits poor results in the upper stratosphere and at high latitudes in the lower  
18stratosphere. Both models exhibit poorer RMS fits and poorer correlations in the tropical lower stratosphere. Partly, this appears  
19to be caused by a model underestimation of the MLS N<sub>2</sub>O variability in this region, with some QBO phasing differences as well.

20 HNO<sub>3</sub> results (see ~~Fig. S10)Fig. 15~~) show, again, better fits to ~~the~~ stratospheric MLS data from SD-WACCM than from  
21FR-WACCM, and poor performance from FR-WACCM at high latitudes. Both models do poorly in the upper stratosphere, and  
22Fig. 136 illustrates the magnitude of this discrepancy in the region (3.2 hPa and 70°S-80°S) where it reaches its maximum, ~~in~~  
23~~terms of mixing ratio values~~. Since its launch, MLS has been observing very large values of HNO<sub>3</sub> in the upper stratosphere,  
24mostly in the polar regions during winter. The WACCM runs used here do not ~~have the right chemistry in the mesosphere and~~  
25~~upper stratosphere include the necessary photochemical pathways, including the effects of energetic particle precipitation on ion~~  
26~~chemistry in the upper atmosphere~~, to adequately represent such variations; implementation of the ~~many~~ necessary missing  
27chemical reactions has not made its way into most CCMs. The solution ~~seems is believed to be~~ tied to ion cluster chemistry  
28during energetic particle precipitation (EPP) events, which includes large solar proton events (SPEs) as well as more regular  
29auroral ~~type~~ activity. ~~The study of upper stratospheric NOx enhancements tied to auroral activity and other EPP events has a~~  
30~~long history based on other satellite measurements and modeling (e.g., Kawa et al., 1995; Callis and Lambeth, 1998; Siskind et~~  
31~~al., 2000; Orsolini et al., 2005; Randall et al., 2007; Reddman et al., 2010). Yearly upper stratospheric enhancements in~~  
32~~ground-based microwave retrievals of HNO3 profiles over Antarctica were discussed by de Zafra et al. (1997) and de Zafra and~~  
33~~Smyshlaev (2001). Direct high altitude EPP effects enhance NOx, which can propagate downward in polar winter and increase~~  
34stratospheric NOx and HNO<sub>3</sub> via this indirect effect and conversion of N<sub>2</sub>O<sub>5</sub> on ion water clusters (Böhringer et al., 1983). Large  
35polar enhancements in upper stratospheric HNO<sub>3</sub> ~~(and other species)~~ were observed by the ~~Michelson Interferometer for Passive~~  
36~~Atmospheric Sounding (MIPAS)~~ after ~~significant~~ SPE activity in 2003; ~~as presented in several papers~~ (Orsolini et al., 2005; von  
37Clarmann et al., 2005; Lopez-Puertas et al., 2005; Stiller et al., 2005). More complex modeling ~~using modified chemistry and~~  
38~~transport-related effects (e.g., e.g., Jackman et al., 2008; Funke et al., 2011; Verronen et al., 2011; Kvissel et al., 2012; Andersson~~  
39~~et al., 2016) has produced EPP-induced enhancements in high latitude HNO3, with related improvements in model/data~~  
40~~comparisons into the mesosphere, and in comparisons of other species~~. Regarding ~~the~~ low latitude upper stratospheric HNO<sub>3</sub>

comparisons, the poorer model fits (even for SD-WACCM) seem to be caused at least in part by more noisy and variable MLS data, under low HNO<sub>3</sub> conditions. Finally, tropical MLS HNO<sub>3</sub> data at 147 and 215 hPa are not fit well by either model, as the data exhibit significant seasonal oscillations between 0.2 and 0.5 ppbv (with larger amplitudes occurring at 147 hPa), whereas model values are smaller than 0.1 ppbv. There have been very few tropical UT validation comparisons for HNO<sub>3</sub> (see Santee et al., 2007), but in situ HNO<sub>3</sub> data from an airborne chemical ionization mass spectrometer have shown indicated that UT HNO<sub>3</sub> tropical values/mixing ratios are mostly below 0.1-0.2 ppbv (Popp et al., 2007, 2009).

We saw in Sect. 4 that there are generally good climatological comparisons between SD-WACCM and MLS variations over the Antarctic region during polar winter/spring, except for the rate of HCl decline in during early winter; also, poorer results are obtained by FR-WACCM. We also also find (not too surprisingly) that interannual differences in lower stratospheric chemical evolution over Antarctica are not as faithfully reproduced by FR-WACCM as by SD-WACCM, although we do not show more related details here. This is shown by the anomaly time series comparisons of For a more in-depth look at the lower stratosphere over Antarctica, Fig. S11 Fig. 17 displays anomaly time series comparisons for O<sub>3</sub> and temperature at 68 hPa and 70°S-80°S, along with the associated model diagnostic values, along with the diagnostic quantities that we are using. We note (top panel) the poorer O<sub>3</sub> correlations for FR-WACCM ( $R^2 = 0.22$ ) than for SD-WACCM ( $R^2 = 0.89$ ), as well as the poorer RMS difference values (0.89 for FR-WACCM versus 0.33 for SD-WACCM), with correspondingly poorer results in the FR-WACCM combined diagnostic (0.25) versus SD-WACCM (2.67). Similar differences in the diagnostics are obtained in the bottom panel for temperature (T) anomalies, showing excellent agreement between SD-WACCM and retrieved temperature anomaly time series from MLS, both for the  $R^2$  and RMS fit diagnostics. One should not expect the free-running model, even if it has certain tropical QBO-related constraints that mimic those from the SD version, to perform as well in terms of predicted high latitude temperatures as the SD-WACCM run, driven by realistic (MERRA) meteorological winds, as well as temperatures, which match up closely to the observed temperatures from MLS. These plots also show that springtime anomalies dominate the variability, with warmer than usual springs (in during October in particular), such as in 2012 and 2013, leading to more positive ozone anomalies, i.e. less ozone depletion; conversely, years (2006, 2008, 2010, 2011) with colder than usual spring time conditions are correlated with negative ozone anomalies and more depleted conditions. Other factors (besides local mean temperatures) can significantly influence interannual variability and longer-term ozone loss over Antarctica; this includes the strength of the vortex, total chlorine abundances, the phase of the QBO, tropospheric wave driving, the timing of warming events, and the impact of aerosols (e.g., Scaife et al, 2005; Parrondo et al., 2014; Strahan et al., 2015; Langematz et al., 2016; Solomon et al., 2016). We saw in Sect. 4 that there are generally good comparisons between SD-WACCM and MLS variations over the Antarctic region during polar winter/spring, except for the rate of HCl decline during early winter; also, poorer results are obtained by FR-WACCM. We also find (not too surprisingly) that interannual differences in lower stratospheric chemical evolution over Antarctica are not as faithfully reproduced by FR-WACCM as by SD-WACCM, although we do not show more related details here.

### 335.1.2 Variability

Given our expectations that SD-WACCM would match observed time series of multiple species up better than FR-WACCM to the observed time series of multiple species, and having demonstrated this in the previous section, we turn to what should be a more fair comparison between the two sets of model results, namely the variability aspect. We calculate the ratio of model to data interannual variability, as obtained from the root mean square values of deseasonalized monthly anomaly time series, expressed as a percent of climatological (full period) means; a simple linear trend is first subtracted from the time series, so that the variability comparisons remove any significant trend differences. We do this for the MLS data considered previously (starting in



12005), but also for longer-term time series, using the GOZCARDS data ~~records~~. The models are sampled ~~monthly~~ following the 2monthly sampling of the data sets (but not at the daily sampling level of detail); sampling plays a role for the longer-term 3(merged) GOZCARDS data, which are comprised of some unevenly-sampled occultation data records (depending on latitude and 4pressure). Figure ~~14-18~~ compares the ~~O<sub>3</sub>ozone~~ variability ratios (~~for-models versus data~~) using as a reference the MLS 2005-2014 5data (top two panels), and the GOZCARDS merged ozone (1992-2003) data (bottom two panels). To first order, we observe 6similar patterns for both time periods. The SD-WACCM variability is generally within 10-20% of the data variability (ratio 7values between 0.8 and 1.2). The FR-WACCM variability is ~~generally~~ somewhat smaller than the data variability in the polar 8regions and in the upper stratosphere. ~~In a recent study~~, Bandoro et al. (2017) also found that the free-running version of 9WACCM displays ~~somewhat~~ smaller ozone variability in the upper stratosphere, both for shorter-term and longer-term 10variabilities, than the observed variability, based on the merged SWOOSH O<sub>3</sub> data record. In the lower stratosphere at low to 11mid-latitudes, ~~we observe that~~ FR-WACCM exhibits slightly larger variability than the data, whereas SD-WACCM shows 12slightly smaller variability than the data; Bandoro et al. (2017) found that FR-WACCM slightly overestimates the decadal 13variability in this region. ~~If a free-running model exhibits significant differences versus observed variability, this has some 14implications regarding predictions of trend detection feasibility, as free-running models are used for such predictions; indeed, 15trend error bars increase if the variability increases.~~ We also see in Fig. ~~14-18~~ that at high latitudes, FR-WACCM ~~tends to~~ 16underestimates the actual variability, ~~which means that interannual swings in lower stratospheric ozone, in particular, are more 17muted in the model~~, whereas this is less of an issue for SD-WACCM, with its more realistic representation of the dynamics; as an 18example, refer to Fig. ~~136~~, for model and data anomalies at 68 hPa and 70°S-80°S.

19 A similar overview of model/data variability ratios is provided for H<sub>2</sub>O in Fig. ~~15-19~~, ~~for which covers both~~ the mesosphere 20and the stratosphere. ~~Here in this case~~, while the variability from SD-WACCM is ~~somewhat~~ closer than that from FR-WACCM to 21the data variability during both ~~time~~ periods, the tendency for both models is to underestimate the observed variability, with 22FR-WACCM ~~showing~~ exhibiting a stronger underestimate in the upper stratosphere and mesosphere. ~~Such a variability 23underestimate for FR-WACCM implies that any trend detection in the future will require more years of data in the real 24atmosphere, if H<sub>2</sub>O continues to have larger variability than model expectations. Also, this will translate into smaller estimated 25uncertainties in the model-derived trends in comparison to the observations (as we will see in the next section on trends).~~ The 26FR-WACCM underestimate of the variability is sometimes by as much as a factor of two, although it is more typically by ~30% 27(see Fig. ~~15-19~~). For a ~~time~~ series with RMS variability about the fit represented by  $\sigma_t$ , the number of years needed to statistically 28detect a trend is proportional to  $\sigma_t^{2/3}$  (Weatherhead et al., 1998), and thus, an increase of  $\sigma_t$  by factors of 1.3, 1.5, and 2.0, for 29example, will lead to an increase in the number of years for trend detection by factors close to 1.2, 1.3, and 1.6, respectively. In 30the tropical lower stratospheric case, H<sub>2</sub>O and temperature values and anomalies for 1992-2014 are shown for 100 hPa and 3110°S-20°S in Fig. ~~16-20~~. Again, we note the smaller-than-observed variability in ~~the~~ model H<sub>2</sub>O oscillations, with SD-WACCM 32tracking the data better. This correlates with the temperature series, where smaller variability is seen in FR-WACCM, in 33comparison to SD-WACCM (which follows ~~the~~ MERRA temperatures); we also note that FR-WACCM temperatures are 34somewhat larger (by ~1K on average) than SD-WACCM temperatures in this region. This poorer tracking of cold point 35temperatures for FR-WACCM (Fig. 16) has likely implications for poorer stratospheric trend results for FR-WACCM H<sub>2</sub>O as 36well, as we will actually observe in the trends section. It is well known that stratospheric entry level H<sub>2</sub>O is governed by 37temperatures near the tropopause “cold trap”; the monthly average variations shown here are similar to what has been shown in 38past H<sub>2</sub>O work (e.g., Randel et al., 2004, 2006; Randel and Jensen, 2013). Brinkop et al. (2016) used model runs from both 39free-running and nudged simulations to analyze the impacts of different constraints, including sea surface temperatures (SST) 40and meteorological fields, on “sudden” drops in ~~H<sub>2</sub>O water vapor~~; they found that several of these factors play a role in the H<sub>2</sub>O

1variations, including the timing of ENSO and SST variability, the phasing with the QBO, cold point temperatures, as well as the  
2correct dynamical model state. Many other analyses of the relation between entry level H<sub>2</sub>O, tropopause temperatures, transport,  
3and convection have been carried out previously (e.g., Holton and Gettelman, 2001; Jensen and Pfister, 2004; Fueglistaler and  
4Haynes, 2005; Rosenlof and Reid, 2008; Read et al., 2008; Schoeberl et al., 2013). Our point here is that the WACCM H<sub>2</sub>O  
5anomaly series underestimate the observed variability. We note [also](#) that this model underestimate exists if we calculate relative  
6variability using a maximum minus minimum range from yearly average anomalies rather than monthly averages; ~~the resulting~~  
7~~variability ratio patterns (not shown) are similar, overall, to the contour plots of Fig. 19.~~ We provide a global view of lower  
8stratospheric variability differences (models versus data) in the anomaly ~~time~~-series comparisons at 83 hPa for all latitude bins in  
9Fig. S128. This also shows that the observed interannual changes in H<sub>2</sub>O are ~~clearly~~ better followed by ~~the~~-SD-WACCM-~~time~~  
10~~series~~ than by FR-WACCM, including the drop in H<sub>2</sub>O after 2011 (see Urban et al., 2014). While lower stratospheric H<sub>2</sub>O  
11variability is underestimated by SD-WACCM by ~20%, the ~~actual~~-correlation between SD-WACCM and ~~the~~-observed anomalies  
12is very good (as was shown in Fig. 12).

13 For HCl, we show the (detrended) variability ratios in Fig. [1721](#). The observed HCl variability is fairly well matched (within  
14~20%) by both models in the MLS time period, with an edge given to SD-WACCM. The observed variability is often  
15underestimated (by ~30%) by both FR-WACCM and SD-WACCM in the earlier period (1992-2003). We believe that the  
16HALOE sampling plays a role in this, i.e. even if we limit the model comparison (as we do here) to just the same months as  
17when HALOE observations occurred, incomplete sampling in latitude and time can lead to differences versus a fully sampled  
18model (see Toohey et al., 2013), and more so in the polar regions where the HCl variability is large. In the upper stratosphere, the  
19variability ratios are comparable to or somewhat smaller than those in the middle stratosphere, and there is a 20-30%  
20underestimate of the observed variability, which is based on HALOE HCl observations for ~~the~~-1992-2003-~~period~~. There have  
21been difficulties in fully understanding (or modeling) observed upper stratospheric HCl variations before the declining phase that  
22started after about 2000 (Waugh et al., 2001); see also Sect. 5. ~~For~~ 2005-2014, SD-WACCM actually matches the upper  
23stratospheric MLS variability fairly well, although these variability values are small. There have been difficulties in fully  
24understanding (or modeling) observed upper stratospheric HCl variations before the declining phase that started after about 2000  
25(Waugh et al., 2001); see also Sect. 5.

26 ~~To complete this discussion of variability,~~ ~~We~~ [also](#) show the ratios of model to data variability for stratospheric HNO<sub>3</sub>  
27(2005-2014) and N<sub>2</sub>O (2005-2012) in Fig. [S1322](#). We already discussed the issues with missing model chemistry for upper  
28stratospheric HNO<sub>3</sub> variability, as well as the low signal-to-noise issue for HNO<sub>3</sub> data at low latitudes in this region (~~see bottom~~  
29~~two panels, showing low variability ratios there~~). There is reasonably good agreement in the HNO<sub>3</sub> variability between  
30SD-WACCM and MLS for the lower to mid-stratosphere, while FR-WACCM generally overestimates the HNO<sub>3</sub> variability in  
31this region. Fig. [S1322](#) shows N<sub>2</sub>O results ~~extending~~-down to 100 hPa. Here, ~~the~~-MLS N<sub>2</sub>O-640 data (from the 640 GHz  
32radiometer) for 2005-2012 are used; these retrievals were curtailed in the first half of 2013 as a result of degradation in the 640  
33GHz radiometer signal chain. Based on results shown in SPARC (2017), there appears to be good agreement in the tropical  
34interannual variability comparisons for N<sub>2</sub>O at 100 hPa between MLS and other satellite-derived results. The lower stratospheric  
35N<sub>2</sub>O time series behave more smoothly at low latitudes in the models than in the observations. The interannual variability in the  
36MLS N<sub>2</sub>O measurements there is somewhat smaller than the standard deviations in monthly mean N<sub>2</sub>O values (of ~~order~~-20-30  
37ppbv). The MLS N<sub>2</sub>O measurement noise itself for a monthly zonal mean (made up of about 5000-6000 profiles) should be less  
38than 1 ppbv. Smoothing the model in the vertical domain to better match the MLS vertical resolution would not lead to a better  
39fit to the observed variability. However, we should keep in mind that the MLS-derived N<sub>2</sub>O variability is a small percentage (<  
403%) of the monthly zonal mean N<sub>2</sub>O abundances. In summary, SD-WACCM shows some underestimate of the observed lower

1stratospheric tropical variability for all the species considered here, except for  $\text{HNO}_3$ ; FR-WACCM does so also for 3 species  
2( $\text{H}_2\text{O}$ ,  $\text{HCl}$ , and  $\text{N}_2\text{O}$ ). It may be that some of the larger variability in the measurements arises from effects not tied just to MLS  
3radiance noise issues, or from variability caused by the proximity to the tropopause for measurements with finite vertical  
4resolution; WACCM could also be genuinely underestimating the actual atmospheric variability near the tropopause (for  
5unknown reasons).

## 6      5.2      Trends

7      In this section, we discuss how the WACCM runs compare to stratospheric observations when it comes to trends, from fairly  
8short-term trends (from the Aura MLS time period) to longer-term trends based on comparisons with  $\text{O}_3$ ,  $\text{H}_2\text{O}$ , and  $\text{HCl}$   
9GOZCARDS data records (see Sect. 2 and Froidevaux et al., 2015). Trend analyses have their own complexities in terms of  
10analysis methods and uncertainty estimates. For example,  $\text{O}_3$  trend assessments have had to deal with trend estimates from  
11different long-term data records, each with its own characteristics (Tummon et al., 2015; WMO, 2014; Harris et al., 2015;  
12Steinbrecht et al., 2017; Ball et al., 2017, 2018). This kind of analysis is especially difficult when investigating trends from time  
13series with high variability compared to the size of the change over time, which is certainly an issue for the lower stratosphere ~~in~~  
14particular. ~~Also, g~~Global modeling efforts have ~~also~~ led to improved characterizations of the expected ~~long-term impact of~~  
15different forcings, including the combined and separate impacts on ozone profiles of long-term changes in halogen source gases  
16and greenhouse gases (WMO, 2014).

17      Here, we focus mostly on ~~whether we obtain significant differences between~~ trend results from WACCM and ~~from~~  
18observations, given the application of the same analysis methods for the ~~different~~ three sets of time series, for ozone and for other  
19species. We have applied multiple (or multivariate) linear regression (MLR) to the time series of deseasonalized anomalies from  
20the data, FR-WACCM, and SD-WACCM. In the Appendix (A3), we provide more details regarding the regression model, which  
21includes commonly used additive functional terms, namely a linear trend and a constant term, cosine and sine functions with  
22annual and semi-annual periodicities, as well as functions describing well known variations arising from the QBO and the El  
23Niño southern oscillation (ENSO); ~~the same functions are applied to fit the model anomaly time series as well.~~ Examples of  
24observational time series from merged ozone observations for 1998 through 2014 are provided in Fig. A3, along with the fits to  
25the series and the linear components (trends). Given the use of fairly short-term time series here (~~e.g.~~, Aura MLS data alone), we  
26have not included a solar cycle component in the fits, as it can be highly correlated with a linear trend, and more than one 11-yr  
27cycle would be useful to better enable a separation of this signal. We also discuss our methodology for trend error evaluations in  
28the Appendix (A3). We use a block bootstrap method, like the approach of Bourassa et al. (2014) for their trend analyses of  
29ozone from the OSIRIS retrievals. We use random resampling of the residuals in yearly blocks (with 20,000 samples) in this  
30Monte Carlo approach to estimating errors, and we display the trend error bars as  $2\sigma$  values (which is very close to the 95%  
31bounds on the distribution of linear trend results). Such calculations often lead to significantly larger error bars than more  
32standard methods, which neglect the autocorrelation of residuals. ~~Again, we use the same regression model fits to extract trends~~  
33~~from both WACCM and observed time series; error bar calculations are also applied the same way to all the time series.~~

34      For ozone, we give an overview in Fig. 1823 of percent deseasonalized anomaly time series (~~expressed as a percent of~~  
35~~long-term means~~) for 3 latitude bins (northern mid-latitudes, tropics, and southern mid-latitudes) and 2 pressure levels (3.2 hPa  
36for upper stratosphere, 68 hPa for lower stratosphere). The series were ~~first~~ deseasonalized in  $10^\circ$  latitude bins and then  
37averaged. The GOZCARDS data ~~record~~ used here (version 2.20) is an update to the original (version 1.01) record (Froidevaux et  
38al., 2015), as mentioned in Sect. 2. Fig. 1823 shows generally good agreement between the various time series, although if one  
39looks carefully, SD-WACCM is generally closer to the observational time series than FR-WACCM is, as one might expect from

1previous considerations of goodness of fit and variability; also, percent variability is larger in the lower stratosphere than in the  
2upper stratosphere (~~note the y-axis range difference for these regions~~), thus rendering trend detection more difficult at lower  
3altitudes. We compare in Fig. 1924 the ozone profile trend results from MLS data alone, from ~~the period~~ 2005 through 2014, to  
4those from FR-WACCM and SD-WACCM, for the 3 aforementioned latitude bins. We show the error bars as  $2\sigma$  estimates, as we  
5find this to be an easy way to visualize if there are ~~really~~-significant differences between models and data, or ~~indeed~~, between ~~the~~  
6models. Figure 1924 ~~provides shows that there is~~ a robust indication from the MLS data that ~~the~~ upper stratospheric ozone values  
7have been on the upswing in the past decade, at a rate of ~~about~~ 0.2 to 0.4%/yr, depending on latitude region, with  $2\sigma$   
8uncertainties of  $\sim 0.2\%$ /yr. While the  $2\sigma$  error bars (obtained using the bootstrap method mentioned earlier) are fairly large, there  
9are several ~~independent~~ latitude regions and pressure levels with similar results, and ~~thus~~, this positive trend is a robust  
10near-global upper stratospheric result. These results are broadly consistent with  $O_3$  trends obtained by Steinbrecht et al. (2017),  
11who use MLS as part of the longer-term merged data records, although they studied a longer time period (2000-2016). All things  
12being equal, the errors in these trends should diminish as more years of data are added to the MLS  $O_3$  record, which, for the  
13middle and upper stratosphere, has been characterized as “very stable”, namely within 0.1 to 0.2%/yr versus sonde and lidar  
14network ozone data (Hubert et al., 2016); it ~~currently~~ seems difficult to quantify “absolute stability” to much better than this,  
15especially in the lower stratosphere. In the lower stratosphere, trend results ~~are tend to be~~ closer to zero, with larger variability  
16and error bars (in %/yr), and unambiguous detection of post-1997 ozone trends in this region remains elusive (WMO, 2014;  
17Harris et al., 2015). The 2005-2014 trends in Fig. 1924 show good broad agreement between model and data, with a tendency  
18for SD-WACCM to agree better than FR-WACCM with MLS, albeit not significantly so, given the size of the error bars,  
19especially in the lower stratosphere; ~~I~~ the lower stratospheric tropical results from FR-WACCM are negative, in contrast to both  
20the observations ~~at result and well as~~ SD-WACCM, but with large overlapping error bars (~~given the variability and fairly short~~  
21~~time period~~). In the tropical upper stratosphere, both models exhibit a somewhat more positive trend than observed for this  
22period, although, again, these trend differences are not statistically significant. Nevertheless, ~~we find it rather striking that~~, as a  
23function of latitude (in  $10^\circ$ -wide bins) and pressure, the 2005-2014 SD-WACCM  $O_3$  trends ~~do~~ follow the MLS trend results quite  
24well; this is ~~clearly~~ shown in Fig. 20,25 for central latitudes from  $55^\circ\text{S}$  to  $55^\circ\text{N}$ . ~~The agreement in these patterns is not quite as~~  
25~~good for FR-WACCM (not shown in Fig. 20); this is mostly evident in the tropical lower stratosphere (see Fig. 19).~~

26 For a consideration of longer time periods, we ~~compare use in Fig. 21 trends from~~ the merged  $O_3$  ~~data record from~~  
27GOZCARDS ~~record~~ (version 2.20) to ~~display~~ NH mid-latitude and tropical ~~model~~ trends ~~from the models~~ for 3 different periods  
28in Fig. 26. The top panels for 1985-1997 focus on the main “declining phase”, while the middle panels (1998-2014) show ~~results~~  
29for the (expected) “early recovery” stage; the 2005-2014 (bottom panels) results are ~~basically essentially the same trends as~~ those  
30from Aura MLS (Fig. 1924) ~~for that period~~. The largest differences between the two GOZCARDS data versions occur in the  
31tropical upper stratosphere for the declining ozone phase; Fig. S149 displays the tropical trend differences that we obtain for the  
32same three periods as in Fig. 2194. In agreement with this are the trend differences provided by Ball et al. (2017), who showed  
33results for the original (version 1.01) GOZCARDS data and for SWOOSH. GOZCARDS version 2.20 data are now in better  
34agreement with the merged SWOOSH  $O_3$  product (as both use SAGE II version 7 data); also, Steinbrecht et al. (2017) showed  
35that these ~~se~~ two merged records lead to similar (post-2000) trend results. ~~As mentioned in Sect. 2,~~ ~~I~~ the improvements in  
36GOZCARDS version 2.20 ozone are a result of the incorporation of the SAGE II v7 retrievals (Damadeo et al., 2013), and the  
37use of the MERRA temperatures (used in v7) for the conversion from density/altitude to the GOZCARDS mixing ratio/pressure  
38grid. We note, however, that the lower stratospheric region exhibits interannual variability that is several times larger than that in  
39the upper stratosphere, as seen in Fig. A3 for tropical 1998-2014 data versus SD-WACCM ~~anomaly time series~~. Even fairly  
40subtle differences in time series over a few years can lead to a sign change in the trends, although there is no statistical



1significance in the resulting trend differences (see Fig. A3 and Fig. 216, middle right panel at 68 hPa, for the data and  
2SD-WACCM trend results).

3 To put in perspective what a statistically significant trend difference looks like, we show in Fig. S150 the O<sub>3</sub> anomaly-time  
4series for 1998-2014 at 1 hPa for 30°N-60°N, where the SD-WACCM and GOZCARDS trend results lie outside their respective  
52σ ~~error/uncertainties~~ (based on Fig. 216, ~~middle-left-panel~~); ~~herein this case, the~~ FR-WACCM results happen to be in better  
6agreement with the data. One aspect that could impact model/data differences is that the models are not sampled, here, following  
7the sparser (occultation) viewing, neither in latitude nor in time (time within each month and local time also, since model values  
8~~are represent~~ 24-hr averages). ~~DMuch~~ denser spatial and temporal sampling is obtained during the MLS ~~observation~~ period, with  
9very regular sampling; while small systematic (~~sampling-related~~) differences may affect comparisons between ~~average~~ models  
10and MLS ~~abundances~~, such differences should be very consistent from year to year, thus minimizing the impact on ~~derived~~ trend  
11differences. Also, some of the differences in the upper stratosphere might arise because the averaging of sunset and sunrise  
12occultation data is not as robust for 1998-2004 as for pre-1998, when SAGE II was operating more continuously in both sunset  
13and sunrise modes (and O<sub>3</sub> varies more strongly with local time at 1 hPa than at lower altitudes). Also, HALOE had decreasing  
14spatio-temporal coverage in ~~the later years~~; ~~but thus,~~ these upper stratospheric trend differences ~~could~~ require ~~more further~~  
15~~detailed~~ investigations. For the 30°S-60°S region (not shown here), we observe similar results (~~within error bars~~) as in Fig. 216  
16for 30°N-60°N; this includes small negative trends in the lower stratosphere for all 3 time periods, although with no statistical  
17significance (i.e., consistent with a zero or slightly positive trend). We also see the same sort of vertical shift in the SD-WACCM  
18profile trends for 1985-1997, as compared to the observed trend profile, which reaches its most negative value at a slightly  
19higher altitude (~~lower pressure~~), but the reason for this shift is unknown; ~~theoretically,~~ this could be tied to model/data  
20differences in the ClO peak; and its evolution. Our ozone trend results are largely consistent with other previous work (references  
21mentioned above), which (for records including MLS) typically used merged O<sub>3</sub> from GOZCARDS or from SWOOSH (Davis et  
22al., 2016). We find statistically significant trends (meaning that, ~~assuming Gaussian statistics,~~ a zero trend is not included in the  
232σ error bar range) mostly in the upper stratosphere, both pre-1997 and after 1998. While we observe some small O<sub>3</sub> decreases in  
24the lower stratosphere post-1998, as obtained recently also by the novel analyses of Ball et al. (2018), our study finds little  
25statistical significance there, and a fair level of sensitivity to the starting year or to the data sets used, with a swing to more  
26positive (but marginally significant) results, if the starting year is 2005 ~~and one just uses MLS data~~. Past work (e.g., Harris et al.,  
272015) has also shown sensitivity to ~~the series starting~~ and end points; ~~also,~~ different regression analysis methods can ~~also~~ lead to  
28~~some non-negligible differences (e.g., as shown for example by~~ Nair et al., ~~(2013); and~~ Kuttippurath et al., ~~(2015)~~. We also  
29note that past analyses of lower stratospheric tropical O<sub>3</sub> data have shown positive tendencies, based not just on satellite data as  
30indicated here (with marginal significance) ~~from MLS data alone~~, but also based on ~~earlier~~ SCIAMACHY data (Gebhardt et al.,  
312014); in ~~that work is reference~~, a positive trend was also ~~seen obtained in from~~ averaged tropical ozonesonde data. This will  
32continue to require further study, towards a longer-term result.

33 For H<sub>2</sub>O, there have been ~~somewhat~~ conflicting past results on stratospheric trends, depending on whether one investigates  
34sonde or satellite data (e.g., Oltmans et al., 2000; Scherer et al., 2008), and regarding mechanisms that could account for more  
35than a few tenths of a %/yr increase in H<sub>2</sub>O, as CH<sub>4</sub> increases do not appear to be large enough for this. ~~Beyond the potential~~  
36~~impact of CH<sub>4</sub> trends on upper stratospheric H<sub>2</sub>O,~~ changes in cold point temperatures or in the circulation need to be invoked in  
37order to account for significant decadal-scale trends in H<sub>2</sub>O (e.g., Randel et al., 2000; Rohs et al., 2006; Tian and Chipperfield,  
382006; Hegglin et al., 2014). Based on our analyses for 2005-2014 (~~MLS data versus models~~), we find in Fig. 227 that this recent  
39decade shows a positive H<sub>2</sub>O trend both in the ~~MLS~~ data and in ~~the~~ SD-WACCM ~~result~~, which tracks ~~the~~ observations (versus

latitude as well as pressure) better than FR-WACCM does, ~~as already seen in terms of quality of fits and variability.~~  
2FR-WACCM exhibits systematically smaller H<sub>2</sub>O trend values than both MLS and SD-WACCM at all pressures except near 100  
3hPa, although the FR-WACCM and SD-WACCM trend error bars ( $2\sigma$ ) overlap. This overlap for FR-WACCM and MLS is more  
4marginal in the lower mesosphere, where the impact on H<sub>2</sub>O from CH<sub>4</sub> decomposition should be at its maximum, and cold point  
5temperature variability issues are smaller than near the tropical tropopause. **An analysis of H<sub>2</sub>O HALOE profiles and**  
6**ground-based microwave profiles over Hawaii (Nedoluha et al., 2009) showed that changes in upper stratospheric and**  
7**mesospheric H<sub>2</sub>O are sensitive to the solar cycle (see also the mesospheric GOZCARDS H<sub>2</sub>O time series in Froidevaux et**  
8**al., 2015), but show only negligible overall trends between 1992 and 2008.** ~~We can also see this evidence for smaller trends in~~  
9~~the earlier portion of the H<sub>2</sub>O record in time series (not shown here) from the GOZCARDS data set, with the positive part of the~~  
10~~trend (as shown in the Fig. 22 trend results) coming after 2007. The cause for CH<sub>4</sub> changes over the past few decades have been~~  
11~~difficult to identify with confidence (see, Feldman et al., 2018; Turner et al., 2017). Simple algebra indicates that such CH<sub>4</sub>~~  
12~~changes can lead to only part (about half) of the H<sub>2</sub>O increases reflected in the Fig. 22 trends, and there must be other reasons for~~  
13~~these fairly large short-term trends. We believe that the significant decadal variability in H<sub>2</sub>O, which arises from cold point~~  
14~~temperature variability, propagated upward as a “tape recorder” signal, as well as QBO variability, account for a large part of the~~  
15~~large positive H<sub>2</sub>O trends over 2005-2014. Indeed, Garcia et al. (2007) noted in their studies of WACCM trends that multiple~~  
16~~decades are likely needed to enable detection of the underlying secular rise in stratospheric H<sub>2</sub>O, given the variability arising~~  
17~~from ENSO, cold point temperature changes, the QBO and other factors. Also, a sudden drop in water vapor after 2000 can lead~~  
18~~to a stronger post-2000 stratospheric H<sub>2</sub>O trend, if one is considering a rather short time period; in our view, this plays a role in~~  
19~~the large H<sub>2</sub>O trends of Fig. 22. The fact that FR-WACCM trend results for the 2005-2014 period (see Fig. 22) are significantly~~  
20~~smaller for the mid-stratosphere to lower mesosphere than the SD-WACCM and observed trends appears to mainly be a result of~~  
21~~slightly different decadal variability in this run; we also see instances in longer time series (not shown) where FR-WACCM~~  
22~~short-term changes appear to be larger than those from SD-WACCM. Finally, Also, the FR-WACCM trends have smaller error~~  
23~~bars, given the lower variability typically found in this model over the time period investigated here. With such lower variability,~~  
24~~detection of a given trend would take less time than with the actual (observed) variability; however, if the trend is larger (as~~  
25~~shown by SD-WACCM or MLS), it also becomes easier to detect.~~

26 We should also note ~~that some~~ drifts have been detected between coincident MLS and sonde H<sub>2</sub>O data, mostly since about  
272010, ~~with implying that~~ MLS-derived trends ~~beingare~~ more positive than those from frost point profiles ~~at several sites~~ (Hurst et  
28al., 2016). This relative drift (of as much as 0.5-1.6%/yr for 2010-2015, depending on altitude and location) could ~~therefore~~ play  
29a role in the (small, in comparison) discrepancy between model (SD-WACCM) and MLS trends. ~~The~~ SD-WACCM results agree  
30~~quite~~ well with MLS in Fig. 22~~7~~, but they would become larger than MLS (adjusted) results if one were to subtract more than  
310.1-0.2%/yr from these MLS trends. Possible causes ~~for of observed~~ drifts between MLS and sonde H<sub>2</sub>O data are ~~still~~ being  
32investigated, with only a small part of this discrepancy currently attributable to a known instrument~~al~~ degradation issue for MLS  
33H<sub>2</sub>O, which probably ~~also impacts~~ other MLS data from the 190 GHz spectral region (~~notably~~ N<sub>2</sub>O ~~in particular~~). We note from  
34Fig. 22~~7~~ that H<sub>2</sub>O trend ~~values~~ from ~~both~~ models and MLS ~~data~~ agree better at 100 hPa. Also, we see that ~~tropical~~ H<sub>2</sub>O ~~in the~~  
35~~tropical region~~ at 80 to 100 hPa (near the stratospheric water vapor entry level) does not display much of a trend. ~~So~~ Other recent  
36studies of entry-level H<sub>2</sub>O using ~~large-scale~~ satellite data ~~and longer-term analyses (starting in the mid-1980s)~~ have concluded  
37that no significant long-term trend is discernible (Hegglin et al., 2014; Dessler et al., 2014). The former study led to slightly  
38negative lower stratospheric H<sub>2</sub>O trends (although with no statistical significance).

39—For the 1992-2014 period and using GOZCARDS H<sub>2</sub>O data (not shown here), we also find negative, although not statistically  
40significant, trends in the lower stratosphere, with small ( $< 0.2\%/yr$ ) positive trends in the upper stratosphere and lower

1mesosphere. There is close agreement (within  $\sim 0.1\%/yr$ ) between the FR-WACCM and SD-WACCM trends (typically within  
20.1%/yr) for that period. This GOZCARDS H<sub>2</sub>O record, however, does not include SAGE II data back to the late 1980s, as was  
3the case in the work for the analysis by Hegglin et al. (2014), who also obtained positive longer-term (1980–2010) trends in the  
4upper stratosphere from satellite-derived H<sub>2</sub>O anomalies, merged using a global CCM as a transfer function. As found  
5by others, especially when dealing with relatively large decadal-type variability (including the QBO), the choice of start and end  
6points, as well as the length of period studied, can significantly influence the trend values, whether it be for H<sub>2</sub>O or for O<sub>3</sub>.  
7Long-term lower stratospheric H<sub>2</sub>O trend detection is rendered difficult by such variability, including significant short-term  
8water vapor changes (Randel et al., 2006; Hurst et al., 2011; Fueglistaler, 2012; Urban et al., 2014), as noted here also (for the  
9relatively short time series of Fig. S12).

10 For HCl, the changes in stratospheric values have been non-linear, with a rapid rise prior to 1998, and a slower  
11rate of decrease after 2004, as expected from the time-shifted abundances of total surface chlorine at the surface (Froidevaux et  
12al., 2015). Focusing first on 2005–2014, we show the corresponding model and data HCl trend results for the lower stratosphere  
13in Fig. 238. The agreement between the SD-WACCM and MLS trends is quite good, especially for the 30°S–60°S bin, although  
14the error bars are fairly large. However, the (negative) HCl trend results from both models nearlypractically always lie below the  
15observed trends, for the three latitude bins shown in Fig. 28. The upper portion of this model/data bias follows what we observe  
16also well in the upper stratosphere (not shown), where MLS-derived HCl trends are clearly too flat (shallow) compared to  
17expectations (from model and surface-derived chlorine trends), whereas the upper stratospheric (negative) trends from the  
18original MLS HCl product were more negative (see Froidevaux et al., 2006; Livesey et al., 2018). As a reminder, the MLS team  
19recommends that data users not to include upper stratospheric MLS HCl data (post-2006) in any trend studies. For the  
20lower stratosphere, where the HCl line is broader, there is less concern about the inability to track the HCl trend. Also, the  
21near-zero drifts (i.e., drifts  $< 0.1\%/yr$ ) obtained between two separate MLS O<sub>3</sub> band retrievals (not shown here), one from  
22the same radiometer as HCl, and one from the main (very stable) standard MLS O<sub>3</sub> product (see Hubert et al., 2016),  
23provide some confidence regarding the stability of lower stratospheric HCl trends. At low latitudes, MLS HCl shows a positive  
24trend (largest and statistically significant at 68 hPa, per Fig. 238). The vertical gradient structure in these observed HCl trends is  
25duplicated to some extent by the SD-WACCM results, although the model trends are always less than those derived from MLS.  
26Latitude/pressure trend variability, including positive tendencies, could be related to circulation changes, as implied by analyses  
27of short-term increases in lower stratospheric HCl seen in both ground-based and GOZCARDS data (Mahieu et al., 2014). Given  
28the rapid rise in chlorine prior to 1998 and the non-linear changes near the peak period, we show in Fig. 249 some of the lower  
29stratospheric time series (for 3 latitude bins and 3 pressures) from GOZCARDS merged HCl (Froidevaux et al., 2015) and the  
30WACCM runs for 1992–2014. There is fairly good agreement in the non-linear behavior observed in both data and model lower  
31stratospheric series. The scatter in HCl data decreases after 2005, and the earlier time series suffer from more inhomogeneous  
32sampling, which may at least in part explain the larger scatter and model/data differences (there is no attempt here to sample the  
33models within each month like the data, and this would be difficult for a merged data set). There are also regions and periods of  
34slow HCl increases in HCl in both data and models (Fig. 249), as well as hemispheric differences in the short-term tendencies,  
35as discussed before by Mahieu et al. (2014) and Froidevaux et al. (2015). The HCl time series are tracked fairly well by  
36SD-WACCM, which generally matches the data better than FR-WACCM; this is consistent with the understanding that  
37dynamically-driven variations are better captured by the incorporation in SD-WACCM of realistic meteorological fields  
38(MERRA). Stolarski et al. (2018) have recently investigated the removal of dynamical variability from MLS lower stratospheric  
39HCl time series by using MLS N<sub>2</sub>O data measurements as a fitting function parameter in the regression analysis; this led to  
40retrieved HCl trends that generally match expectations based on the rates of change decreases in surface total chlorine. The

1search for detailed explanations of such short-term increases and variability in lower stratospheric HCl (and other ~~changes in~~  
2composition ~~changes~~) continues to be an interesting area of investigation.

3 In the upper stratosphere, it has been difficult to explain the details of ~~the~~ observed HCl variations ~~from between~~ 1998 ~~to and~~  
42002, including the dip between these years (Vaugh et al., 2001). We show in Fig. S1 ~~64 the~~ near-global (60°S-60°N)  
5GOZCARDS HCl ~~time-series from GOZCARDS~~ at 1 hPa. This ~~shows helps to underscore that there is~~ a systematic model  
6underestimate of HCl in the uppermost stratosphere; the model/data difference is much smaller ~~if one moves to at~~ pressures  
7closer ~~to~~ 5 hPa. While the ~~systematic data~~ uncertainties (of ~0.2 ppbv, ~~based on Froidevaux et al., 2015~~) ~~in the data~~ encompass  
8the model values, the model total should ~~actually~~ be increased by the chlorine contribution from very short-lived ~~halogenated~~  
9substances (VSLs) to the stratosphere; although this contribution is ~~only of order believed to be less than~~ 0.1 ppbv (Carpenter et  
10al., 2014), recent evidence suggests that there could be a somewhat larger stratospheric chlorine contribution from VSLs (Oram  
11et al., 2017). Nevertheless, the historical maximum for total tropospheric chlorine ~~abundance~~ was about 3.65 ppbv (WMO,  
122014), and this should be the maximum total chlorine expected in the uppermost stratosphere. ~~Upper stratospheric HCl should~~  
13~~see a somewhat broader peak than at the surface, with a smaller and time-delayed maximum, depending on transport-related~~  
14~~effects (and age of air spectrum, e.g., see WMO, 2010).~~ While WACCM includes the proper abundance and evolution of chlorine  
15source gases ~~at the surface~~, maximum WACCM HCl in the upper stratosphere (and lower mesosphere) is just under 3.4 ppbv. It  
16is also interesting that the gap between the models (both versions) and the data worsens from 1992 to 2000, with the HCl peak  
17occurring later in the data (with a broader peak than in the models). After about 2002, the decrease in near-global HCl roughly  
18follows the model decrease; additional years of HCl data from ACE-FTS should help refine this comparison. ~~In terms of HCl~~  
19~~trends, Hossaini et al. (2018) have recently shown that there are positive changes (by ~15%) in model upper stratospheric HCl~~  
20~~trends since 2000, i.e. the HCl decreases are smaller, if one takes into account the likely impact of changes in stratospheric~~  
21~~chlorine from VSLs.~~

22 For N<sub>2</sub>O and HNO<sub>3</sub>, lower stratospheric model trends are compared to the corresponding MLS data trends in Fig. ~~2530~~. We  
23note that the MLS standard product right after launch was N2O-640 (retrieved from the 640 GHz radiometer ~~band~~ data), but it  
24was discontinued after mid-2013, ~~as mentioned earlier~~, as a result of a ~~rapid~~ hardware degradation issue affecting that band (N<sub>2</sub>O  
25only). The current MLS ~~standard~~ product, N2O-190, is retrieved from the 190 GHz band. Figure S1 ~~72~~ provides evidence of  
26negative drifts in lower stratospheric N2O-190, apparently accelerating in the last few years, since the SD-WACCM and actual  
27N<sub>2</sub>O values would be expected to continue to rise slowly after the end date on this plot, notably in the tropical lower stratosphere,  
28where N<sub>2</sub>O should follow tropospheric trends. Indeed, tropospheric N<sub>2</sub>O has been increasing at a fairly steady rate of ~0.26%/yr  
29(WMO, 2014), consistent with the ~~underlying~~ model N<sub>2</sub>O and MLS N2O-640 lower stratospheric increases at low latitudes (see  
30Fig. S1 ~~72~~ and especially the tropical trends ~~obtained~~ in Fig. ~~2530~~ at 100 hPa). ~~The~~ FR-WACCM N<sub>2</sub>O trends show slightly poorer  
31agreement than SD-WACCM versus N2O-640, although this is not statistically significant. ~~The~~ tropical lower stratospheric MLS  
32N2O-190 trend ~~results~~ (not shown ~~here~~) are negative (albeit with error bars that encompass small positive trends), but show some  
33differences versus expectations and the N2O-640 results. As for HCl, interhemispheric differences in lower stratospheric N<sub>2</sub>O  
34trends are interesting in terms of their implications for effects relating to transport (age of air) and changes in the circulation. At  
35lower pressure values, the N<sub>2</sub>O trends do not mirror the tropospheric N<sub>2</sub>O trends (in %/yr), and other factors play a role (~~age of~~  
36~~air and~~ changes in circulation, ~~QBO,~~ ~~as well as~~ N<sub>2</sub>O photodissociation). ~~The asymmetric trend pattern between hemispheres,~~  
37~~even if it is not a long-term trend, may well point primarily to short-term effects tied to asymmetries in the age of air, and~~  
38~~therefore, in the circulation.~~ The asymmetry in age of air ~~results~~ obtained by analyses of (2002-2012) MIPAS SF<sub>6</sub> data (Haenel et  
39al., 2015) could also be related to asymmetries in ~~the~~ N<sub>2</sub>O tendencies. They found relatively older air in the northern extra-tropics  
40and younger air in the southern extra-tropics; ~~if~~ This could also imply opposite trends for N<sub>2</sub>O ~~between in the~~ southern and



1 northern lower stratosphere. However, Bönisch et al. (2011) have pointed out that ~~different tracers (e.g., like  $\text{O}_3$  and  $\text{N}_2\text{O}$ ), can~~  
2 ~~be impacted in differently ways~~ by both vertical and quasi-horizontal transport effects, depending on their relative ~~vertical and~~  
3 ~~meridional~~ gradients ~~in both vertical and meridional domains~~. Moreover, their work indicates that detailed attribution of tracer  
4 variations to structural changes in the Brewer-Dobson circulation is a complex matter, and short-term and longer-term changes  
5 may well have different characteristics. Our work ~~here~~ mainly identifies ~~some~~ similarities between some of the trend patterns  
6 versus pressure and latitude from SD-WACCM, in particular, and the observed trends, for certain ~~time~~ periods. For the  $\text{HNO}_3$   
7 trends (Fig. 2530), we also see good agreement between models and data for 2005-2014; latitudinal tendencies and  
8 interhemispheric differences therein are similar for model and data. The spatial gradients of these species are different in the  
9 lower stratosphere ( $\text{HCl}$  and  $\text{HNO}_3$  increase with height, in contrast to  $\text{N}_2\text{O}$ ), and we see that the decreasing  $\text{HCl}$  trends for  
10 2005-2014 at  $30^\circ\text{S}$ - $60^\circ\text{S}$  (Fig. 238), in particular, are qualitatively similar to those from  $\text{HNO}_3$  in this region. For lower  
11 stratospheric  $\text{HNO}_3$ , there is an underlying trend part caused by the slow increases in  $\text{N}_2\text{O}$ , as we can observe in longer-term  
12 (1980 to present) model time series (not shown here).  $\text{N}_2\text{O}$  and  $\text{H}_2\text{O}$  (source gases for  $\text{HNO}_3$ ) are significantly affected by the  
13 QBO and there is a strong related variability in lower stratospheric  $\text{HNO}_3$ . ~~Furthermore, substantial increases in stratospheric~~  
14 ~~aerosols after large volcanic eruptions have influenced lower stratospheric  $\text{HNO}_3$  via heterogeneous hydrolysis of  $\text{N}_2\text{O}_5$  (Arnold~~  
15 ~~et al., 1990; Rinsland et al., 1994), and this will impact  $\text{HNO}_3$  trends that include volcanically-perturbed periods. We saw that~~  
16 ~~seasonal enhancements in  $\text{NO}_x$  coming down from the mesosphere can also affect  $\text{HNO}_3$  at high latitudes.~~ Some observed  
17 short-term trend patterns in  $\text{HCl}$ ,  $\text{HNO}_3$ , and  $\text{N}_2\text{O}$  are better captured by ~~the SD-WACCM, model overall,~~ than by FR-WACCM,  
18 as we show in Fig. S183+ for the 2005-2010 period, relevant to the results ~~offrom~~ Mahieu et al. (2014), who emphasized  
19 short-term  $\text{HCl}$  increases during this time. We note the correlation in these short-term trend results for  $\text{HNO}_3$  and  $\text{HCl}$ , but an  
20 anti-correlation for  $\text{N}_2\text{O}$  versus  $\text{HCl}$  (and  $\text{HNO}_3$ ).

21 ~~Finally, to re-emphasize how difficult it can be to detect small underlying trends in the lower stratosphere, in particular, Fig.~~  
22 ~~32 shows deseasonalized model anomalies from SD-WACCM for the 25-year period between 1990 and the end of 2014, for~~  
23  ~~$\text{HNO}_3$ , as well as  $\text{O}_3$ ,  $\text{H}_2\text{O}$ , and  $\text{HCl}$ ; on this scale,  $\text{N}_2\text{O}$  variability in this region is much smaller (not shown). As noted~~  
24 ~~previously, and from past work on this topic, fairly sharp drops in water vapor in this region occurred shortly after 2000 and~~  
25 ~~2011, but we also note the significant decadal-type variability in this region, besides the expected links to QBO- and ENSO-type~~  
26 ~~variations. There are also non-negligible radiative implications surrounding such variations for  $\text{H}_2\text{O}$  (Solomon et al., 2010;~~  
27 ~~Gilford et al., 2016; Wang et al., 2016); however, a slow underlying long-term evolution would take time to detect, given the~~  
28 ~~variability. Moreover, the percent variability is even larger for other species, which correlate well with  $\text{H}_2\text{O}$  in this region;~~  
29 ~~indeed, the correlation coefficients between these various time series are all between 0.64 and 0.86, although this multi-species~~  
30 ~~agreement is poorer at many other pressure levels or latitudes. In Fig. S13, we show that the observed variability in this same~~  
31 ~~region for  $\text{O}_3$  and  $\text{H}_2\text{O}$  (for 1992-2014) is fairly well matched by the models, although this is somewhat less true for  $\text{H}_2\text{O}$  than for~~  
32  ~~$\text{O}_3$ . Besides the importance of circulation effects on tracers in this region, tropopause temperatures will also affect water vapor;~~  
33 ~~this adds some complexity in terms of exactly modeling its variations in the tropical lower stratosphere.~~

## 346 Summary and discussion

35 ~~C~~The climatological averages from FR-WACCM and SD-WACCM for  $\text{O}_3$ ,  $\text{H}_2\text{O}$ ,  $\text{HCl}$ ,  $\text{N}_2\text{O}$ , and  $\text{HNO}_3$  generally compare  
36 favorably (within ~~the~~  $2\sigma$  estimated systematic errors) with ~~the~~ Aura MLS data averages for 2005-2014. Model ozone values are  
37 usually within  $\pm 5$ -10% of the ~~average data observations~~, except in the UTLS. In the lowest ~~portion of the~~ stratosphere,  
38 SD-WACCM generally exceeds the observed ozone means by ~~about~~ 30-50%, with FR-WACCM showing a smaller overestimate;  
39 both models also ~~tend to~~ overestimate ~~(by ~60%)~~ the amplitude of the annual cycle in this region. ~~Such differences require~~  
40 ~~further investigations, but would appear to implicate (in part) a transport-related issue in the models.~~ There is also a model low

1bias (by ~10-30%) from 215 to 261 hPa at low latitudes, which could largely be caused by a known MLS high ozone bias in this  
2region. For H<sub>2</sub>O, there is a model low bias (by 5-15%) versus MLS data in the upper stratosphere and most of the mesosphere,  
3although some of this arises from a small high bias in MLS H<sub>2</sub>O versus other satellite data-sets (see Hegglin et al., 2013). Also,  
4the models significantly underestimate the average HNO<sub>3</sub> abundances in the upper stratosphere, notably at high latitudes;  
5this largely appears to stem from missing model ion chemistry, as it relates to particle precipitation effects in the mesosphere,  
6followed by downward wintertime polar transport of enhanced NO<sub>x</sub>, and subsequent seasonal increases in HNO<sub>3</sub>. There is also  
7some model overestimation by SD-WACCM of MLS HNO<sub>3</sub> (by about 40%) at high latitudes for pressures larger than 100 hPa,  
8although there is a need for further validation of the HNO<sub>3</sub> data in this region. In the lower stratosphere at high southern  
9latitudes, the variations in polar winter/spring composition observed by MLS are generally well matched by SD-WACCM, the  
10main exception being for the early winter rate of decrease in HCl, which is too slow in the model. Grooß et al. (2018) have  
11provided some further discussion of this discrepancy, which should have little impact on winter/spring polar ozone depletion;  
12indeed, we find good or better agreement between the seasonal high latitude observations and SD-WACCM for O<sub>3</sub> ozone and  
13other species.

14 Regarding the fitted variability tied to the AO and SAO, there are a few discrepancies between model-derived amplitude  
15patterns and the corresponding MLS climatology features, but FR-WACCM and SD-WACCM appear to properly capture the  
16primary processes governing these modes of variability. SD-WACCM generally matches the data sets slightly better than  
17FR-WACCM does. The O<sub>3</sub> AO stratospheric amplitudes are within ~25% of the MLS AO amplitudes. For H<sub>2</sub>O, both WACCM  
18versions exhibit AO and SAO patterns that are generally consistent with the observations, and with recently published  
19satellite-derived results (Lossow et al., 2017a); we also note the WACCM underestimation of H<sub>2</sub>O AO and SAO amplitudes in  
20the lower stratosphere, although this is the region with the smallest amplitudes (< 0.1 ppmv).

21 We have provided diagnostics for the fits between the WACCM runs and the MLS deseasonalized anomaly time-series. These  
22consist of the correlation coefficient ( $R^2$  diagnostic) as well as a diagnostic of RMS differences (model versus data), divided by  
23the RMS variability in the data; a combined diagnostic (the ratio of the above two diagnostics) is also used to help differentiate  
24between the two model runs, which are often not too far apart. Not too surprisingly, SD-WACCM, which is driven by realistic  
25dynamics versus time, generally matches the observed zonal monthly mean anomalies significantly better than does  
26FR-WACCM. This holds for all five species that we considered, with larger values of  $R^2$  and smaller values of the RMS  
27difference diagnostic. In the tropical lower stratosphere, where there is some nudging to equatorial winds for FR-WACCM (and  
28even more so for SD-WACCM, see Sect. 2), the FR-WACCM fits to the data are generally improved. However, some details of  
29the observed interplay between SAO, AO, and QBO variations in tropical upper stratospheric ozone are better matched by  
30SD-WACCM variations than by FR-WACCM. Also, FR-WACCM shows poorer agreement with observed seasonal polar  
31winter/spring lower stratospheric variations than does SD-WACCM. Finally, in the mesosphere, the water vapor anomalies are  
32better matched by SD-WACCM than by FR-WACCM.

33 Variability comparisons represent a more fair and useful metric in terms of the characterization of model quality, in particular  
34for a free-running model. Thus, to this end, we have compared the RMS interannual variability from the anomalies in both  
35WACCM models and observations, using data from 2005-2014, and data from longer-term series based on GOZCARDS data records for O<sub>3</sub>, H<sub>2</sub>O, and HCl series. One of the main features from these comparisons is that the  
37H<sub>2</sub>O variability from the lower stratosphere to the upper mesosphere is underestimated by both model runs used here; this  
38underestimate can reach a factor of two, although more typically, it is of order 30%. This implies that a larger number of years  
39would be needed to detect an actual trend in H<sub>2</sub>O than if one uses a model-based prediction (from FR-WACCM); this number of  
40years would be increased by a factor of 1.2 to 1.6, if one uses the two variability factors mentioned above. Apart from the

1 WACCM underestimate of observed H<sub>2</sub>O variability, the observed lower stratospheric variations, including significant drops in  
2 ~~the~~ H<sub>2</sub>O ~~abundance~~, are better tracked by SD-WACCM than by FR-WACCM. This also seems to have implications for the  
3 model/data trend comparisons. ~~O~~~~The~~ ozone variability is better represented by ~~the~~ WACCM ~~models~~, with model/data variability  
4 ratios typically within a factor of 0.8 to 1.2. Observed HCl variability is underestimated somewhat by FR-WACCM for ~~the~~  
5 1992-2003 ~~period~~, but not for ~~the later (2005-2014) period~~; the sparser HALOE sampling, compared to MLS, could explain  
6 some of the underestimate for the early period, especially in ~~the~~ polar regions. For N<sub>2</sub>O, there is also a model underestimate  
7 (from both FR-WACCM and SD-WACCM) of MLS-derived ~~the~~ lower stratospheric low latitude variability ~~observed by MLS~~,  
8 although this variability is a small percentage of the mean values.

9 Regarding trends, the model comparisons versus the longer-term ozone data record from GOZCARDS (version 2.20 ~~being~~  
10 ~~used here~~) show generally good qualitative agreement in the time series in different latitude bins for both upper and lower  
11 stratospheric change. It is clear from such ~~time~~ series that the larger percent variability in the lower stratosphere will continue to  
12 render trend detection in this region more difficult than in the upper stratosphere. Based on the Aura MLS O<sub>3</sub> data record itself,  
13 which has been deemed very stable (Hubert et al., 2016), we observe robust evidence, considering the 2 $\sigma$  error bars of ~0.2%/yr  
14 ~~(estimated using a block bootstrap method)~~, that there is a positive upper stratospheric O<sub>3</sub> ozone trend for 2005-2014, at a rate of  
15 ~0.2-0.4%/yr. This is true for all three broad mid-latitude and tropical latitude regions considered here (30°N-60°N, 30°S-60°S,  
16 and 20°S-20°N), although the evidence is more marginal ~~for in the~~ SH mid-latitudes. The WACCM trends estimated using the  
17 same regression model as used for the MLS data (anomaly) series show generally good agreement with the data trends, although  
18 the error bars are fairly large ~~(for both data and models)~~. Furthermore, the observed trend ~~(relative)~~ dependence on latitude and  
19 pressure is ~~well~~ matched quite well by ~~the~~ SD-WACCM trend results. We have not considered the high latitudes in detail ~~herein~~  
20 ~~this work~~, in part because of the significant dynamical variability in that region. ~~In this regard~~, Stone et al. (2018) recently  
21 analyzed model results at high latitudes in the upper stratosphere, and showed that the large variability in that region, including  
22 the effects of solar proton events, is likely to mask detection of recovery (for now), although autumn and winter should exhibit  
23 the strongest recovery signals. In the lower stratosphere, where larger variability exists, the trends we deduce from the data ~~sets~~  
24 and models agree within fairly large error bars, ~~but although~~ there is generally no statistical significance. While there is a  
25 tendency for the GOZCARDS merged O<sub>3</sub> record to show small decreasing trends for ~~the~~ 1998-2014, ~~the~~ trend results reverse to  
26 near-zero or slightly positive tendencies (albeit with no robust statistical significance) if one considers ~~the~~ MLS data alone ~~(for~~  
27 2005-2014). SD-WACCM trend ~~results~~ seem to track these positive tendencies, although with not much robust statistical  
28 significance, ~~based on our analyses~~. The recent work by Ball et al. (2018) indicates a net O<sub>3</sub> decrease in the lower stratosphere  
29 from about 1998 to the recent few years; this does not contradict the possibility of a turn-around towards a more positive  
30 trend rate of change in this region during the most ~~re~~ recent decade ~~10-12 years~~. The positive tendency noted here may get more  
31 robust through with the analyses of more years of high quality global ozone profiles, and possibly more aligned with longer-term  
32 model expectations. ~~Future detailed analyses of these issues with different regression models and other methods are certainly~~  
33 ~~indicated.~~

34 For H<sub>2</sub>O, the most statistically significant trend result is an upper stratospheric increase for the post-2005 time period, peaking  
35 at slightly more than 0.5%/yr in the lower mesosphere, with MLS and SD-WACCM results agreeing fairly well, and  
36 FR-WACCM showing significantly smaller increases. The larger discrepancies for FR-WACCM are likely to arise from its  
37 poorer correlations (than SD-WACCM) with cold point temperatures, as well as with QBO variations. As shown before by  
38 others, there are multiple factors that can influence low-frequency variability in H<sub>2</sub>O; indeed, these recent short-term trends go  
39 beyond what one would expect from changes associated with a slow, secular increase in methane, even if some of the recent  
40 methane changes have been non-linear (Schaefer et al., 2016; Nisbet et al., 2016). Also, t~~The~~ fact that the last decade has seen

1 more of an upper stratospheric and mesospheric H<sub>2</sub>O increase than the previous decade appears to correlate with the very shallow  
2 maximum that occurred in the last cycle (number 24) of the solar flux, which seems tied to the shallower dip, and broader overall  
3 maximum, in upper mesospheric H<sub>2</sub>O (see the H<sub>2</sub>O and solar flux time series in Fig. 16 of Froidevaux et al., 2015). ~~However, the~~  
4 ~~non-linear influence of recent changes in methane, which include a plateau from 1999-2006, with a return to rising abundances~~  
5 ~~after that (Schaefer et al., 2016; Nisbet et al., 2016), would also need to be considered for the upper stratosphere.~~ There is also a  
6 caveat regarding MLS-derived H<sub>2</sub>O trends, given the existence of ~~non-negligible~~ drifts between sonde and MLS H<sub>2</sub>O data (Hurst  
7 et al., 2016), at least since about 2010. Such drifts can only be partially explained by currently known instrumental degradation  
8 issues affecting the MLS retrievals of H<sub>2</sub>O, with some impact on other data from the 190 GHz radiometer (N<sub>2</sub>O, in particular).  
9 Thus, ~~the~~ MLS-derived H<sub>2</sub>O trend ~~results~~ obtained here are likely to be upper limits; this ~~could~~ ~~probably~~ explain why ~~the~~  
10 model H<sub>2</sub>O trends (at least from SD-WACCM) currently lie on the low side of the observed trends. An upcoming update to the  
11 MLS retrievals ~~should~~ ~~will~~ lead to a reduction (but not an elimination) of the aforementioned drifts between MLS and sonde H<sub>2</sub>O  
12 data. There is a continued need for cross-comparison of the various (diminishing number of) satellite H<sub>2</sub>O data sets, as well as  
13 H<sub>2</sub>O profiles from satellites and sondes, hopefully leading to a better understanding and mitigation of instrumental issues and  
14 drifts between ~~different~~ water vapor observations.

15 Our HCl trend analyses reveal broad agreement between the lower stratospheric MLS data (2005-2014) and the models, but  
16 with some systematic differences. ~~As mentioned in the past, upper stratospheric MLS HCl data are not deemed to be reliable~~  
17 ~~enough for trend studies, since the cessation (in 2006) of the primary target band retrievals for MLS HCl.~~ While ~~decreases in~~  
18 ~~global~~ lower stratospheric HCl ~~decreases~~ are ~~generally~~ indicated for 2005-2014, there are some hemispheric differences, and a  
19 significant increase is suggested in the tropical data at 68 hPa, ~~where, however,~~ there is only a slight positive trend ~~there~~ from  
20 ~~the~~ SD-WACCM ~~result~~ (with no statistical significance). ~~However, there have been past indications of short-term increases in~~  
21 ~~lower stratospheric HCl (Mahieu et al., 2014).~~ While ~~the~~ lower stratospheric vertical gradients of ~~MLS HCl~~ trends ~~results from~~  
22 ~~MLS HCl~~ are duplicated to some extent by SD-WACCM, the model trends are always ~~more negative on the low side~~. There is no  
23 ~~clear~~ preference for SD-WACCM or FR-WACCM ~~trend~~ results, ~~based on their~~ comparisons to ~~the~~ observed lower stratospheric  
24 HCl trends. ~~There have also been past indications of short-term increases in lower stratospheric HCl (Mahieu et al., 2014); the~~  
25 ~~study of such short-term tendencies for implications regarding circulation changes are worth pursuing further (but outside the~~  
26 ~~scope of this work).~~ ~~We see~~ There is a need for more comparisons of the various HCl measurements, satellite-based and  
27 ground-based, as well as models, in order to better understand circulation influences on stratospheric composition, as well as  
28 potential measurement-related issues (e.g., from ~~potential~~ sampling differences or ~~measurement~~ ~~potential~~ drifts). ~~Part of the~~  
29 ~~model/data systematic difference in HCl trends could be explained by the omission (in WACCM) of the impact of VSLS on~~  
30 ~~stratospheric chlorine, as indicated by the work of Hossaini et al. (2018).~~

31 For N<sub>2</sub>O, the asymmetry in MLS-derived trends (for 2005-2012) between hemispheres, with negative trends (of up to about  
32 -1%/yr) ~~at in the~~ NH mid-latitudes and positive trends (of up to 3%/yr) ~~at in the~~ SH mid-latitudes, is in agreement with the  
33 asymmetry that exists in SD-WACCM results. ~~S~~ ~~The~~ small observed positive trends of ~0.2%/yr in the 100 to 30 hPa tropical  
34 region are ~~also~~ consistent with model results (SD-WACCM in particular), which in turn are very close to the known rate of  
35 increase in tropospheric N<sub>2</sub>O (at ~~a rate of~~ about +0.26%/yr, see WMO, 2014). In the case of HNO<sub>3</sub>, the MLS-derived lower  
36 stratospheric trend differences (for 2005-2014) between hemispheres are opposite in sign to those from N<sub>2</sub>O (whose spatial  
37 gradients are largely of a sign opposite to those from HNO<sub>3</sub>) and in reasonable agreement with both WACCM results, despite  
38 large error bars compared to the size of the trends. More detailed analyses would be needed to try to relate such trend  
39 asymmetries to changes in age of air, or circulation, ~~but the QBO is a large contributor to short-term trend results in the middle~~  
40 ~~stratosphere, for these species and more generally.~~



1 Overall, the models and observations show good agreement in the trends, with somewhat better results for SD-WACCM,  
2 which displays good correlations in the trend behavior versus latitude and pressure. However, the error bars are non-negligible,  
3 and the choice of start and end dates can have a significant impact on trends or tendencies. Given the existence of significant  
4 short-term and decadal-type variations for several lower stratospheric species, one should be cautious not to assign, or  
5 extrapolate, a tendency based on even a decade of data, to an underlying longer-term trend.

6 The diagnostics provided in this WACCM model evaluation can help distinguish even fairly subtle differences between  
7 models and observations, as well as between models. The improved fits to observations from a specified dynamics model versus  
8 a free-running model are to be expected, but also need to be documented. We are also reminded that observations have their own  
9 systematic issues, and close collaboration between modeling groups and instrument teams can help untangle issues that might be  
10 ~~more driven by, or at least~~ influenced by; species-dependent instrumental effects. ~~WEspecially w~~hen comparing longer-term  
11 model time series to observations, even small systematic effects such as measurement drifts, or data merging issues, can become  
12 important for trend diagnostics. Finally, independent CCMs are not created in the same ~~exact~~ way, and nudging approaches ~~for~~  
13 ~~free-running and specified dynamics models~~ can vary; ~~also~~, some models have an internally-generated QBO, but most do not.  
14 While this study focused on (CESM1) WACCM-~~runs~~, further studies of the differences between high quality observations and  
15 various ~~international~~ models of atmospheric composition would be useful, to put this work in perspective. This could also be  
16 expanded to include ~~some~~ species not considered in this work, and/or with more of a focus on the upper troposphere.

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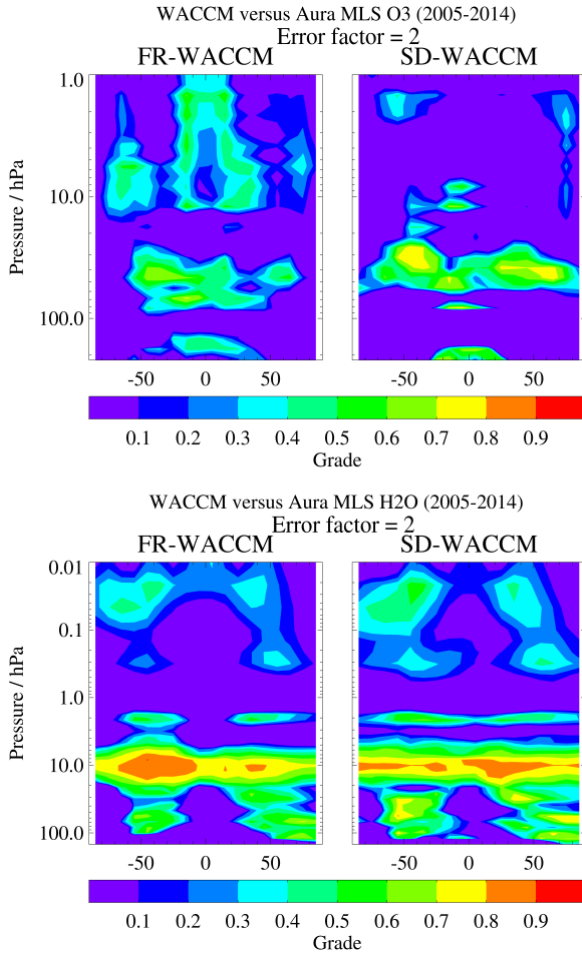
# Appendix A

## A1 Examples of model grades

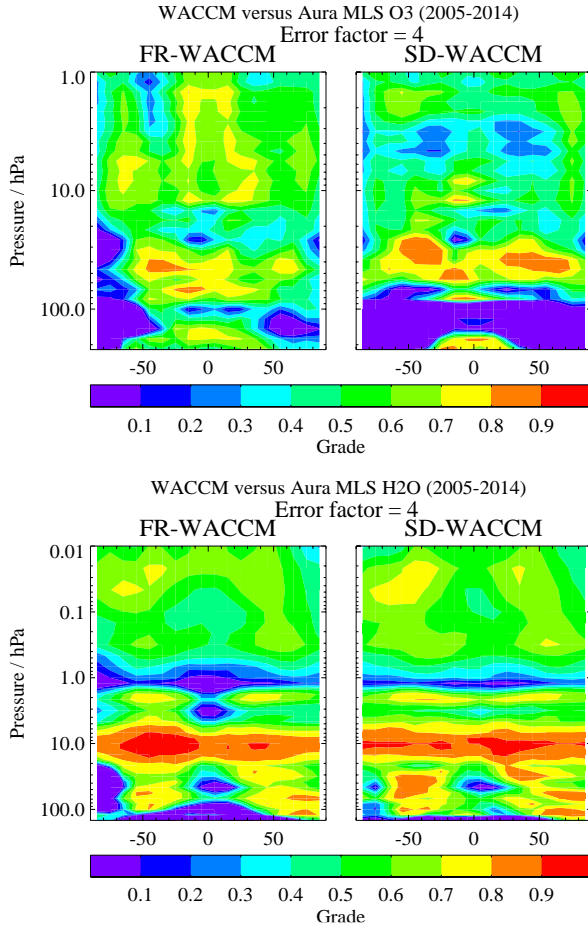
A grading method that has been applied in some previous comparisons (e.g., see Douglass et al., 1999; Waugh and Eyring, 2008) between atmospheric model values ( $M_n$ ) and observed values ( $O_n$ ) utilizes Eq. (A1) below to arrive at grades between 0 and 1 (and if a grade is  $< 0$ , it can be set to 0):

$$grade = 1 - \sum_{n=1}^N \frac{|M_n - O_n|}{E_f \times \sigma_n} \quad (A1)$$

with index  $n$  (in a given time series) varying between 1 and  $N$  (the total number of monthly values being compared for a given latitude/pressure bin), and  $\sigma_n$  representing the error in the observations. While the error factor  $E_f$  should probably be set to 2 or 3, this gives grades that are too small (close to zero or negative) if one applies such a formula to the MLS  $O_3$  or  $H_2O$  time series, specifically to data sets with pretty well defined total measurement errors (provided as  $2\sigma$  error estimates, per Sect. 4, meaning an error factor of 2). The grades shown here in Figs. A1 and A2 correspond to error factors ( $E_f$ ) of 2 and 4, respectively. Figure A2 leads to  $O_3$  and  $H_2O$  grades that are more useful than Fig. A1; it also shows similarities with the diagnostic based on the RMS of the differences between model and data, as shown in Sect. 4 (see the description of this diagnostic in Appendix A2).



**Figure A1.** Examples of grades for model evaluations of  $O_3$  (top two panels) and  $H_2O$  (bottom two panels), using a grading methodology that has been used in the past (see Eq. A1), applied to both FR-WACCM (left panels) and SD-WACCM (right panels) time series versus Aura MLS time series from 2005 through 2014. These grades are for an error factor of 2 (in Eq. A1).



**Figure A2.** As in Fig. A1, for model evaluation grades of O<sub>3</sub> and H<sub>2</sub>O (WACCM versus Aura MLS data), but for a value of 4 (rather than 2) for the error factor (see Eq. A1).

## A2 RMS difference diagnostic

Given a model time series  $M_i(t)$  and an observational time series (both series here representing deseasonalized anomalies)  $O_i(t)$ , the difference values between the two anomaly series are simply given by

$$\Delta_i(t) = M_i(t) - O_i(t) \quad (\text{A2})$$

and the root mean square (RMS) of these anomaly differences (RMSdif) is expressed as

$$RMSdif = \sqrt{\frac{1}{N} \sum_i \Delta_i^2} \quad (\text{A3})$$

The RMS value (variability) of the observational series (of anomalies) in this case is

$$RMS_O = \sqrt{\frac{1}{N} \sum_i O_i^2} \quad (\text{A4})$$

One of the diagnostics that we use in Sect. 4 to compare how well different models match up with the observed time series is given by

$$D_{RMSdif} = \frac{RMSdif}{RMS_O} \quad (\text{A5})$$

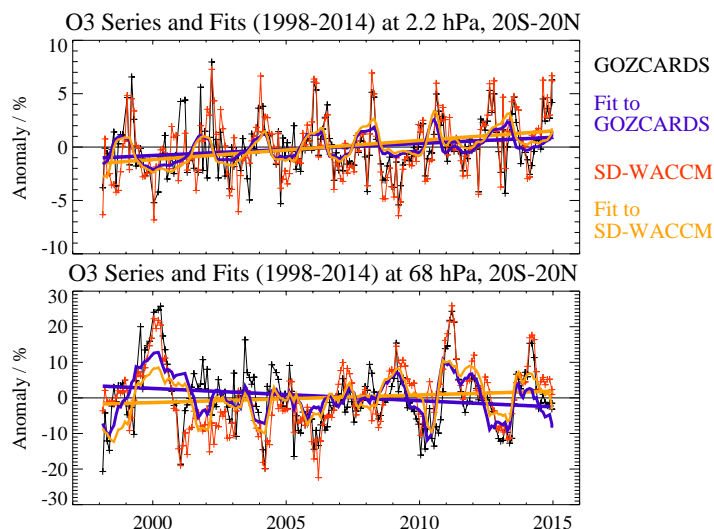
### A3 Regression model

*Functional form:* The MLR model and fitting methodology used here is similar to the methods used by many others in the past, with a linear model description that uses annual, semi-annual, QBO, and ENSO terms. Thus, the model function to be fitted for coefficients  $a$ ,  $b$ ,  $c_n$ ,  $d_n$ ,  $f_1$ ,  $f_2$ , and  $f_3$  has the familiar form:

$$y(t) = a + b(t - t_m) + \sum_n (c_n \sin 2\pi t/P_n + d_n \cos 2\pi t/P_n) + f_1 QBO_1(t) + f_2 QBO_2(t) + f_3 ENSO(t) \quad (A6)$$

with the (monthly series) time variable expressed by  $t$ , and  $t_m$  chosen as the series mid-point; the linear trend term is coefficient  $b$  above. The *sine* and *cosine* functions provide for periodic variations with periods  $P_n$ . For our work, we use the two primary shorter-term periodic oscillations, annual (12-month period) and semi-annual (6-months), in Equation (A6). The QBO is also a major source of variability in stratospheric composition time series. As a QBO proxy, we include the variability in monthly mean tropical wind series; we use the linear combination of (roughly orthogonal) equatorial wind series at 50 hPa and 30 hPa as the  $QBO_1$  and  $QBO_2$  functions above, to account for phase shifts in the series at different locations. Monthly mean zonal equatorial wind data are made available by the Freie Universität Berlin (see <http://www.geo.fu-berlin.de/en/met/ag/strat/produkte/qbo/> for data access information and references). We have also tested fits with the zonal mean wind vertical shear (gradient) rather than the wind itself as a proxy, but this did not make significant changes in the trends (or improvements in the residuals). The ENSO proxy follows the monthly mean multivariate ENSO Index (MEI), which combines data from six main geophysical variables over the tropical Pacific (see Wolter and Timlin, 1993, 1998; <https://www.esrl.noaa.gov/psd/enso/mei/index.html>). Also, since the solar cycle 11-yr term can be highly correlated with the linear term, especially for shorter-term records like the time series from MLS data alone, we have not added a proxy solar term in this study. For further discussions of alternate fitting methods (e.g., methods using effective equivalent chlorine time series as a proxy), the reader is referred to the abundant literature on trend assessments (see WMO, 2014 and references therein). Our main goal here is to retrieve trends and trend errors from the data and the models in the same way. An example of deseasonalized ozone time series in the tropics at two pressure levels is provided in Fig. A3, which shows MLS data and SD-WACCM time series, along with the fits and the linear trends.

*Trend errors:* For the evaluation of error bars in the linear trends, we have used the method of bootstrap resampling (Efron and Tibshirani, 1986). As others have done for ozone trend analyses (Randel and Thompson, 2011, Bourassa et al., 2014), we have applied this using block bootstrapping (using yearly blocks of data), thereby preserving some of the dependency in the time series. Basically, one samples and (randomly) replaces blocks of yearly data for a large number of resampling cases (on the residuals), and then calculates the standard deviation of the large number of trend results (linear fits) to arrive at the trend uncertainties; note that we use  $2\sigma$  values as error bars in our comparisons (which is very close to 95% bounds). We have used 20,000 samples in our bootstrap analyses; changing this number (e.g., by several thousand) does not alter the results significantly, as long as one chooses a large enough total number of cases. An alternative method is to attempt to correct trend uncertainties for the autocorrelation of the residuals after the regression fit (Tiao et al., 1990; Weatherhead et al., 1998; Santer et al., 2000). The existence of non-random residuals effectively implies that the number of independent data points is less than the number making up the original time series. The end result is that trend uncertainties are larger than if one neglects these effects. We find that trend errors from this bootstrap method for our time series examples are often larger than more simplistic/standard calculations by factors ranging from about 1.2 to 2 or more. We have checked our trend error calculations with the OSIRIS team, based on a sample time series, as they have used the same block bootstrap approach (Bourassa et al., 2014).



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**Figure A3.** Deseasonalized monthly mean anomaly time series for  $O_3$  (%) at 2.2 hPa (top panel) and 68 hPa (bottom panel), for 1998 through 2014, for averages over  $20^\circ\text{S}$ - $20^\circ\text{N}$ . Note that the y-axis range for 68 hPa (bottom) is 3 times larger than for 2.2 hPa (top). The data set (black) is from the GOZCARDS ozone record, with the SD-WACCM (simulated) series (red) also shown. Fits to the observational series are in purple, and fits to the model series are in orange; the fitted time series functions (curves) and the fitted linear components (straight lines) are shown.

*Data availability.* Aura MLS data used in this work are monthly zonal means derived from Level 2 MLS data, which are accessible from the Goddard Earth Sciences Data and Information Services Center (GES DISC), funded by NASA's Science Mission Directorate; a link for MLS Level 2 data access can be found at <https://mls.jpl.nasa.gov/data/>. GOZCARDS data sets can be obtained (by entering GOZCARDS in the search) at <http://disc.gsfc.nasa.gov>. More recent years (and version updates) will be made available at this site, or can be obtained by request to the first author. The WACCM model output used here is provided in some of the references and is available from the NCAR Earth System Grid at <https://www.earthsystemgrid.org/search.html?Project=CCMI1>. For WACCM, we thank NASA Goddard Space Flight Center for the MERRA data (accessed freely online at <http://disc.sci.gsfc.nasa.gov/>).

*Author contributions.* L. Froidevaux produced the majority of this manuscript, including the Figures. D. Kinnison provided the model runs used in these comparisons to observational data from Aura MLS and GOZCARDS; he also described the models used here and provided substantial guidance and comments for this manuscript. H.-J. Wang and J. Anderson, along with L. Froidevaux, were key participants in the development and creation of the GOZCARDS data sets, including the recently updated version (2.20) for merged ozone used herein. R. Fuller was another key participant in the GOZCARDS data production, and he also provided programming support for these model intercomparisons.

*Competing interests.* The authors declare that they have no conflicts of interest.

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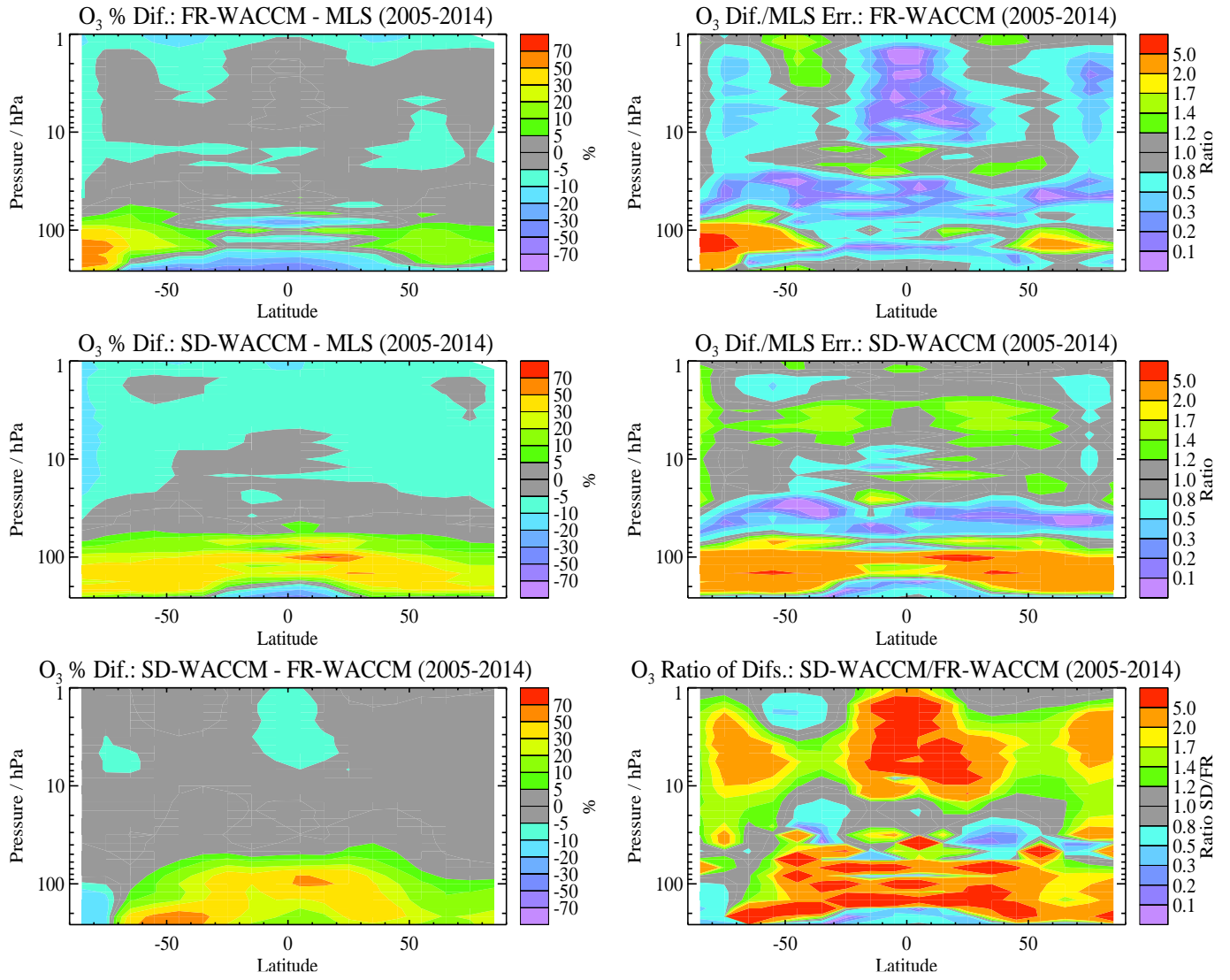
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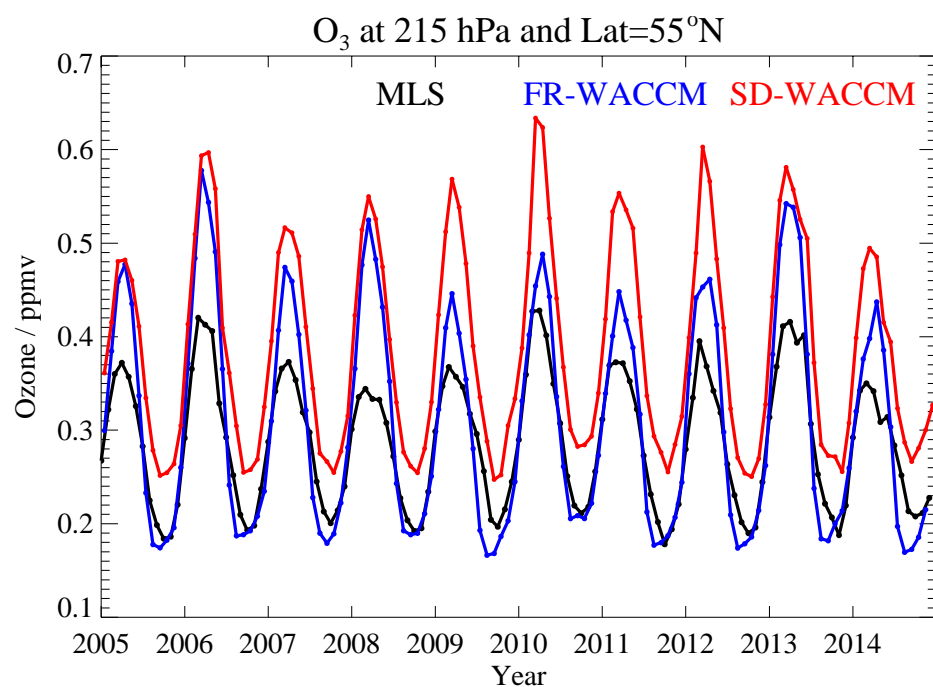
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**Figure 1.** The left panels show percent differences ((model-data) divided by data) for binned climatological average  $\text{O}_3$  from 2005 through 2014 (see Fig. S1 for these averages), for (top panel) the free-running model (average of 3 realizations) FR-WACCM, (middle panel) the specified dynamics model version SD-WACCM, and (bottom panel) SD-WACCM minus FR-WACCM, also as a percent difference. The two top right panels give ratios of the absolute value of average model (FR-WACCM in top panel, SD-WACCM in middle panel) minus average MLS  $\text{O}_3$  to the MLS systematic  $\text{O}_3$  errors, based on the climatological fields and estimated MLS errors ( $2\sigma$  estimates, see text and Fig. S2). The bottom right panel gives the ratios of average absolute differences between SD-WACCM and MLS to those differences for FR-WACCM and MLS; e.g., this shows that upper stratospheric tropical SD-WACCM mean  $\text{O}_3$  is larger than  $\text{O}_3$  from FR-WACCM, which is why SD-WACCM matches MLS better there (see top 2 right panels).

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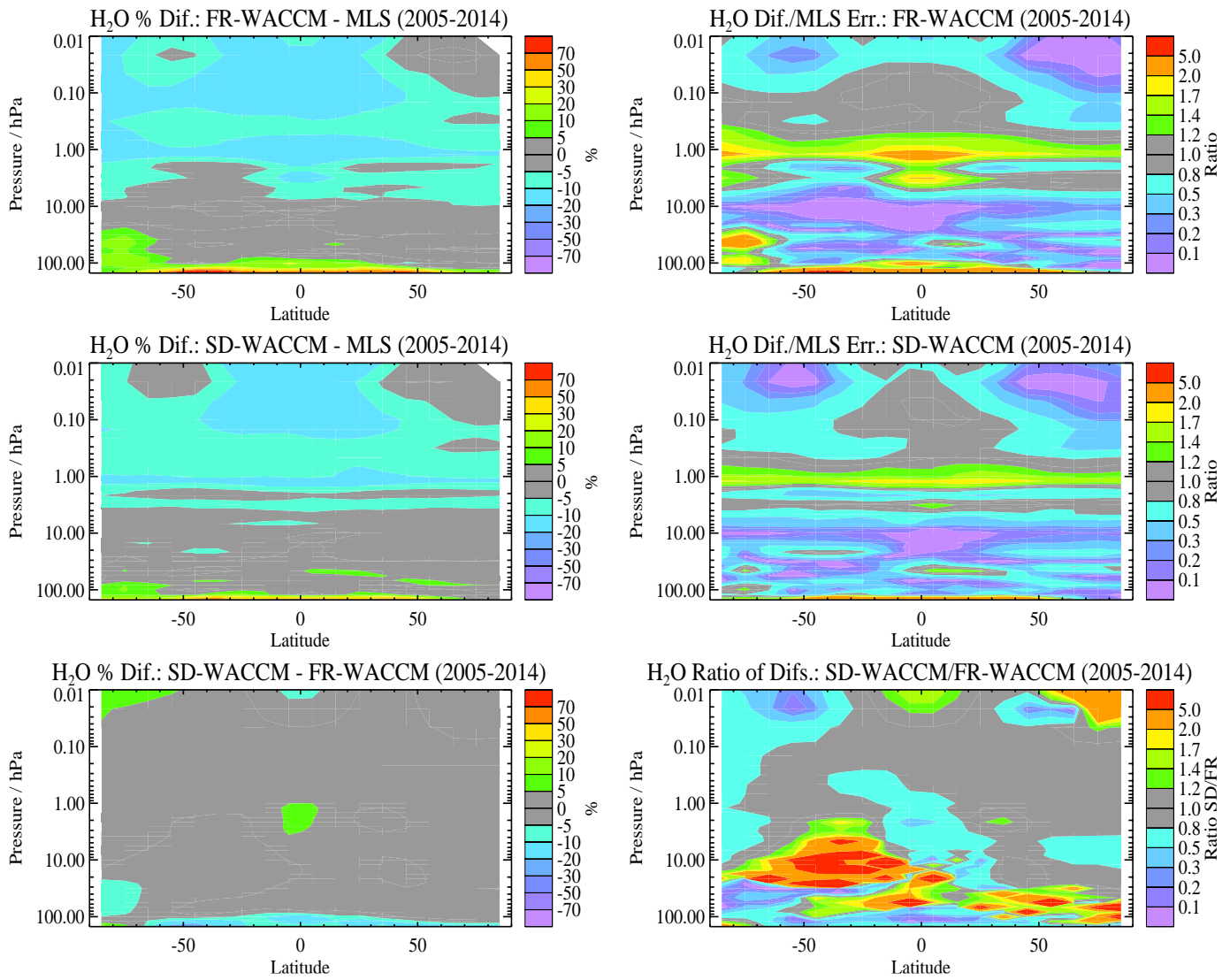
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**Figure 2.** Monthly mean ozone time series at 215 hPa and the 55°N latitude bin (for averages over 50°N-60°N) from MLS, FR-WACCM, and SD-WACCM (see legend for color coding).

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4 **Figure 3.** Same as Fig.1, but for stratospheric and mesospheric water vapor.

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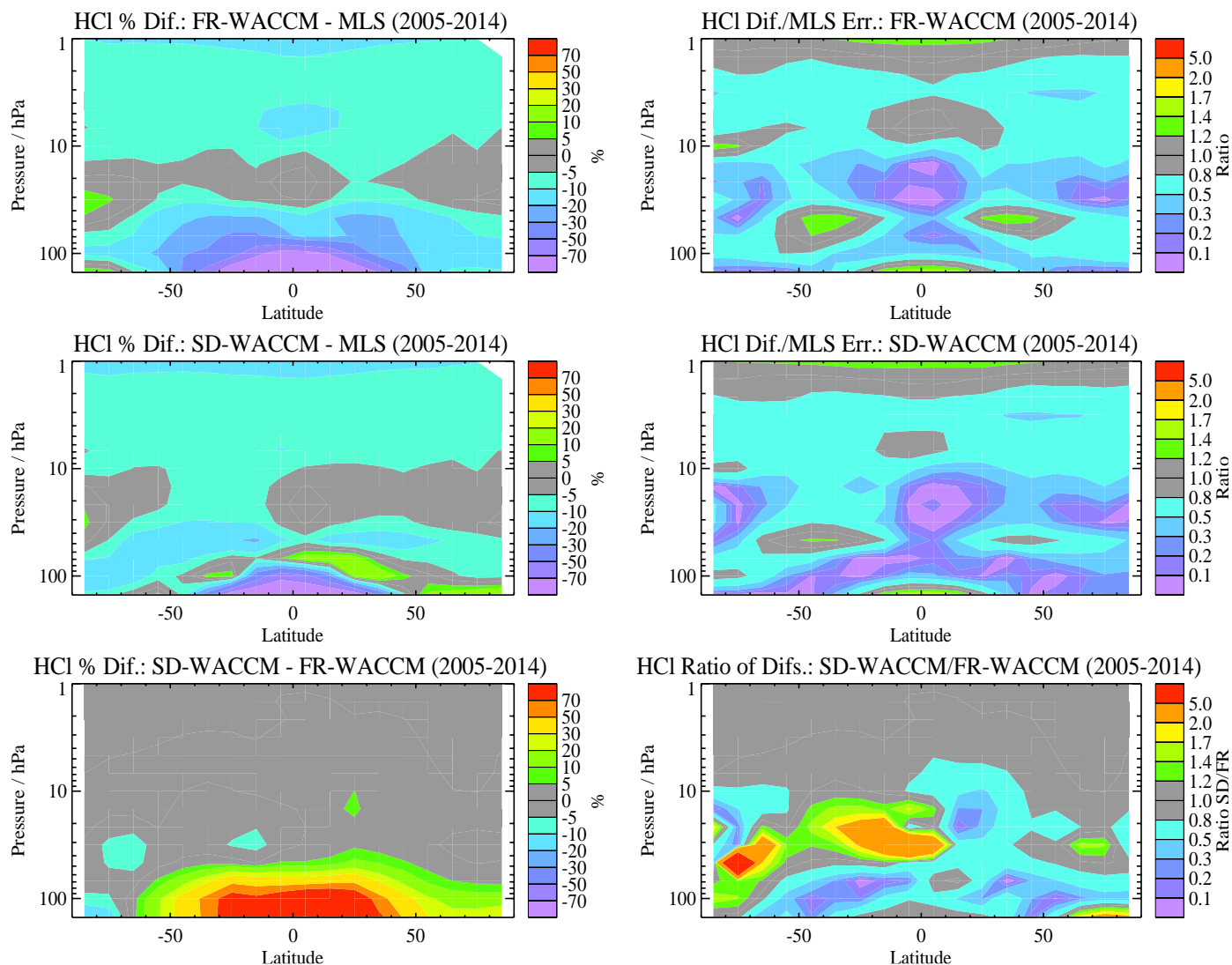
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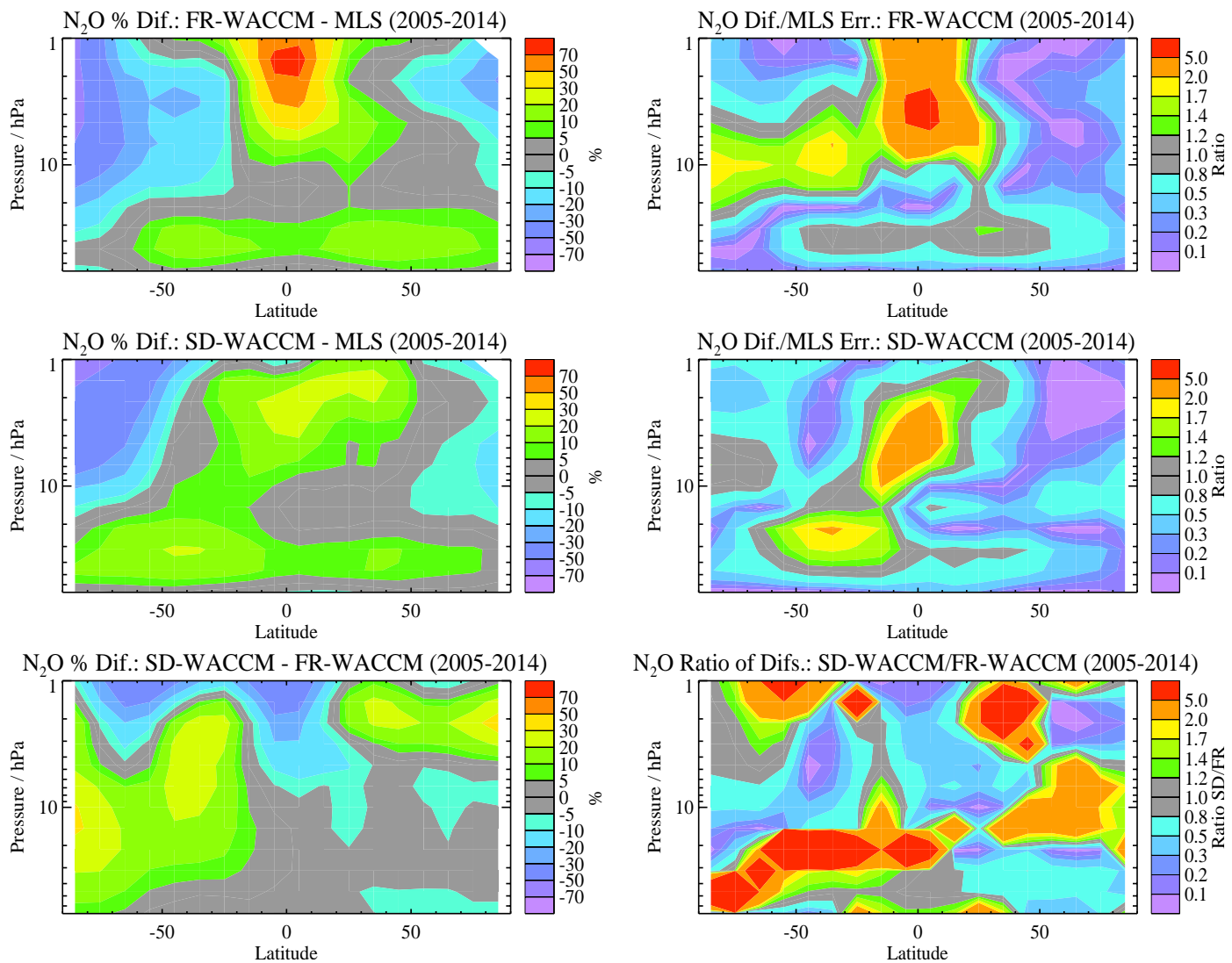
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**Figure 4.** Same as Fig. 1, but for stratospheric HCl.

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**Figure 5.** Same as Fig. 1, but for stratospheric  $N_2O$ .

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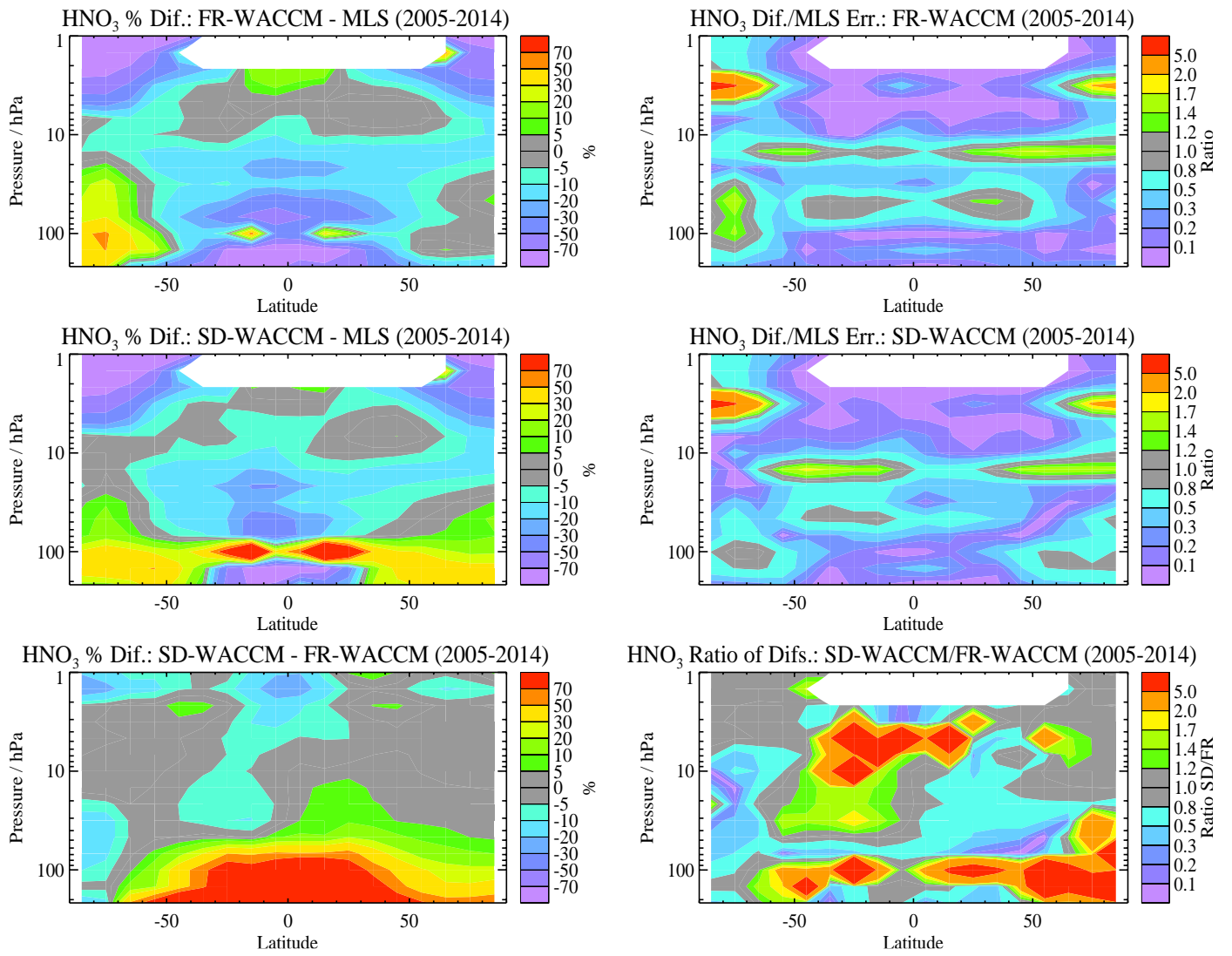
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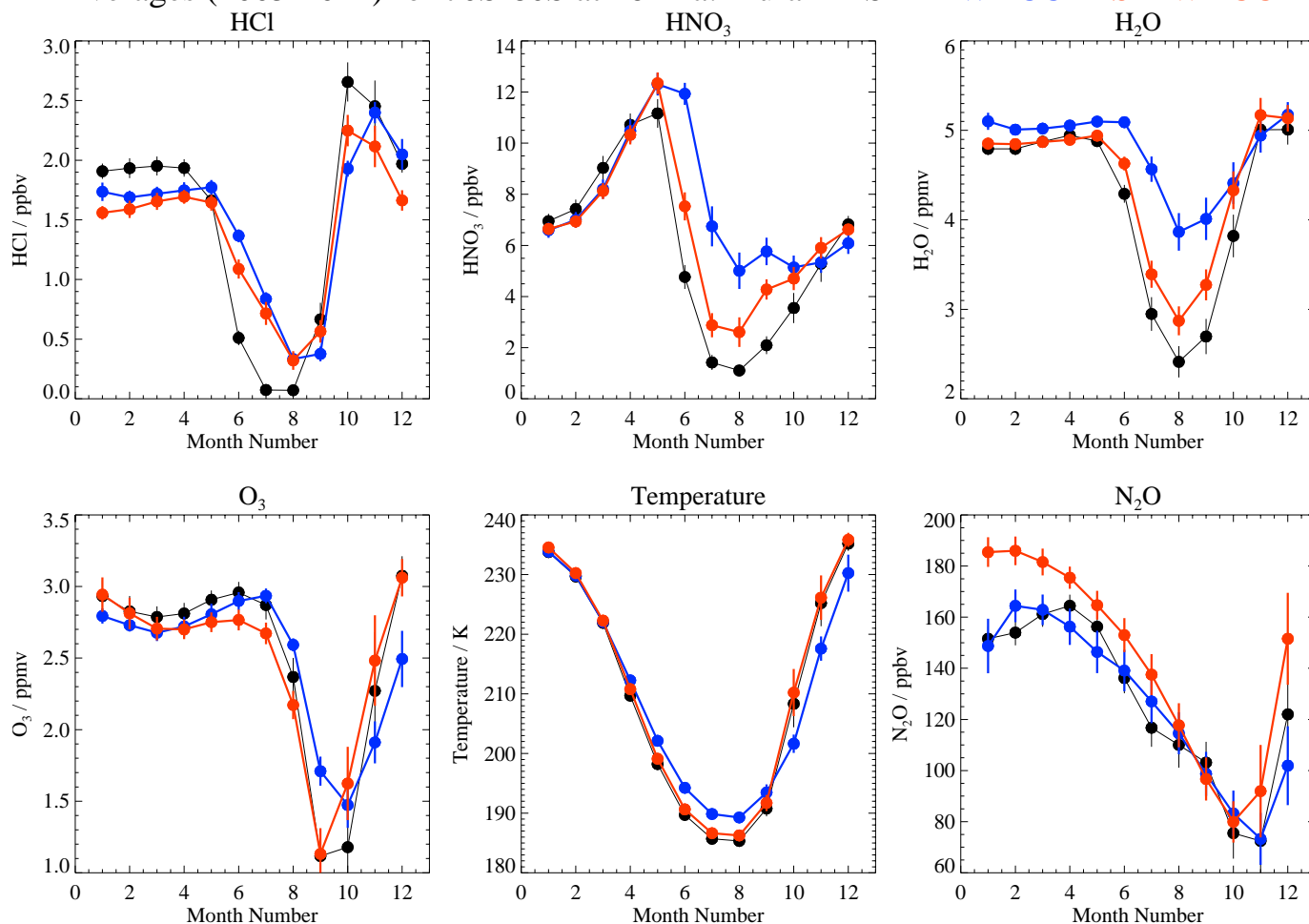
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**Figure 6.** Same as Fig. 1, but for stratospheric HNO<sub>3</sub>.

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Averages (2005-2014) for 70S-80S at 46 hPa: Aura MLS **FR-WACCM** **SD-WACCM**

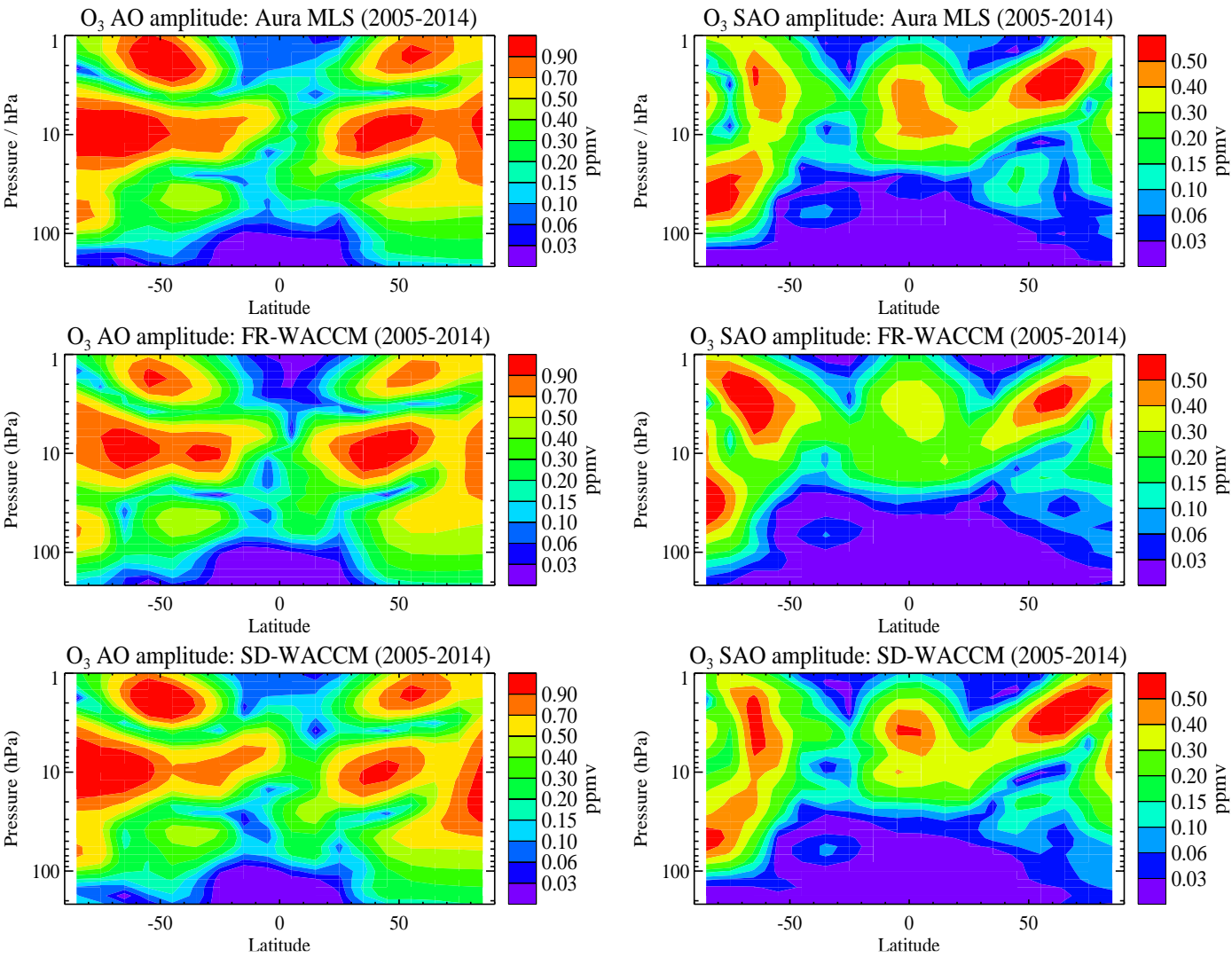


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**Figure 7.** Each of the panels shows average seasonal changes from 2005-2014 for the 70°S-80°S region at 46 hPa. Data values (black) are from Aura MLS and model comparisons (FR-WACCM in blue, SD-WACCM in red) are provided for HCl (top left), HNO<sub>3</sub> (top center), H<sub>2</sub>O (top right), O<sub>3</sub> (bottom left), temperature (bottom center), and N<sub>2</sub>O (bottom right). For each month, the error bars represent twice the standard errors in the means, based on the set of 10 monthly averages (from 2005 through 2014).

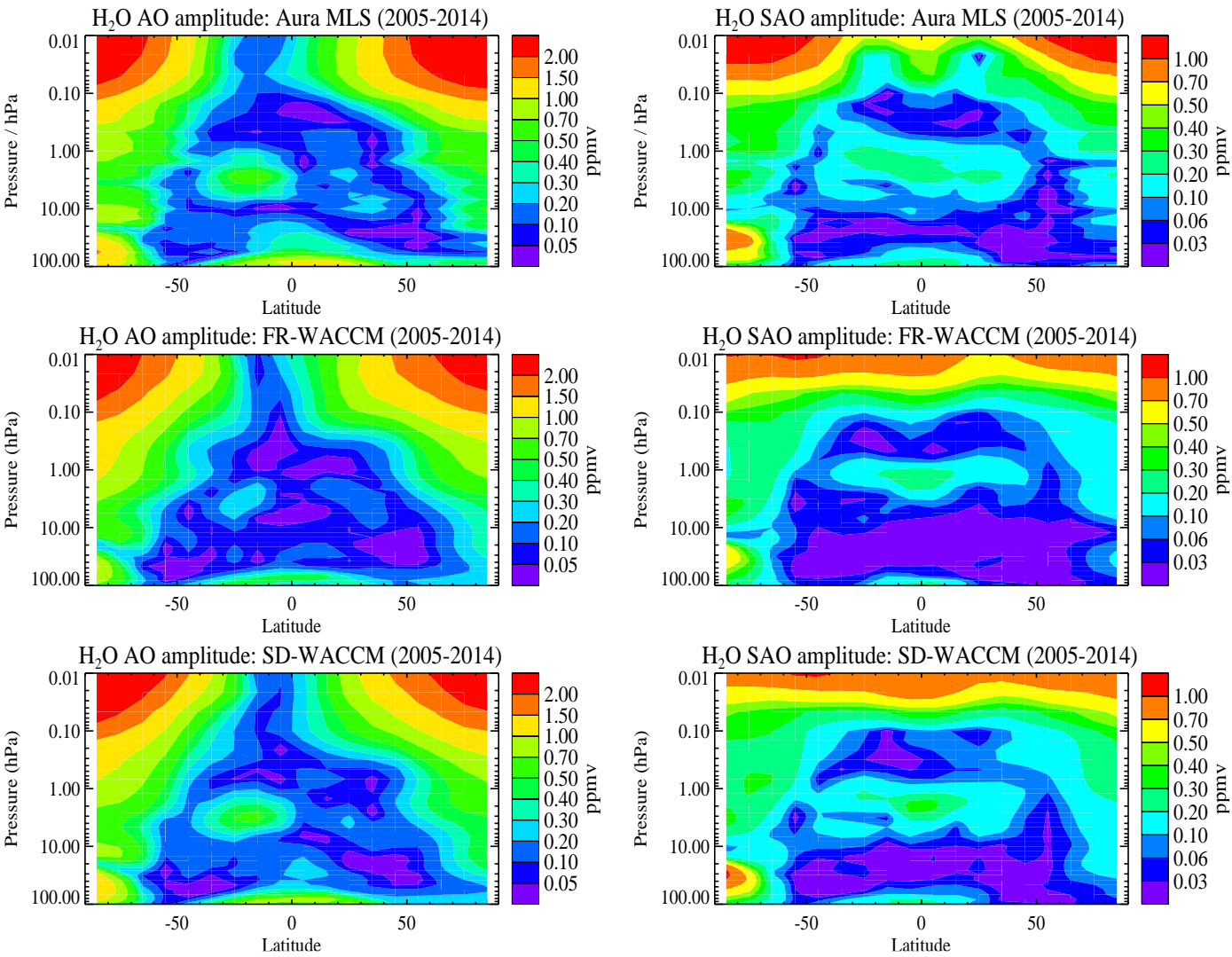


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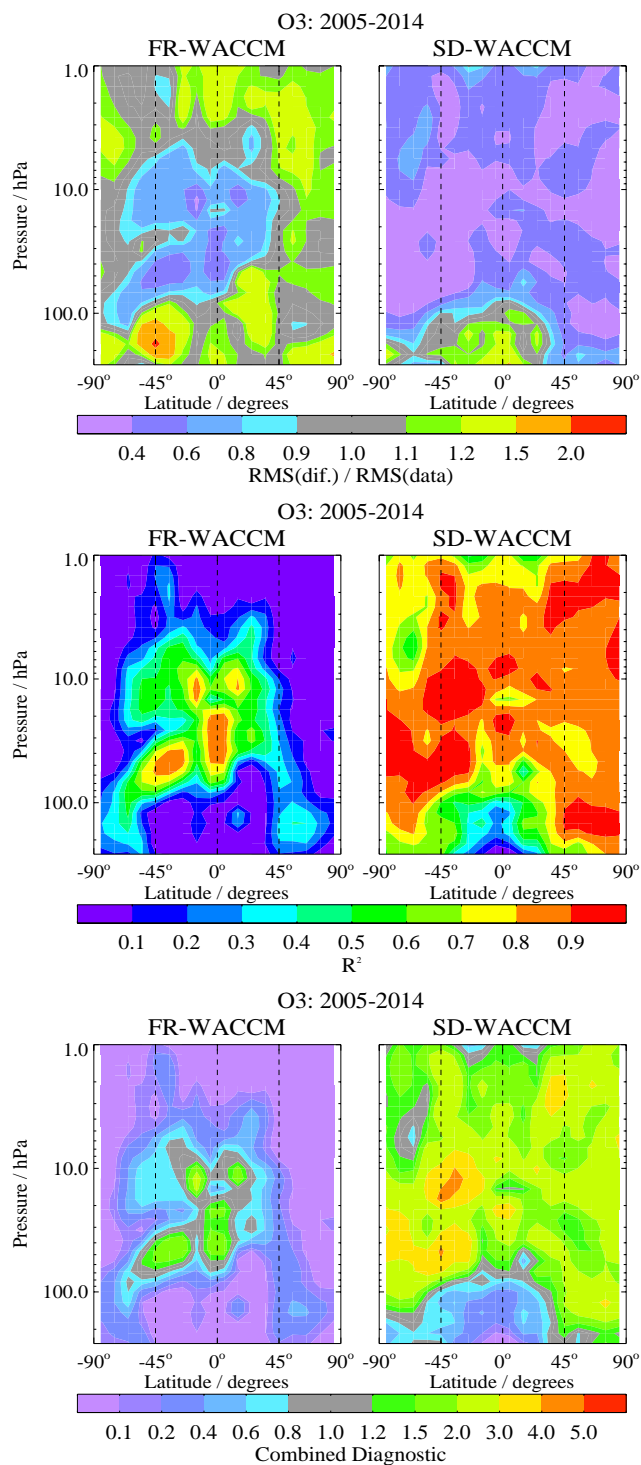
**Figure 8.** Amplitude of the stratospheric ozone annual cycle (left panels) and semi-annual cycle (right panels) for Aura MLS (top), FR-WACCM (middle), and SD-WACCM (bottom), based on fits to time series from 2005 through 2014.

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**Figure 9.** Same as Fig. 8, but for H<sub>2</sub>O annual and semi-annual cycles in the stratosphere and mesosphere.

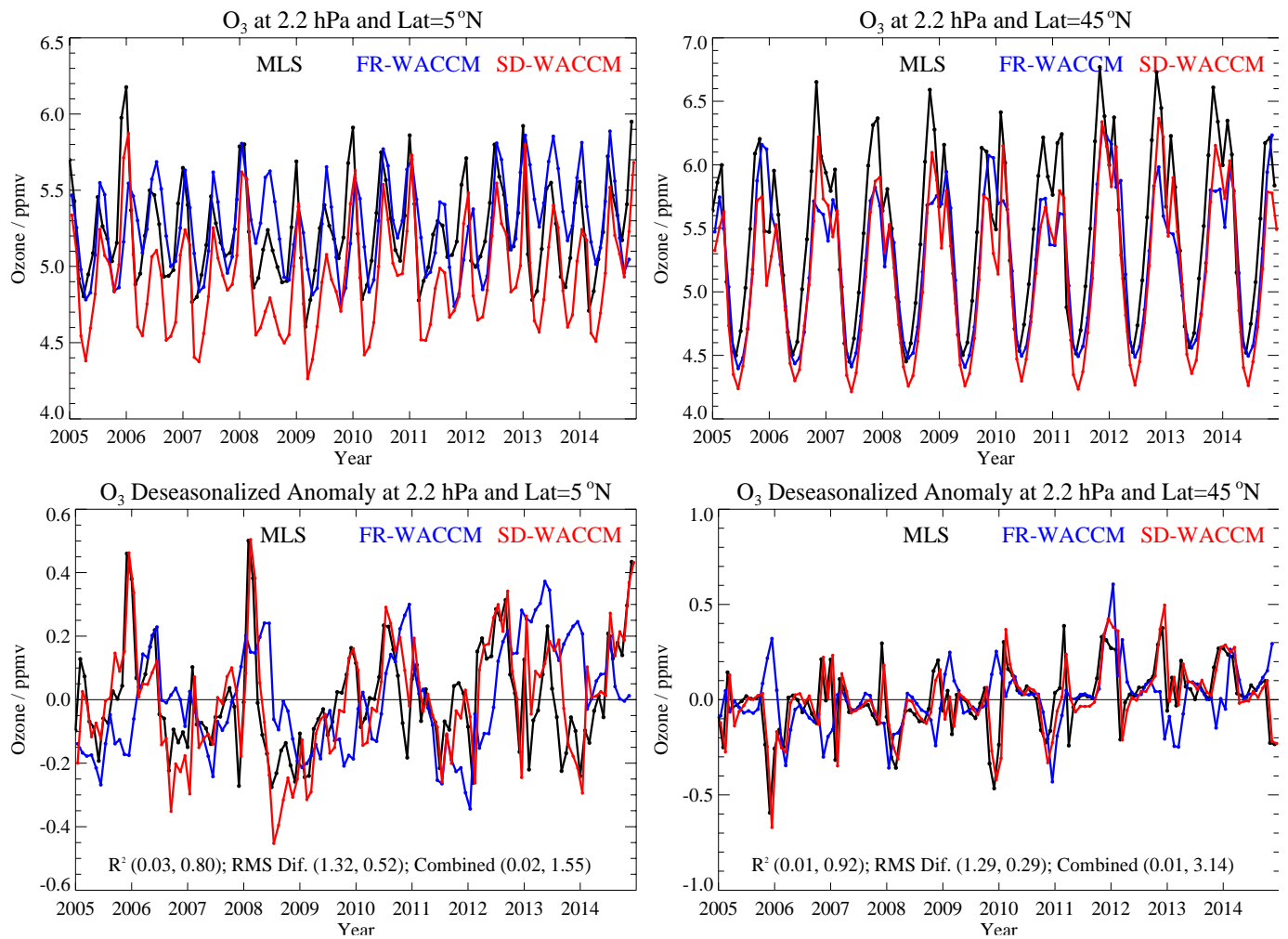
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**Figure 10.** Latitude/pressure contours of diagnostics that show how well the deseasonalized anomalies of model ozone time series (FR-WACCM at left, SD-WACCM, at right) compare to MLS O<sub>3</sub> anomaly series for 2005-2014. Top panels show the RMS difference diagnostic (see text) and middle panels show R<sup>2</sup> values; small RMS difference values represent a closer fit, while large R<sup>2</sup> values represent highly correlated results. The bottom panels provide a combined diagnostic, namely the ratio of R<sup>2</sup> to the RMS difference diagnostic from the top panels; larger values here represent a better result for comparisons to the observed time series.

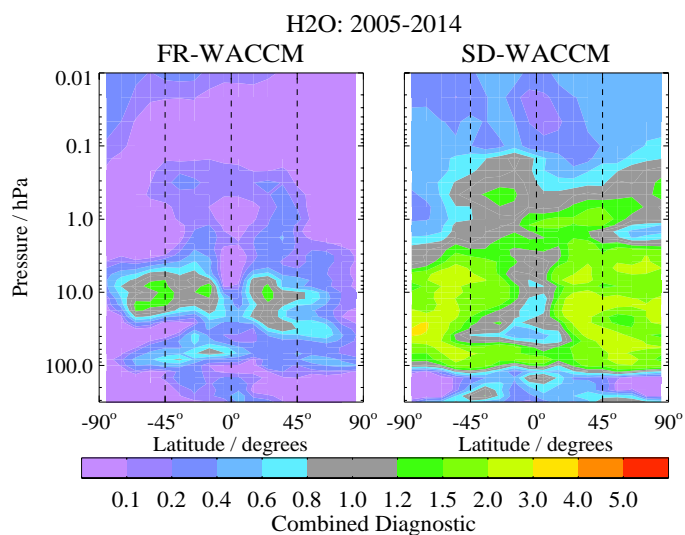
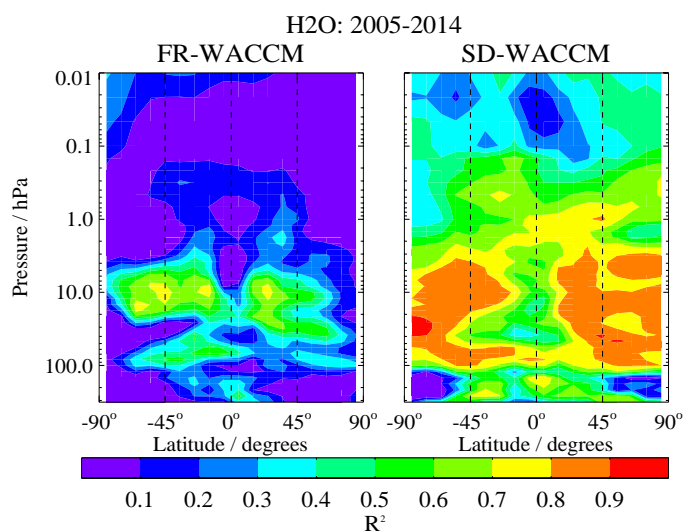
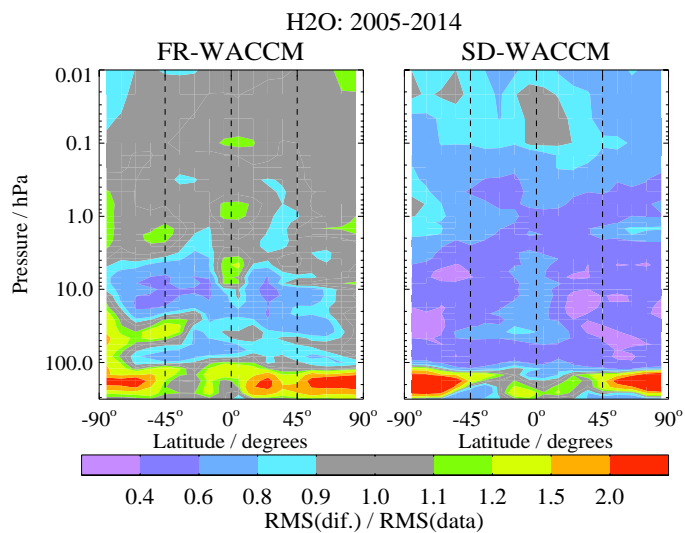
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**Figure 11.** Time series of monthly zonal mean  $O_3$  mixing ratios at 2.2 hPa (top panels) and deseasonalized anomalies (bottom panels), with the 0-10°N and 40°N-50°N latitude bins on the left and right, respectively. The two model time series (FR-WACCM in blue and SD-WACCM in red) are compared to the MLS series (in black) for 2005-2014. Diagnostic values (see text for a description) are shown in parentheses in the bottom two panels, with the 1<sup>st</sup> number referring to FR-WACCM and the 2<sup>nd</sup> number to SD-WACCM.

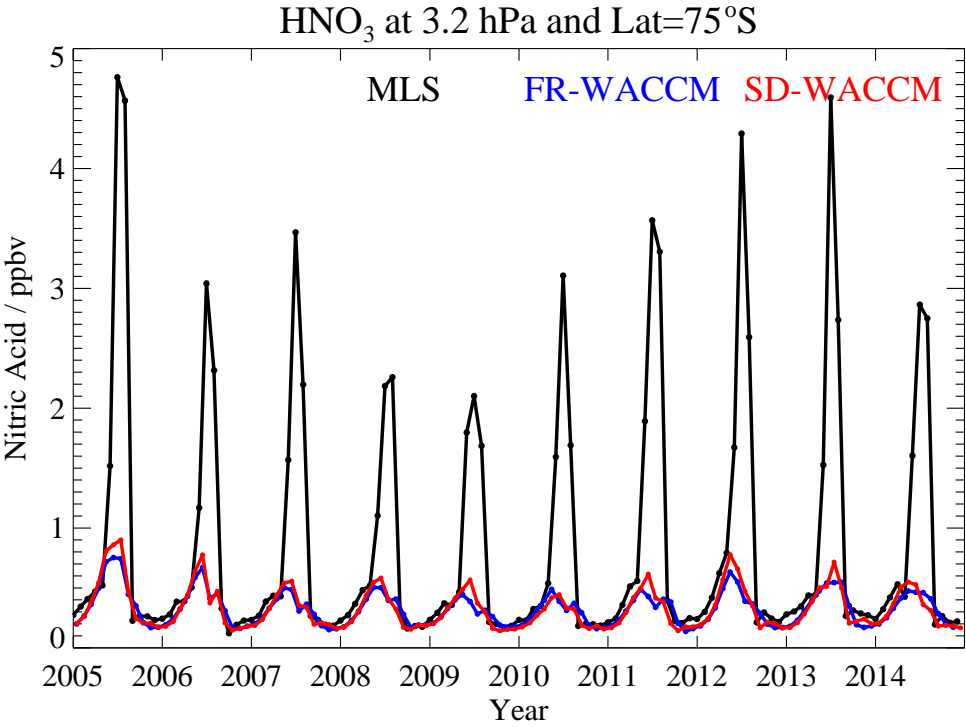
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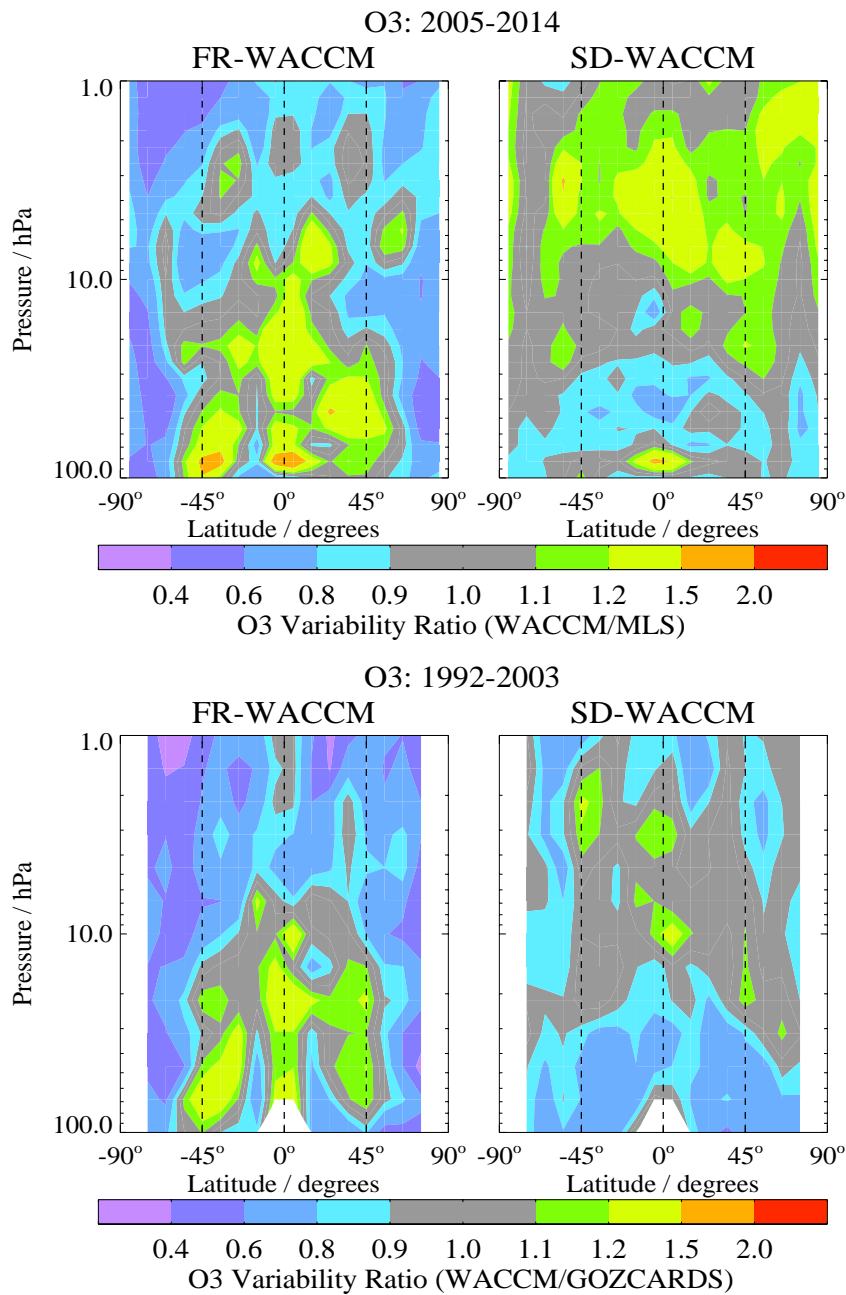
**Figure 12.** Same as the Fig. 10 diagnostics, but for H<sub>2</sub>O up to 0.01 hPa.

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**Figure 13.**  $\text{HNO}_3$  monthly zonal mean mixing ratio time series (2005 through 2014) from MLS, FR-WACCM, and SD-WACCM for 3.2 hPa and 70°S-80°S.

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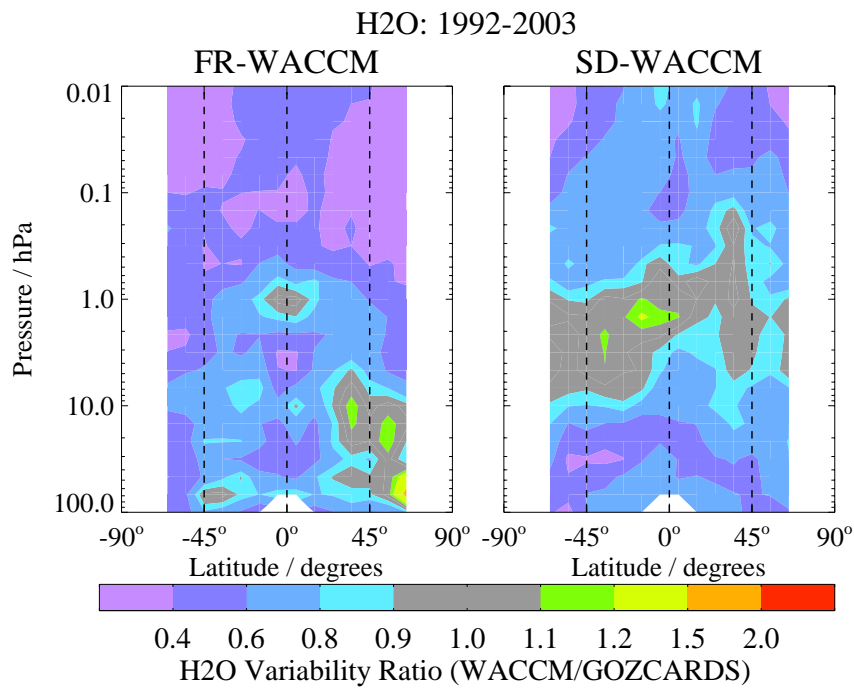
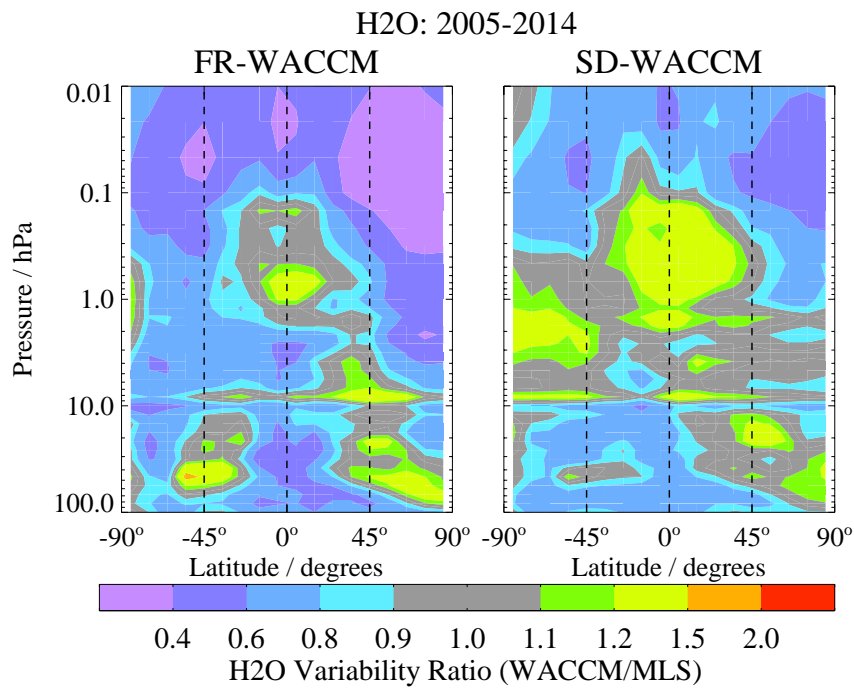


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**Figure 14.** Variability ratios (model results divided by data results) for stratospheric O<sub>3</sub>, with FR-WACCM results on the left, and SD-WACCM on the right. Before calculating the ratios, the variability values are obtained as the root mean square of detrended deseasonalized monthly anomaly time series, and expressed as a percentage of mean (climatological) abundances; the top panels show comparisons to MLS data for 2005-2014, whereas the bottom panels are for 1992-2003 comparisons to GOZCARDS.



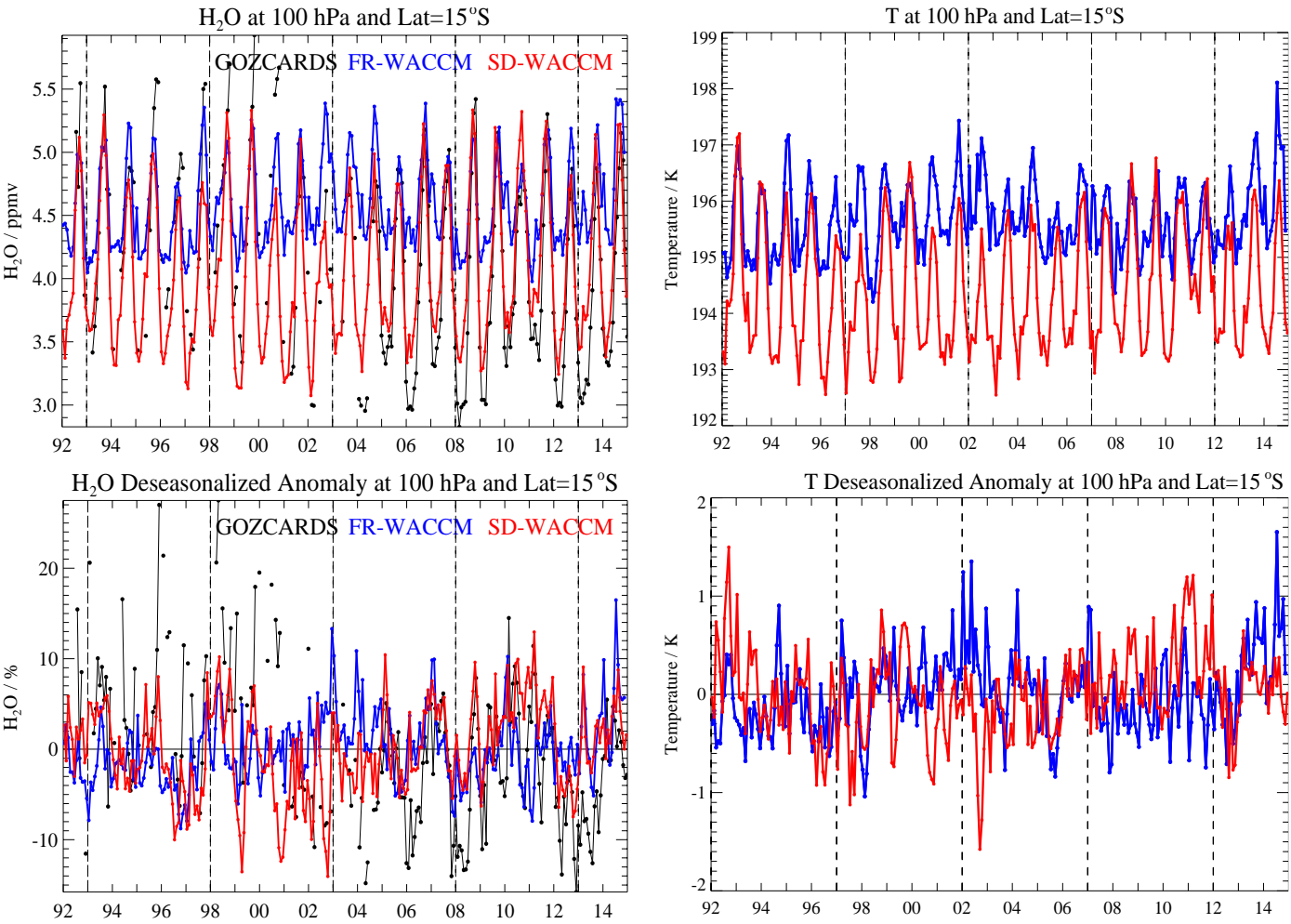
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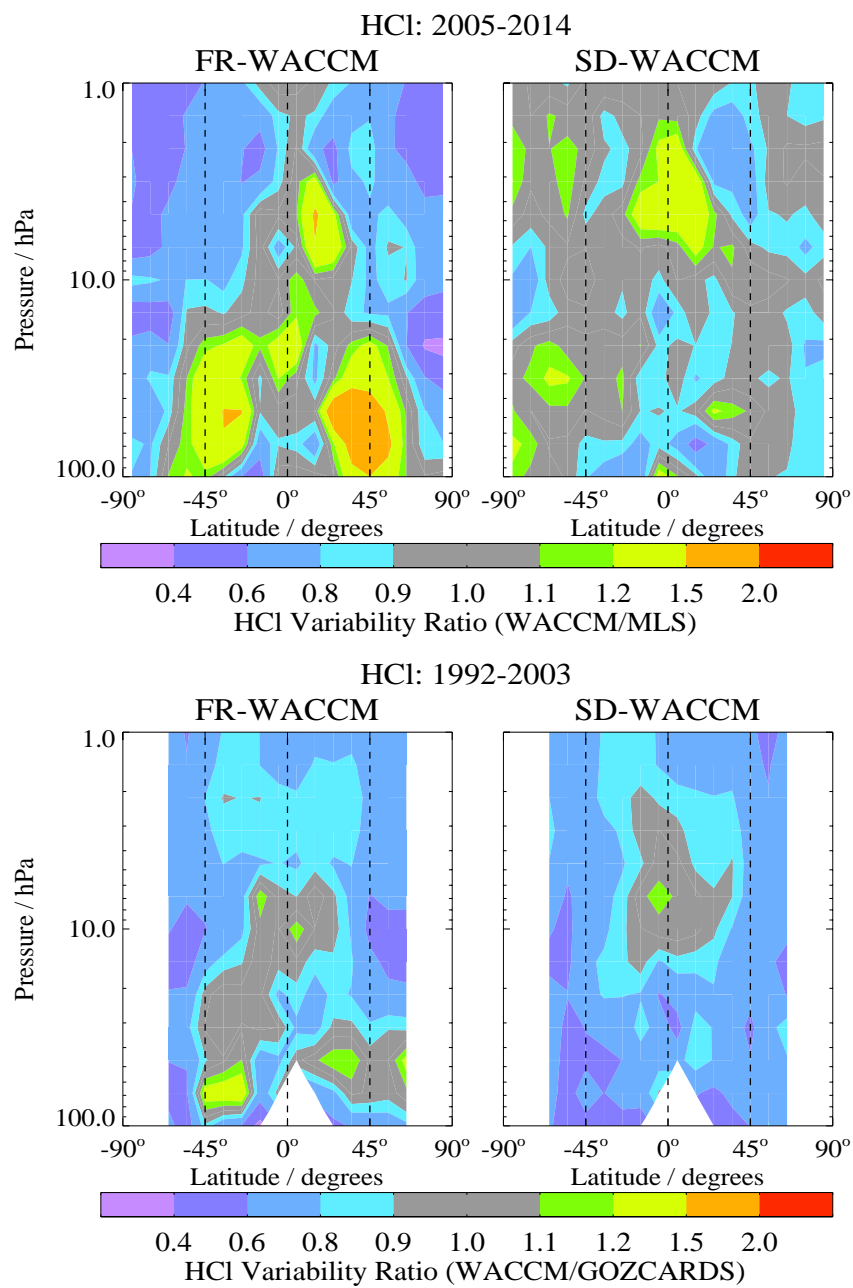
**Figure 15.** Same as Fig. 14, but for ratios (model/data) of H<sub>2</sub>O stratospheric and mesospheric variability for two different time periods.

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**Figure 16.** Time series (1992-2014) at 100 hPa and 10°S-20°S for temperature (right two panels) and H<sub>2</sub>O (left two panels), with deseasonalized anomalies shown in the bottom two panels. The temperature plots just show the two models (FR-WACCM in blue, SD-WACCM in red), whereas the H<sub>2</sub>O series show the comparisons for the models versus GOZCARDS merged H<sub>2</sub>O data (in black).

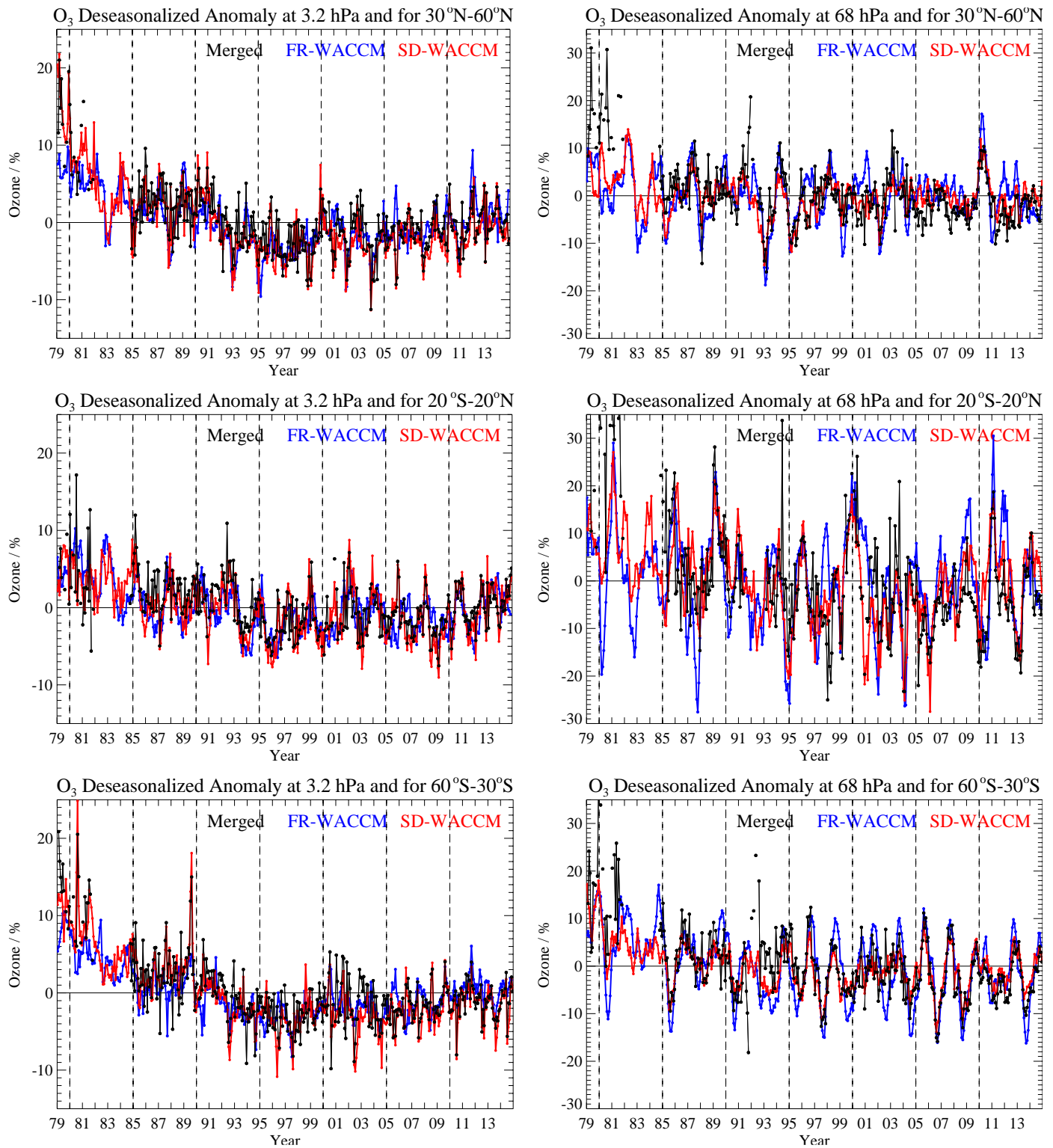
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**Figure 17.** Same as Fig. 14, but for ratios (model/data) of HCl stratospheric variability.

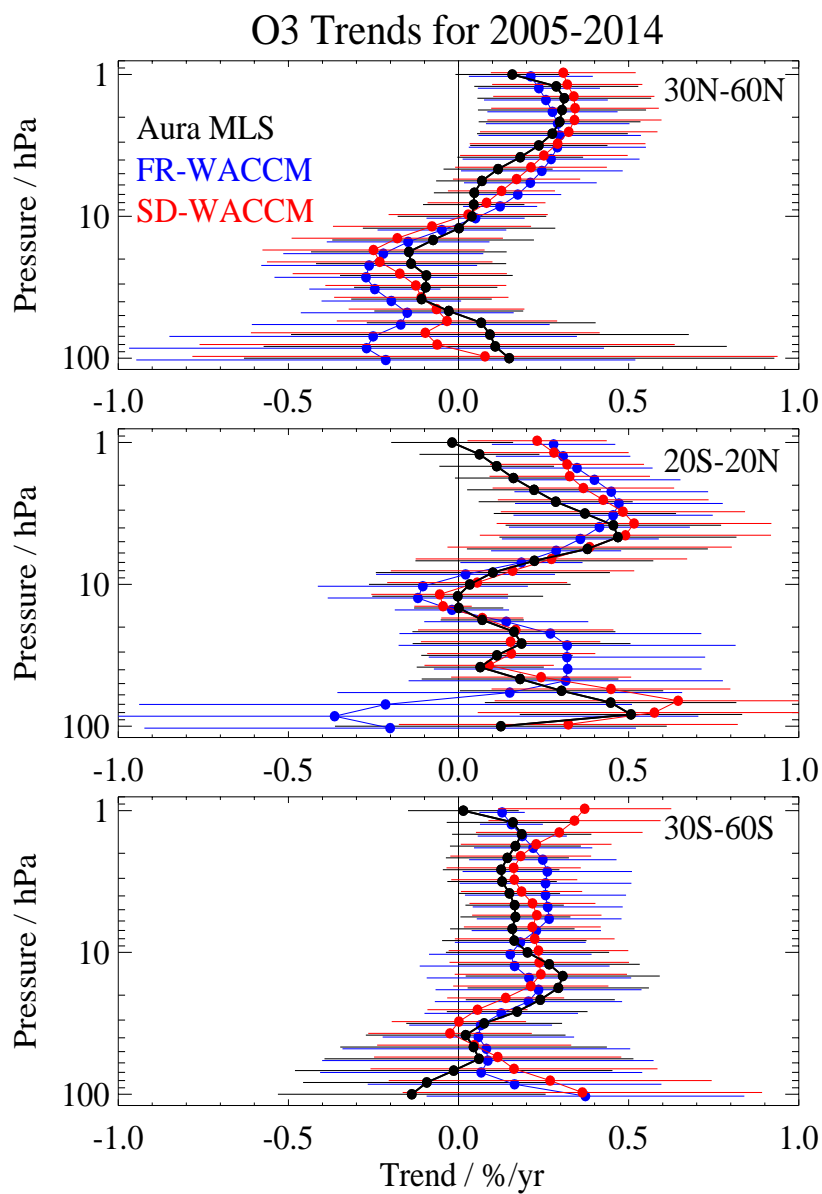
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**Figure 18.** Sample time series of deseasonalized ozone anomalies (%) from 1979 through 2014 from the GOZCARDS data record (version 2.20) compared to the corresponding model anomalies from FR-WACCM (blue) and SD-WACCM (red). Upper stratospheric series at 3.2 hPa are shown in left panels and lower stratospheric series at 68 hPa are on the right; three latitude bins are displayed (30°N-60°N, top; 20°S-20°N, middle, and 30°S-60°S, bottom).

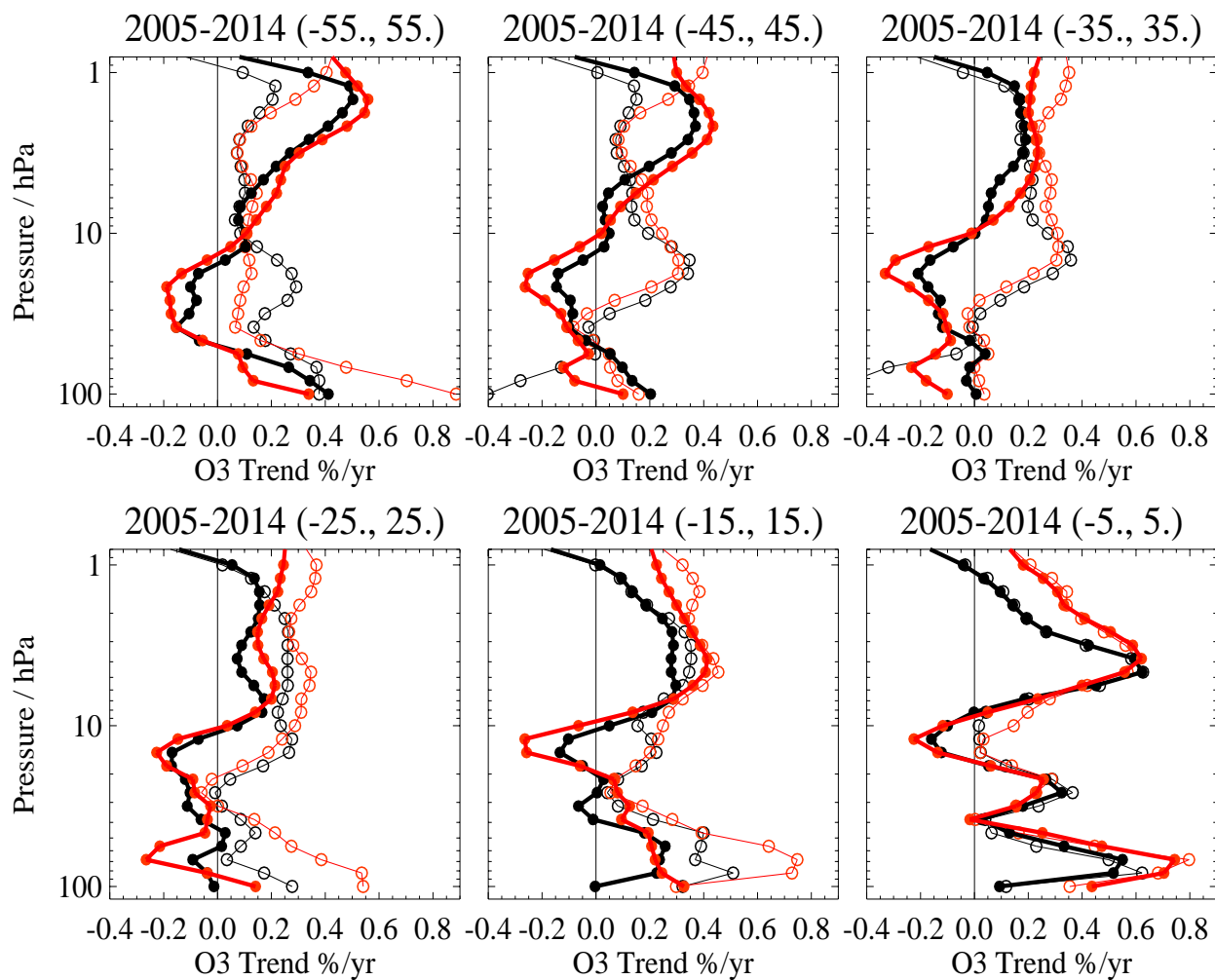
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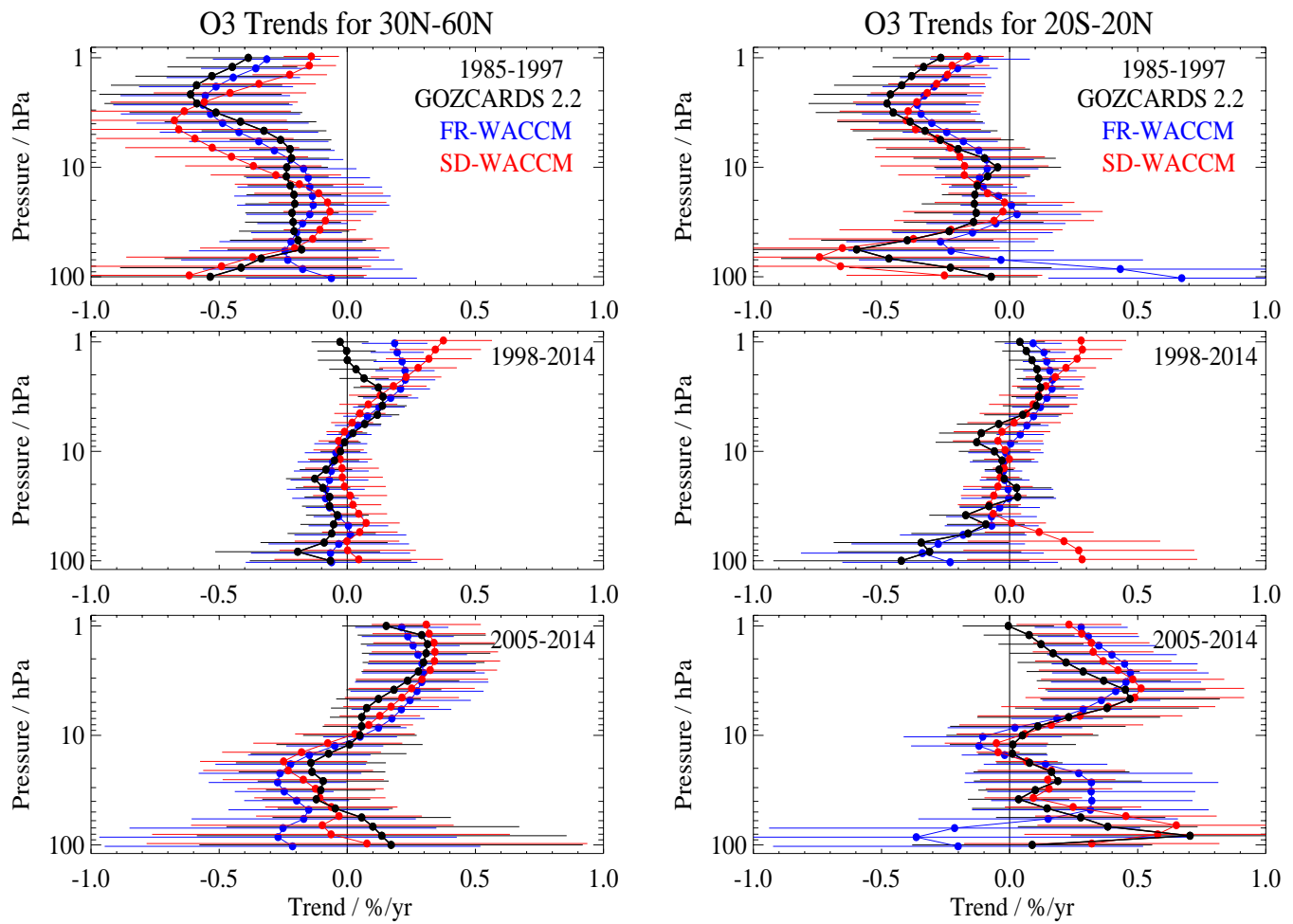
**Figure 19.** Ozone stratospheric trends for 2005 through 2014 obtained from monthly zonal mean data (version 4.2 Aura MLS) and models (FR-WACCM and SD-WACCM), after multiple linear regression analyses of deseasonalized anomaly time series, as described in the text. Each panel refers to results from different latitude band average series (see legend). The error bars are  $2\sigma$  estimates based on bootstrap resampling results (see text).

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**Figure 20.** Ozone trends in different latitude bins for SD-WACCM (red) versus MLS data (black) for 2005-2014. Closed and open circles are for northern and southern latitude bins, respectively. For clarity, error bars are omitted here, as these generally show that model/data trend differences are not significant for this time period.

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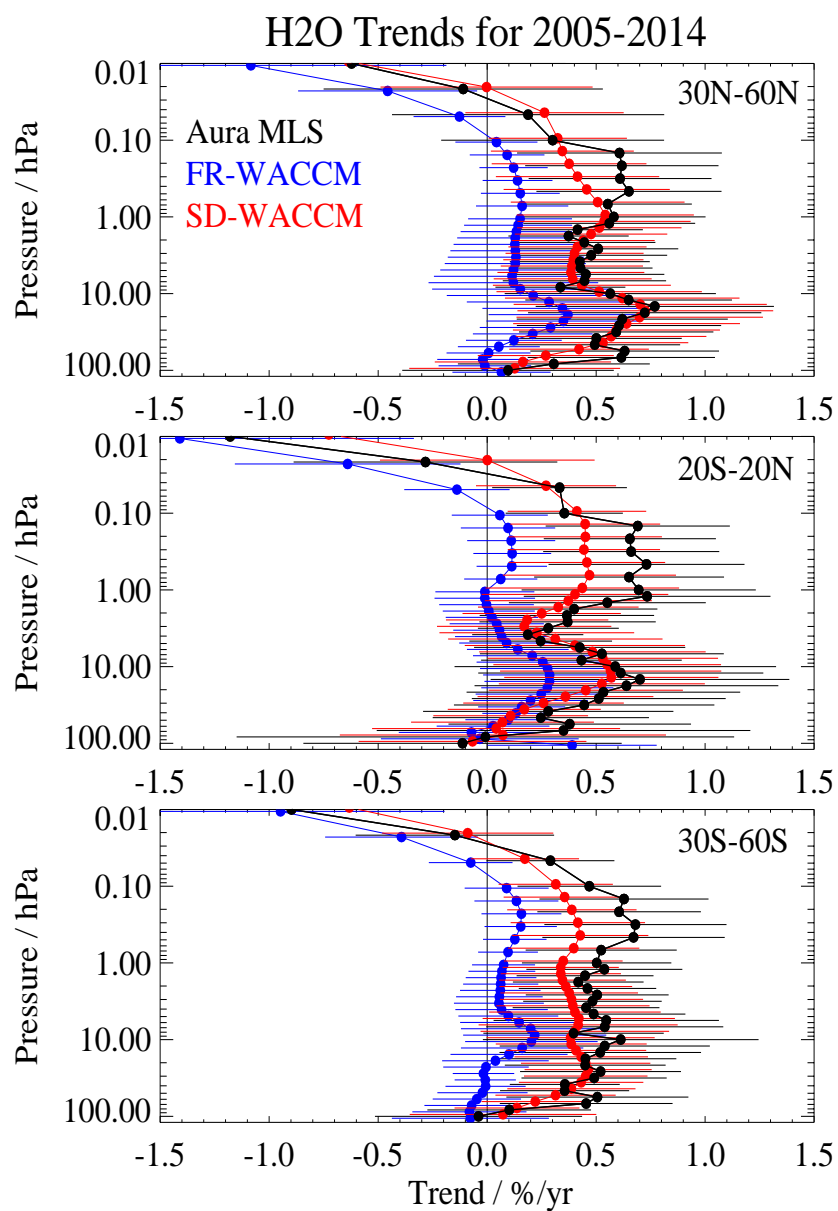


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**Figure 21.** Same as Fig. 19 for ozone trend comparisons, except for the use of two latitude bands (30°N-60°N on left side and 20°S-20°N on right side) and three different time periods (from top to bottom panels, see legend); the data record here is from GOZCARDS merged ozone version 2.20 (see text).



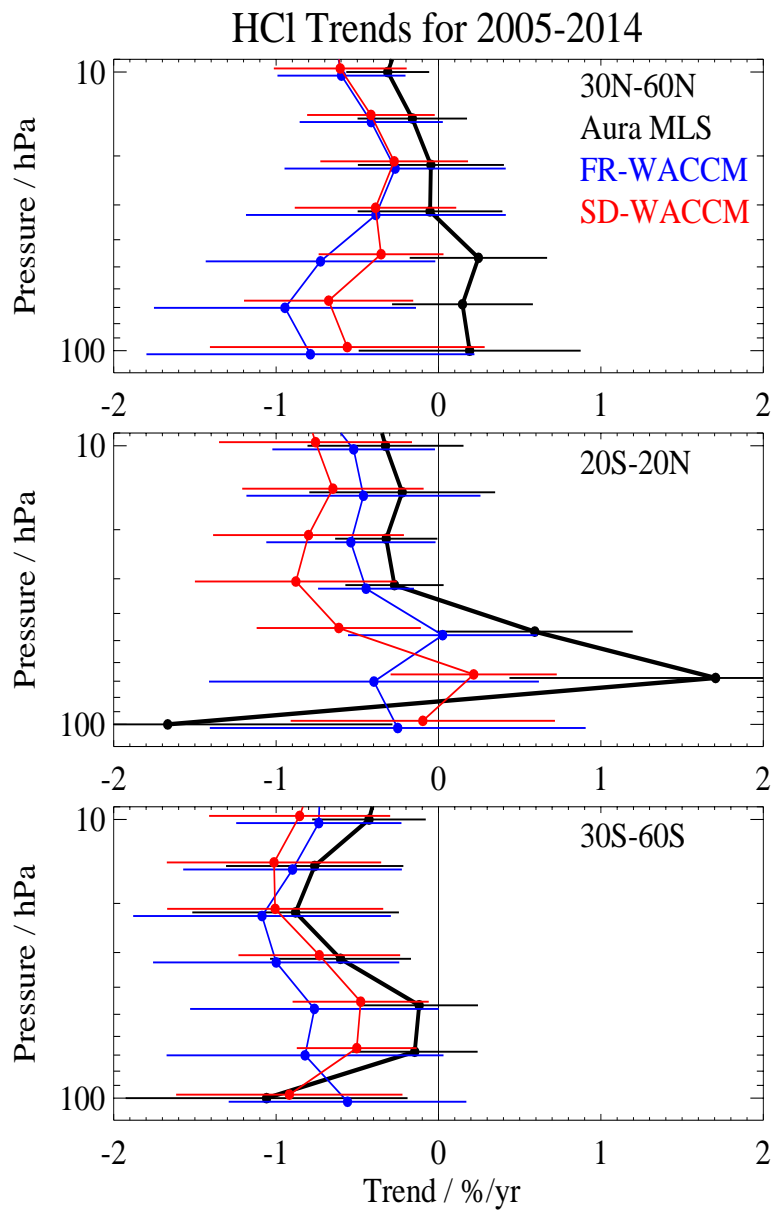
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**Figure 22.** Trends in three latitude bins for stratospheric and mesospheric H<sub>2</sub>O from an analysis of the 2005-2014 MLS data and the two WACCM models over the same time period.

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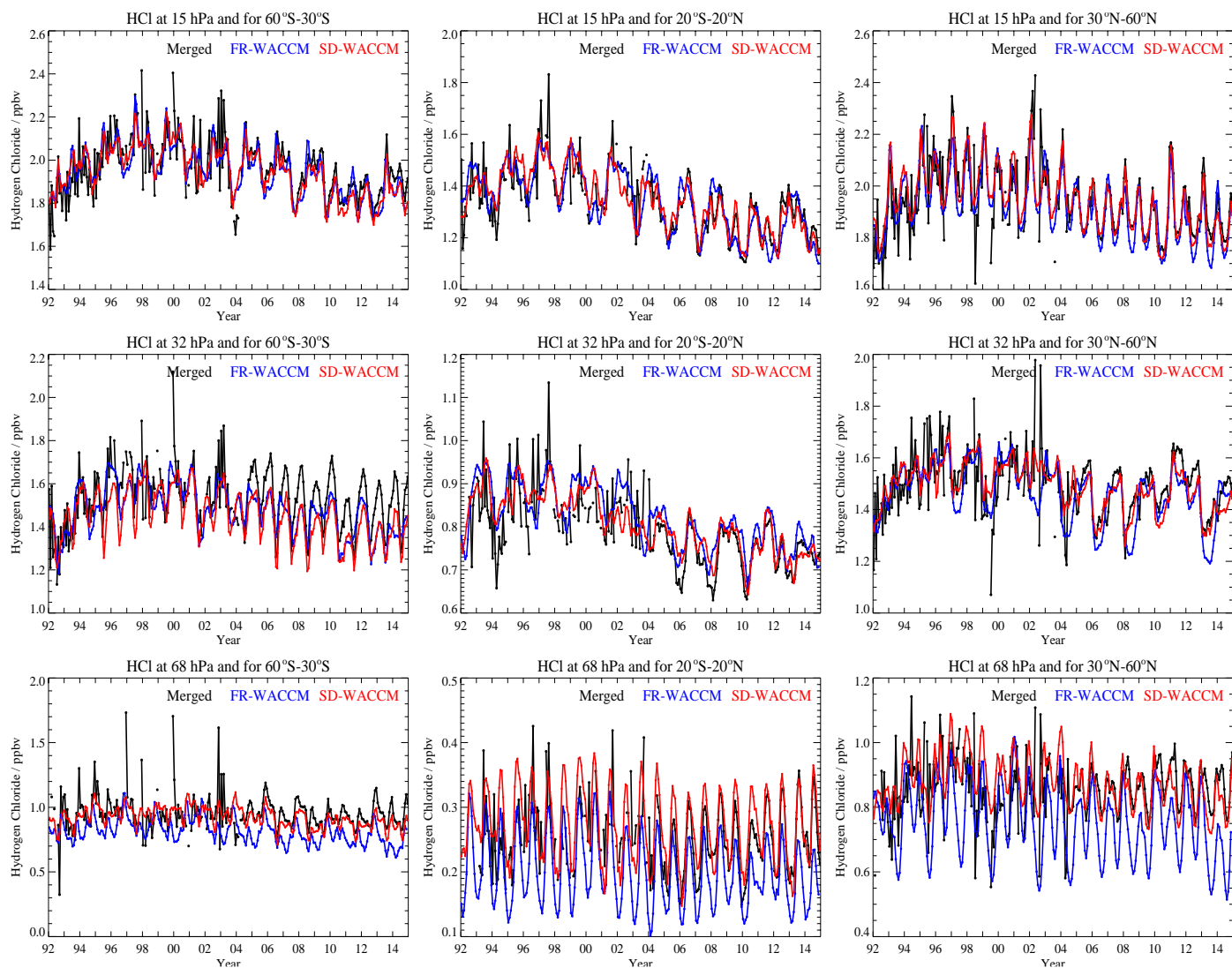
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**Figure 23.** Same as Fig. 19, but for HCl data and model trends in the lower stratosphere.

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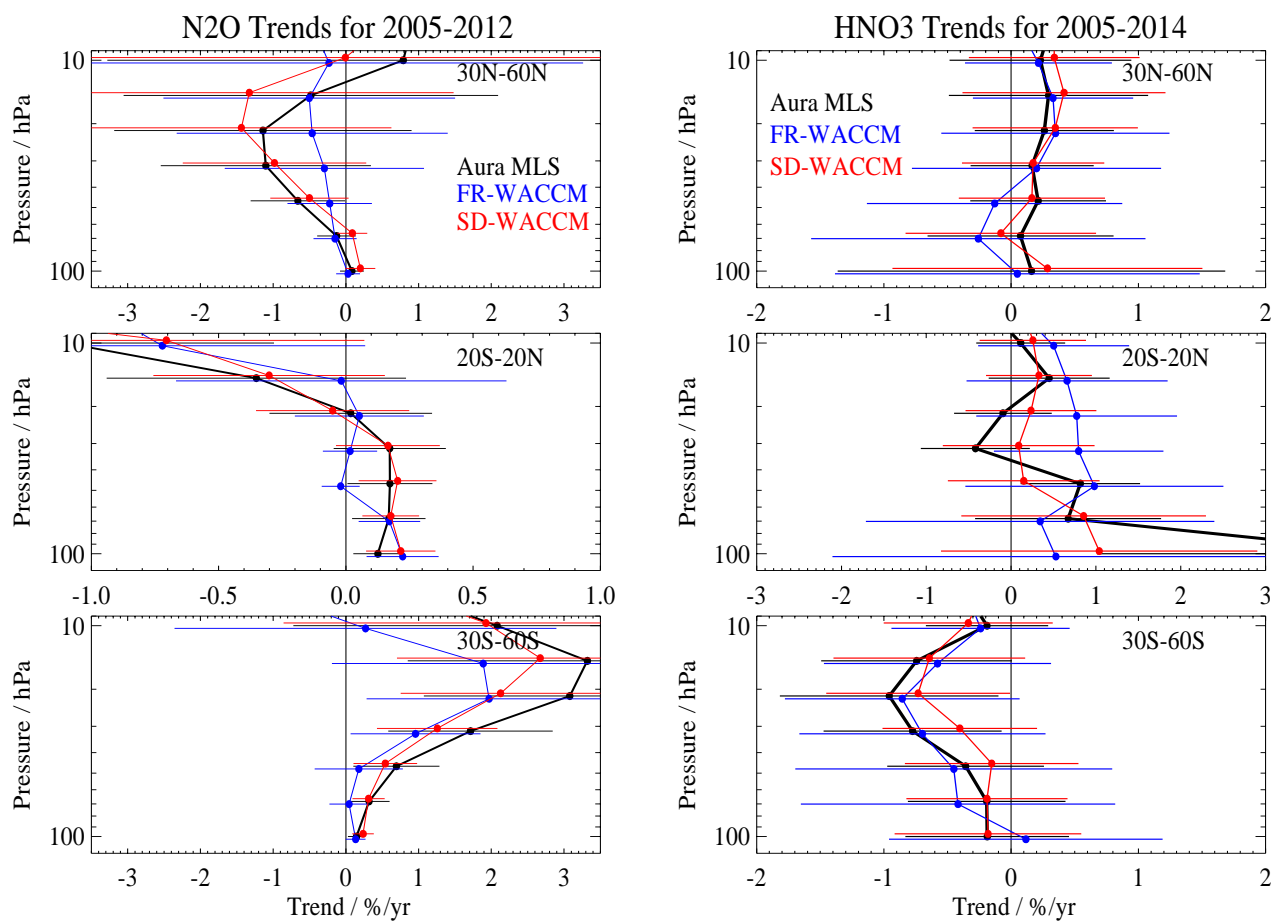
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**Figure 24.** Time series (1992-2014) of lower stratospheric HCl (ppbv) for the GOZCARDS HCl merged data record (black), as well as models (FR-WACCM in blue and SD-WACCM in red). Each panel is for a different pressure level and latitude bin, as labeled (15 hPa, top; 32 hPa, middle; 68 hPa, bottom); the three latitude bins used in this work are 30°S-60°S (left panels), 20°S-20°N (middle panels), and 30°N-60°N (right panels).

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**Figure 25.** Same as Fig. 23, but for N<sub>2</sub>O (left 3 panels) and HNO<sub>3</sub> (right 3 panels) data and model trends in the lower stratosphere. The N<sub>2</sub>O data results are from the N2O-640 MLS product (retrieved from the 640 GHz radiometer band data), which was discontinued in 2013 because of an instrument issue affecting this band (see text), and these data and model trends apply to the 2005-2012 period. The HNO<sub>3</sub> trend results (data and models) are for 2005-2014.