# 1 Evaluation of CESM1 (WACCM) free-running and

# 2 specified-dynamics atmospheric composition simulations

# 3 using global multi-species satellite data records

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# 11 Abstract

12 We have analyzed near-global stratospheric data (and mesospheric data as well for H<sub>2</sub>O) in terms of absolute abundances, 13 variability, and trends for O<sub>3</sub>, H<sub>2</sub>O, HCl, N<sub>2</sub>O, and HNO<sub>3</sub>, based on Aura Microwave Limb Sounder (MLS) data, as well as 14 longer-term series from the Global Ozone Chemistry and Related Trace gas Data Records for the Stratosphere (GOZCARDS). 15 While we emphasize the evaluation of stratospheric models via data comparisons through 2014 to free-running (FR-WACCM) 16 and specified dynamics (SD-WACCM) versions of the Community Earth System Model version 1 (CESM1) Whole Atmosphere 17 Community Climate Model (WACCM), we also highlight observed stratospheric changes, using the most recent data from MLS. 18 Regarding highlights from the satellite data, we have used multiple linear regression to derive trends based on zonal mean 19 time series from Aura MLS data alone, between  $60^{\circ}$ S and  $60^{\circ}$ N. In the upper stratosphere, MLS O<sub>3</sub> shows increases over 2005-20 2018 at ~0.1-0.3%/yr (depending on altitude and latitude) with  $2\sigma$  errors of ~0.2%/yr. For the lower stratosphere (LS), 21 GOZCARDS O<sub>3</sub> data for 1998-2014 point to small decreases between  $60^{\circ}$ S and  $60^{\circ}$ N, but the trends are more positive if the 22 starting year is 2005. Southern mid-latitudes (30°S-60°S) exhibit near-zero or slightly positive LS trends for 1998-2018. The LS 23  $O_3$  trends based on 2005-2018 MLS data are most positive (0.1-0.2%/yr) at these southern mid-latitudes, although marginally 24 statistically significant, in contrast to slightly negative/near-zero trends for 2005-2014. Given the high variability in LS  $O_3$ , and 25 the high sensitivity of trends to the choice of years used, especially for short periods, further studies are required for a robust 26 longer-term LS trend result. For H<sub>2</sub>O, upper stratospheric and mesospheric trends from GOZCARDS 1992-2010 data are near-27 zero (within  $\sim 0.2\%$ /yr), and significantly smaller than trends (within  $\sim 0.4$ -0.7%/yr) from MLS for 2005-2014 or 2005-2018. The 28 latter short-term positive  $H_2O$  trends are larger than expected from changes resulting from long-term increases in methane. We 29 note that the very shallow solar flux maximum of solar cycle 24 has contributed to fairly large short-term mesospheric and upper 30 stratospheric H<sub>2</sub>O trends since 2005. However, given known drifts in the MLS H<sub>2</sub>O time series, MLS H<sub>2</sub>O trend results. 31 especially after 2010, should be viewed as upper limits. The MLS data also show regions and periods of small HCl increases in 32 the lower stratosphere, within the context of the longer-term stratospheric decrease in HCl, as well as interhemispheric/latitudinal 33 differences in short-term HCl tendencies. We observe similarities in such short-term tendencies, and interhemispheric 34 asymmetries therein, for lower stratospheric HCl and HNO<sub>3</sub>, while N<sub>2</sub>O trend profiles exhibit anti-correlated patterns.

35 In terms of the model evaluation, climatological averages for 2005-2014 from both FR-WACCM and SD-WACCM for O<sub>3</sub>, 36 H<sub>2</sub>O, HCl, N<sub>2</sub>O, and HNO<sub>3</sub> compare favorably with Aura MLS data averages over this period. However, the models at mid- to 37 high latitudes overestimate mean MLS LS O<sub>3</sub> values and seasonal amplitudes by as much as 50-60%; such differences appear to 38 implicate, in part, a transport-related model issue. At lower stratospheric high southern latitudes, variations in polar winter/spring 39 composition observed by MLS are well matched by SD-WACCM, the main exception being for the early winter rate of decrease 40 in HCl, which is too slow in the model. In general, we find that the latitude/pressure distributions of annual and semi-annual 41 oscillation amplitudes derived from MLS data are properly captured by the model amplitudes. In terms of closeness of fit 42 diagnostics for model/data anomaly series, not surprisingly, SD-WACCM (driven by realistic dynamics) generally matches the 43 observations better than FR-WACCM does. We also use root mean square variability as a more valuable metric to evaluate 44 model/data differences. We find, most notably, that FR-WACCM underestimates observed interannual variability for H<sub>2</sub>O; this 45 has implications for the time period needed to detect small trends, based on model predictions.

1 The WACCM  $O_3$  trends generally agree (within  $2\sigma$  uncertainties) with the MLS data trends, although LS trends are typically 2 not statistically different from zero. The MLS O<sub>3</sub> trend dependence on latitude and pressure is matched quite well by the SD-3 WACCM results. For H<sub>2</sub>O, MLS and SD-WACCM positive trends agree fairly well, but FR-WACCM shows significantly 4 smaller increases; this discrepancy for FR-WACCM is even more pronounced for longer-term GOZCARDS H<sub>2</sub>O records. The 5 larger discrepancies for FR-WACCM likely arise from its poorer correlations with cold point temperatures and with QBO 6 variability. For HCl, while some expected decreases in the global LS are seen in the observations, there are interhemispheric 7 differences in the trends, and increasing tendencies are suggested in tropical MLS data at 68 hPa, where there is only a slight 8 positive trend in SD-WACCM. Although the vertical gradients in MLS HCl trends are well duplicated by SD-WACCM, the 9 model trends are always somewhat more negative; this deserves further investigation. The original MLS N<sub>2</sub>O product time series 10 yield small positive LS tropical trends (2005-2012), consistent with models and with rates of increase in tropospheric N<sub>2</sub>O. 11 However, longer-term series from the more current MLS N<sub>2</sub>O standard product are affected by instrument-related drifts that have 12 also impacted MLS H<sub>2</sub>O. The LS short-term trend profiles from MLS N<sub>2</sub>O and HNO<sub>3</sub> at mid-latitudes in the two hemispheres 13 have different signs; these patterns are well matched by SD-WACCM trends for these species.

These model/data comparisons provide a reminder that the QBO and other dynamical factors affect decadal variability in a major way, notably in the lower stratosphere, and can thus significantly hinder the goals of robustly extracting (and explaining) small underlying long-term trends. The data sets and tools discussed here for model evaluation could be expanded to comparisons of species or regions not included here, as well as to comparisons between a variety of CCMs.

## 20 1 Introduction

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21 State-of-the art chemistry climate models (CCMs) are known to reproduce the main features of stratospheric climatology and 22 change, although there have always been some differences between models (e.g., Waugh and Eyring, 2008; SPARC, 2010; 23 Dhomse et al., 2018). Free-running CCMs are used to make long-term simulations of atmospheric composition, as well as 24 predictions of future changes, driven by time-dependent boundary conditions for surface concentrations of greenhouse gases and 25 ozone depleting substances (ODSs), sea surface temperatures and sea ice concentrations, 11-year solar variability, sulfate aerosol 26 surface area density, as well as tropospheric ozone and aerosol precursor emissions. In more recent years, modeling groups have 27 implemented "specified-dynamics" versions that are constrained to meteorological fields (e.g., surface pressure, temperature, and 28 winds). Our main purpose is to evaluate these two types of model runs from CESM1 WACCM, using multi-species satellite-29 derived global composition data sets; we refer to these two types as FR-WACCM (free-running model), and SD-WACCM 30 (specified dynamics version). The SD-WACCM version has been used in studies ranging from examination of ozone trends (e.g., 31 Solomon et al., 2016; Ball et al., 2017; Wilka et al., 2018) to evaluation of galactic cosmic ray influence on ozone (Jackman et 32 al., 2016). This configuration has also been used to study dynamical processes that affect stratospheric ozone (e.g., Khosrawi et 33 al., 2013; Gille et al., 2014) and has contributed to the understanding of satellite occultation instrument differences (Sakazaki et 34 al., 2015). Here, we perform a detailed model/observational analysis of two configurations (FR and SD) using the same modeling 35 system (CESM), and identical tracer advection and chemistry modules. Differences between the two configurations should be 36 caused mainly by the influence of different temperature fields on chemistry and by different mean circulations. The simulations 37 are based on scenarios defined by the Chemistry Climate Model Initiative (CCMI) (Eyring et al., 2013; Morgenstern et al., 38 2017). Our evaluation focus is on monthly zonal mean series from the models versus satellite-derived data. The main 39 stratospheric series used here are from Aura MLS data (version 4.2) and from the Global OZone Chemistry And Related trace 40 gas Data records for the Stratosphere (GOZCARDS), which include MLS data from late 2004 onward. GOZCARDS includes 41 merged multi-satellite data files for O<sub>3</sub>, H<sub>2</sub>O, and HCl, and Aura MLS data for HNO<sub>3</sub> and N<sub>2</sub>O; these 5 species are used for the 42 evaluations. We focus, in part, on the MLS data sets for 2005-2014 (2014 being the last year of WACCM runs considered here). 43 The regular and nearly uninterrupted daily global coverage of the MLS day and night measurements leads to minimal sampling-44 related biases, both for climatological comparisons (Toohey et al., 2013) and trend-related studies. This data set also has a well

characterized set of error bars (see Livesey et al., 2018, for the latest update to the data quality documentation); however, we also
 note that there are some caveats to take into account regarding long-term stability for some of the MLS species.

3 In terms of model/data comparisons, we analyze the climatological mean state and "goodness of fit" issues, as well as 4 variability. While one has the expectation that, in general, better fits to the data would be obtained for a specified-dynamics run 5 than for a less dynamically constrained run (FR-WACCM), one needs to demonstrate this with diagnostics that provide enough 6 differentiation between models that can track each other closely. There have been essentially no trend studies using Aura MLS 7 data by itself. This data set now covers a sufficiently long period that it becomes useful to investigate such trends, as the analyses 8 deal with one data set only, which can remove potential issues with data merging prior to 2005, whether related to poorer 9 sampling or to uncertainties in bias removal between data sets. While such uncertainties can be difficult to quantify, attempts 10 have been made in the case of ozone data merging from multiple SBUV instruments, which display relative biases and drifts 11 (Frith et al., 2017); data merging uncertainties in this case were shown to play a large role regarding overall trend uncertainties. 12 Regarding sampling issues, Millán et al. (2016) showed, based on simulated atmospheric fields, that solar occultation-type 13 sampling can significantly bias trend results, as well as increase the time period required for robust trend detection, compared to 14 emission-type (much denser) sampling. On the downside, a shorter time series will lead to larger uncertainties in derived trends.

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

21 2 Data sets

# 22 2.1 Aura MLS

23 The Microwave Limb Sounder (MLS) is one of four instruments on NASA's Aura satellite, launched on July 15, 2004. The 24 MLS antenna scans the atmospheric limb as Aura orbits the Earth in a near-polar sun-synchronous orbit, and the instrument 25 measures thermal emission (day and night) in narrow spectral channels, via microwave radiometers operating at frequencies near 26 118, 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 27 variety of daily vertical stratospheric temperature and composition profiles (~3500 profiles per day per product), with some 28 measurements extending down to the upper tropospheric region, and some into the upper mesosphere or higher. For more 29 information and access to the MLS data, the reader is referred to http://disc.sci.gsfc.nasa.gov/Aura/data-holdings/MLS; the 30 current data version is labeled 4.2x (with x varying between 0 and 3, depending on the date). Data users interested in MLS data 31 quality and characterization, estimated errors, and related information, should consult Livesey et al. (2018), the latest update to 32 the MLS data quality document (available from the MLS website at http://mls.jpl.nasa.gov).

## 33 2.2 GOZCARDS

The data set considered here for longer-term model evaluation analyses is from GOZCARDS, a data record created using satellite-based Level 2 data as "source" data sets, which were merged into global monthly zonal means 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 description and highlights provided by Froidevaux et al. (2015). In brief, for O<sub>3</sub>, the GOZCARDS version 1.01 (v1.01) data record starts in 1979 with solar

1 occultation data from the first Stratospheric Aerosol and Gas Experiment (SAGE I), and continues with data from SAGE II, the 2 Halogen Occultation Experiment (HALOE), the Upper Atmosphere Research Satellite (UARS) MLS, the Atmospheric 3 Chemistry Experiment Fourier Transform Spectrometer (ACE-FTS, using solar occultation), and Aura MLS. Basically, the 4 overlap time periods for different data sets are used to calculate offsets between zonal mean time series in 10°-wide latitude bins 5 at each pressure level, and the data sets are adjusted to a reference value (SAGE II mean values, for O<sub>3</sub>, or an average of satellite 6 measurements for H<sub>2</sub>O and HCl). Monthly standard deviations are also provided, along with other diagnostic quantities. 7 GOZCARDS data extensions past 2012 were created simply by adding more recent MLS data, appropriately adjusted to account 8 for zonal mean differences between versions, once the MLS O<sub>3</sub> v2.2 data became unavailable (for 2013 onward); ACE-FTS data 9 were not included in these more recent years. GOZCARDS O<sub>3</sub> has been used for past O<sub>3</sub> trend assessments and in comparisons to 10 other data records (e.g., WMO, 2014; Nair et al., 2015; Tummon et al., 2015; Harris et al., 2015; Ball et al., 2017, 2018).

11 For the GOZCARDS O<sub>3</sub> data discussed here, unless otherwise noted, we use GOZCARDS v2.20, a recent improvement and 12 update to the original version. This data set was provided for an updated assessment of stratospheric ozone by Steinbrecht et al. 13 (2017), as well as for the assessment activities of the Long-term Ozone Trends and Uncertainties in the Stratosphere (LOTUS) 14 project and in preparation for the latest international report on the state of the ozone layer, led by the World Meteorological 15 Organization (WMO). GOZCARDS ozone data updates are also used as part of the yearly "State of the Climate" stratospheric 16 ozone-related summaries, produced for the Bulletin of the American Meteorological Society (BAMS). For GOZCARDS O3 17 v2.20, the stratospheric retrieval pressure grid is twice as fine as for v1.01; there are now 12 regularly-spaced levels per decade 18 change in log of pressure. UARS MLS  $O_3$  data were not included in v2.20, since these retrievals are not readily available on the 19 finer vertical grid (although approximations such as interpolation could be used); also, there is no easy provision of UARS MLS 20 retrieval uncertainties on a finer grid. The most significant change for the new merged O<sub>3</sub> is the effect of using the more robust 21 version 7 data from SAGE II (Damadeo et al., 2013). Version 7 uses National Aeronautics and Space Administration (NASA) 22 Global Modeling and Assimilation Office (GMAO) Modern-Era Retrospective Analysis for Research and Applications 23 (MERRA) temperature (T) profile data (Rienecker et al., 2011) in the retrievals, and these values (rather than T from the 24 National Centers for Environmental Prediction (NCEP)) also have a significant impact on the conversion of SAGE II O<sub>3</sub> from its 25 native density/altitude grid to the GOZCARDS mixing ratio/pressure grid. Also, Aura MLS v4.2 O3 data are now used (instead of 26 MLS v2.2); HALOE v19 O<sub>3</sub> profiles are included, after interpolation to the finer pressure grid before merging. As a result of 27 these changes, we have observed closer agreement and larger correlation coefficients between the Stratospheric Water and Ozone 28 Satellite Homogenized (SWOOSH) ozone data (Davis et al., 2016) and GOZCARDS v2.20 O<sub>3</sub> series than between SWOOSH 29 and GOZCARDS v1.01 (SWOOSH also uses SAGE II v7 O<sub>3</sub> data). More details regarding the impact of GOZCARDS v2.20 O<sub>3</sub> 30 on trends are provided in Sect. 5. We note that no ACE-FTS data were included in this newer version of GOZCARDS O<sub>3</sub>.

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#### WACCM (CESM1) description and simulations

32 WACCM (CESM1) is a chemistry climate model of the Earth's atmosphere, from the surface to the lower thermosphere 33 (Garcia et al., 2007; Kinnison et al., 2007; Marsh et al., 2013; Garcia et al., 2017). WACCM is a superset of the Community 34 Atmosphere Model, version 4 (CAM4), and includes all of the physical parameterizations of CAM4 (Neale et al., 2013) and a 35 finite volume dynamical core (Lin, 2004) for the tracer advection. The horizontal resolution is 1.9° latitude x 2.5° longitude. The 36 vertical resolution in the lower stratosphere (LS) ranges from 1.2 km near the troppause to  $\sim 2$  km near the stratopause; in the 37 mesosphere and thermosphere the vertical resolution is ~3km. Simulations used here are based on the guidelines from the 38 International Global Atmospheric Chemistry / Stratosphere-troposphere Processes And their role in Climate (IGAC/SPARC) 39 Chemistry Climate Model Initiative (CCMI) (Morgenstern et al., 2017). Improvements in CESM1 WACCM for CCMI include a 40 modification to the orographic gravity wave forcing, which reduced the cold bias in Antarctic polar temperatures (Garcia et al.,

1 2017; Calvo et al., 2017) and updates to the stratospheric heterogeneous chemistry, which improved the representation of polar 2 ozone depletion (Wegner et al., 2013; Solomon et al., 2015). In this work, there are two CCMI scenarios, spanning the 1990-3 2014 period. The first scenario follows the CCMI REF-C1 definition and three ensemble members were completed; this falls 4 under the "free-running" scenario. We note that all the analyses herein are based on an average of these three simulations. We 5 have checked that the three representations' departures from the average are small enough not to require separate comparisons 6 for each case, when pursuing average or root mean square (RMS) differences versus observations, in comparison to differences 7 using the 2<sup>nd</sup> model scenario (see below); this is also true for the model/data comparisons of RMS variability. This first model 8 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 area density 9 and heating, and 11-year solar cycle variability. The sea surface temperatures are based on observations and the quasi-biennial 10 oscillation (QBO) is nudged to observed monthly mean tropical winds over 86-4 hPa, as described in Matthes et al. (2010).

11 The second scenario is based on the CCMI REF-C1SD scenario and includes all the forcings of REF-C1, except for additional 12 external QBO nudging. This scenario uses the specified dynamics (SD) option in WACCM (Lamarque et al., 2012). Here, 13 temperature, zonal and meridional winds, and surface pressure are used to drive the physical parameterization controlling 14 boundary layer exchanges, advective and convective transport, and the hydrological cycle. The meteorological analyses are taken 15 from MERRA and the nudging approach is described in Kunz et al. (2011). The QBO circulation is inherent in the MERRA 16 meteorological fields and is therefore synchronized with that in the "real" atmosphere. The horizontal resolution is the same as 17 the REF-C1 version and the vertical resolution follows the MERRA reanalysis (from ~1 km resolution near the tropopause to 18 about 2 km near the stratopause). The model meteorological fields are nudged from the surface to 50 km; above 60 km, these 19 fields are fully interactive, with a linear transition in between.

20 Both WACCM versions used here contain an identical representation of tropospheric and stratospheric chemistry (Kinnison et 21 al., 2007; Tilmes et al., 2016). The species included in this mechanism are contained within the Ox, NOx, HOx, ClOx, and BrOx 22 chemical families, along with CH<sub>4</sub> and its degradation products. In addition, 20 primary non-methane hydrocarbons and related 23 oxygenated organic compounds are represented, along with their surface emissions. In total there are 183 species and 472 24 chemical reactions; this includes 17 heterogeneous reactions on multiple aerosol types (i.e., sulfate, nitric acid trihydrate, and 25 water-ice). For this work, the CESM1 (WACCM) REF-C1 and REF-C1SD simulations will generally be referred to as FR-26 WACCM and SD-WACCM, respectively. While the runs were originally designed to stop at the end of 2010, for this work, the 27 forcing inputs have been extended through 2014.

### 28 4 Climatological comparisons and biases

We first describe some of the major climatological features for the stratospheric species mentioned in the Introduction. We focus on the main differences between average model trace gas abundances from FR-WACCM and SD-WACCM and the corresponding data from Aura MLS for 2005 through 2014; this includes a sub-section on annual and semi-annual variations.

#### 32 4.1 Average abundances

We provide climatological latitude/pressure contour plots in the Supplement (Fig. S1 for O<sub>3</sub> and H<sub>2</sub>O, Fig. S2 for HCl, HNO<sub>3</sub>, and N<sub>2</sub>O), showing Aura MLS and WACCM average distributions for 2005-2014. Since such plots do not easily allow one to quantify areas of model/data disagreement, we show in Fig. 1 (top two panels) the percent differences between WACCM and MLS climatologies; a positive value means that, on average, the model values exceed the data values. The bottom panels provide a comparison between the models (also as percent differences). We have crossed out the regions in the top two panels where there is little statistical significance in the model/data differences; more specifically, this is where the absolute differences are less than 1.5 times the systematic uncertainties in MLS abundances. These error estimates have been provided in MLS validation

1 and error characterization work as "typical" (global) profiles versus pressure; such estimates for version 4 MLS data are provided 2 by Livesey et al. (2018), and are typically  $2\sigma$  estimates; thus, regions with the most significant differences (above the  $3\sigma$  error 3 level) are shown without crosses. The vertical profile of MLS O<sub>3</sub> systematic errors is given in the Supplement (Fig. S3). Past 4 validation references for MLS O<sub>3</sub> include Jiang et al. (2007), Froidevaux et al. (2008a), and Livesey et al. (2008), as well as the 5 more recent work covering many satellite instruments by Hubert et al. (2016). The original MLS data validation work for H2O is 6 from Read et al. (2007) and Lambert et al. (2007), who also described N<sub>2</sub>O validation; MLS HNO<sub>3</sub> validation was provided by 7 Santee et al. (2007). Based on Fig. 1, most of the model O<sub>3</sub> climatology falls within 5 to 10% of the data climatology, except in 8 the upper troposphere and lower stratosphere (UTLS), where SD-WACCM O<sub>3</sub> values are even larger than those from FR-9 WACCM (bottom left panel). Our work focuses on the stratosphere, but both FR-WACCM and SD-WACCM average O<sub>3</sub> values 10 at low latitudes are lower than the observed means from 215 to 261 hPa (and these levels lie in the upper troposphere at these 11 latitudes); in this region, there are known MLS positive biases versus tropical ozonesonde data, and this could account for part of 12 the apparent model low bias. However, mid-latitude O3 from 100 to 215 hPa is biased high in SD-WACCM, with a difference to 13 systematic error ratio larger than 2 to 3. An illustration of the more significant differences is given in Fig. 2, for O<sub>3</sub> data and 14 model series at 215 hPa for 50°N-60°N (which corresponds to lower stratospheric values). This shows that both FR-WACCM 15 and SD-WACCM values are larger than the data there, and more so for SD-WACCM, for which the overestimate can be larger 16 than 50%. In relation to this, Imai et al. (2013) showed that SD-WACCM O<sub>3</sub> values are also larger than Superconducting 17 Submillimeter-Wave Limb-Emission Sounder (SMILES) O<sub>3</sub> in the lowest portion of the stratosphere (18-20 km). In Fig. 2, we 18 also see that the model  $O_3$  annual amplitude (AO) is larger than the observed amplitude; both models overestimate seasonal 19 amplitudes by ~60%. We discuss the AO more generally in the next section. If anything, MLS O<sub>3</sub> at mid-latitudes is slightly 20 high (by ~5%) with respect to a multi-instrument mean based on a number of satellite data sets from the Stratosphere-21 Troposphere Processes And their Role in Climate (SPARC) Data Initiative (DI), as discussed by Tegtmeier et al. (2013), who 22 also showed that the MLS O<sub>3</sub> seasonal cycle at mid-latitudes and 200 hPa is in good agreement with the multi-instrument mean. 23 The MLS measurements discussed here provide generally strongly peaked averaging kernels with a resolution of 2.5 to 4 km (see 24 Livesey et al., 2018, for sample kernel plots). Smoothing the model profiles using the MLS averaging kernels (and a priori 25 information) gives very little change (less than a few % for the Fig. 2 example, and even less at higher altitudes) in O<sub>3</sub> 26 abundances and seasonal cycles, and we see no real need to use such smoothing for our comparisons. The significant model/data 27 differences in Figs. 1 and 2 are not caused by this sort of issue. The mid-latitude O<sub>3</sub> differences mentioned above require more 28 detailed investigations, but appear to implicate (in part) a transport-related issue in these models.

29 Figure 3 is the H<sub>2</sub>O analog of Fig. 1, but for pressures reaching up to 0.01 hPa; again, a typical profile of MLS systematic 30 error estimates (Livesey et al., 2018) was used to define regions with the most statistically significant model/data differences; 31 there are almost no such regions in Fig. 3. We note that MLS H<sub>2</sub>O v3 stratospheric data exhibit a slight high bias (of a few to 32 5%) versus multi-instrument means, with a somewhat larger positive bias (of ~10%) in the lower mesosphere (Hegglin et al., 33 2013). Such biases are within the expected measurement systematic errors. MLS version 4 stratospheric H<sub>2</sub>O data show 34 essentially no systematic change versus version 3 (Livesey et al., 2018). FR-WACCM and SD-WACCM H<sub>2</sub>O mean values are 35 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 36 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 37 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); 38 this has been known for some time (Read et al., 2007; Vömel et al., 2007). This is also consistent with the existence of a model 39 high bias relative to MLS near 150 hPa. The H<sub>2</sub>O model/data comparisons are generally in agreement within the systematic 40 errors, and the level of agreement is slightly better in the case of SD-WACCM.

1 For HCl, the climatological comparisons of Fig. 4 show that both models exhibit a small (5-10%) low bias versus MLS HCl 2 in much of the stratosphere, with a stronger negative model bias in the tropics between 100 and 150 hPa. The model/data relative 3 biases in stratospheric HCl are generally within the MLS HCl systematic errors. MLS HCl is slightly on the high side of multi-4 instrument mean climatological results provided in the SPARC DI report (SPARC, 2017). The small negative model bias in the 5 upper stratosphere could also arise from the lack of a sufficiently pronounced decrease in upper stratospheric MLS HCl, as a 6 result of the interruption in the main MLS HCl (band 13) data after early 2006 (Livesey et al., 2018). There is also a known 7 positive bias in MLS tropical HCl at 150 hPa (Froidevaux et al., 2008b), so model underestimates in this region are not a sign of 8 model weakness. We also note that both models exhibit a systematic difference versus LS HCl observations (with larger 9 differences for SD-WACCM), as well as a downward sloping pattern (equator to pole) in the southern hemisphere (SH), and 10 smaller mean differences (for SD-WACCM) in the northern hemisphere (NH).

11 Figure 5 provides average comparisons for N<sub>2</sub>O; this species is long-lived in the lower stratosphere, which means that good 12 (or poor) model/data agreement in this region can confirm (or deny) accurate model representations of the dynamics. While 13 mean lower stratospheric SH N<sub>2</sub>O values are larger for SD-WACCM than for FR-WACCM (Fig. 5, bottom panel), the mean fit 14 for SD-WACCM is not significantly better. The most significant climatological differences with respect to the error bars are in 15 the upper stratosphere at low latitudes; in this region, SD-WACCM agrees somewhat better with MLS. However, this is also 16 where the data values decline with height, towards the limits of the MLS sensitivity. Not too surprisingly, this is also where the 17 SPARC DI results for N<sub>2</sub>O show the largest scatter in terms of percent differences (often exceeding 10-20%, see SPARC, 2017). 18 Finally, the comparisons for HNO<sub>3</sub> (Fig. 6) reveal very few areas of model/data disagreements outside the systematic 19 uncertainties. However, there is a model underestimation by both WACCM versions, especially in the polar upper stratosphere; 20 this will be discussed more later. At high latitudes in the lower stratosphere, the models tend to overestimate the data. The upper 21 troposphere is where the satellite-based HNO<sub>3</sub> data have been validated the least, but there is some evidence for a high MLS bias 22 in this region (see SPARC, 2017). While this might explain, qualitatively, why the models underestimate MLS tropical UT 23 HNO<sub>3</sub> (in Fig. 6), more work is needed to better evaluate HNO<sub>3</sub> from models and satellite-derived data in this particular region.

24 It is also worth emphasizing differences between modeled and observed seasonal changes in the polar lower stratosphere over 25 Antarctica. Indeed, we see in Figure 7 that model HCl values at 46 hPa for 70°S-80°S do not decline as fast in early winter as 26 shown in the data, even though SD-WACCM tracks the interannual variability better than FR-WACCM does (see Fig. S4 for the 27 relevant time series). Uncertainties regarding lower stratospheric heterogeneous chemistry modeling for SD-WACCM at high 28 latitudes in the polar winter/spring have been discussed by Solomon et al. (2015) for one specific year (2011), including most of 29 the features shown in Fig. 7. For our broader period, we see that the average rate of HCl decline from May to July (dominated by 30 nighttime conditions) is slower in both SD-WACCM and FR-WACCM than the corresponding mean HCl rate of change from 31 MLS (top left panel of Fig. 7). Grooß et al. (2018) recently discussed this HCl model/data discrepancy for dark polar vortex 32 conditions, in comparison to simulations using the Chemical Lagrangian Model of the Stratosphere (CLAMS), which shows 33 even larger HCl discrepancies. These authors discuss possible mechanisms and uncertainties, and they argue that additional 34 decomposition of condensed-phase HNO<sub>3</sub> might play a role, possibly via galactic cosmic ray impacts. Since this rapid decline in 35 HCl occurs during polar night, this HCl issue does not lead to much difference in polar ozone loss rates, which only become 36 significant during sunlit conditions (early spring). Figure 7 confirms that, on average, the SD-WACCM O<sub>3</sub> decline and rise 37 match the data well. We also note that FR-WACCM shows smaller-than-observed declines in HNO<sub>3</sub> and H<sub>2</sub>O, whereas SD-38 WACCM matches these observations much better. The temperature panel (bottom center) gives a possible reason for these 39 differences, as T from FR-WACCM is larger by a few degrees during the coldest phase than T from SD-WACCM (MERRA-40 based), and larger than the MLS-derived values. This would lead to less irreversible denitrification and dehydration. The nature of the Fig. 7 results is similar at other lower stratospheric pressures, although there is some variability in the magnitude of the
 differences. Over the Arctic region (not shown here), temperature-related differences are not as large as over Antarctica, but
 similar model/data differences in the early winter rate of HCl decline exist there also (as mentioned by Grooß et al., 2018).

As an addendum regarding the evaluation of models in comparison to data sets, we provide in Appendix A1 the results of a model grading approach used before (e.g., Douglass et al., 1999, Waugh and Eyring, 2008). We find that this grading method often leads to low grades (see Fig. A1), if applied using systematic uncertainty estimates from the MLS team (Livesey et al., 2018). The model results, as good as they are in many respects, cannot always match the data closely enough, at least based on such grades, although this grading formulation can be reconsidered or slightly modified. For example, the multiplicative error factor (see Equation A1) can be increased (from 2 to 4) to force these grades to span a more useful range (see Fig. A2); some similarities to the percent difference diagnostics used here are noted in Appendix A1.

### 11 4.2 Annual and semi-annual cycles

12 Figure 8 displays the amplitudes of annual and semi-annual variations for MLS O<sub>3</sub> and WACCM runs for 2005-2014. These 13 results come from a simple regression fit to the monthly mean series in each latitude/pressure bin. The primary time dependence 14 of the fitted function is given by additive sine and cosine terms (with 12-month and 6-month periods), in addition to constant and 15 linear trend terms; the AO and SAO amplitudes are given by the square root of the sum of the squares of the corresponding fitted 16 coefficients. We see from Fig. 8 that the overall data and model patterns of AO and SAO variability are quite similar. The O<sub>3</sub> AO 17 amplitudes peak at mid- to upper stratospheric levels, with high latitude variations also observed as a result of the effects of 18 winter/spring polar chemistry and dynamics. The lower stratospheric peak AO amplitudes are more prominent over the southern 19 polar regions, where stronger O<sub>3</sub> depletion occurs on a seasonal basis. These MLS O<sub>3</sub> AO patterns are similar to those obtained 20 by Schoeberl et al. (2008), using a much shorter period (Sep. 2004 to Dec. 2006); the same holds for other species (H<sub>2</sub>O and 21 HCl). The observed SAO amplitude for  $O_3$  exhibits strong peaks in the upper stratosphere, both in the tropics and at high 22 latitudes. The anti-correlation between  $O_3$  and temperature as a result of temperature-dependent photochemical production and 23 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 (Perliski et al., 1989). The AO 24 and SAO amplitudes obtained in that and other past studies (e.g., Ray et al., 1994) are similar to the patterns shown here. If we 25 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 26 those derived from MLS data for both WACCM runs in the lower stratosphere (from 50 hPa at low latitudes to 215 hPa at high 27 latitudes). Such model overestimates of the AO amplitude were shown in Fig. 2. Outside of this region, we observe somewhat 28 closer fits to the MLS AO amplitudes for the SD-WACCM version, and both models track the data and each other well, with AO 29 amplitudes typically within a range of  $\sim 25\%$ . For the Antarctic lower stratosphere, the timing and magnitude of the seasonal 30 recovery after the ozone hole plays a role, and we have observed that SD-WACCM generally fits the MLS data better than FR-31 WACCM does. In the tropical upper stratosphere, where the SAO is larger than the AO (see Fig. 8), the SD-WACCM results 32 match the observed SAO amplitudes slightly better than those from FR-WACCM. Despite the existence of a few model/data 33 differences, these AO and SAO amplitude comparisons, coupled with our examination of model/data amplitude ratio plots as 34 well as the time series (which include the phase information), do not elicit major concerns regarding the model characterization 35 of the primary processes expected to govern these modes of  $O_3$  variability. The study of dynamical forcing mechanisms in 36 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 H<sub>2</sub>O, a similar overview of the AO and SAO amplitudes is given in Fig. 9, which covers the range from 100 to 0.01 hPa.
 A peak in these amplitudes resulting from seasonal downward transport before the winter, followed by wintertime dehydration,
 is observed in the lower stratospheric southern polar region; we note that SD-WACCM results match this feature better than FR-

1 WACCM does. Other features include the southern hemisphere's upper stratospheric AO peak in the extra-tropics. This has been 2 seen by many satellite measurements (see Lossow et al., 2017a). Lossow et al. (2017b) explained this "island" feature in more 3 detail; they argue that vertical advection tied to the upper branch of the Brewer-Dobson circulation largely explains the seasonal 4 highs (lows), via downwelling (upwelling). They also show that an AO maximum is observed as well in other species in roughly 5 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 6 observed in MLS data, as well as in the model runs (and more so in SD-WACCM). The derived AO and SAO amplitude patterns 7 in H<sub>2</sub>O from Lossow et al. (2017a) are consistent with what we find; this includes the peak values in the upper stratosphere and 8 mesosphere, attributed to combined effects of photochemistry and vertical transport. For ozone, a dominant feature in the SAO 9 amplitude exists in the tropical upper stratosphere; see Lossow et al. (2017a) for a brief review of past work explaining such 10 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 11 SAO patterns, both WACCM comparisons tend to underestimate observed AO and SAO amplitudes in the lower stratosphere 12 and overestimate AO amplitudes in the SH mesosphere, while slightly underestimating mesospheric SAO amplitudes in both 13 polar regions. The largest amplitude differences reach a factor of two, in places, for the lower stratospheric model 14 underestimates; however, we note that this is also the region where AO and SAO amplitudes are smallest (typically < 0.1 ppmv). 15 For N<sub>2</sub>O, we already mentioned the existence of the upper stratospheric AO peak (the "island" feature described by Lossow et 16 al., 2017b) in the southern hemispheric extra-tropical region. This is similar to the  $H_2O$  AO amplitude maximum feature, but the 17 N<sub>2</sub>O seasonal variations are anti-correlated with H<sub>2</sub>O, as demonstrated by Lossow et al. (2017b), using Michelson Interferometer 18 for Passive Atmospheric Sounding (MIPAS) data (and as is also apparent in MLS time series, not shown here). Furthermore, we 19 observe in Fig. S5 a somewhat better match in the AO and SAO N2O amplitude patterns for SD-WACCM than for FR-WACCM 20 versus MLS, in particular for tropical to southern mid-latitudes. This is also manifested in better time series fits for SD-21 WACCM, besides the closer match in average values; this is what one would generally expect from these two model versions. 22 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 23 model HCl upper stratospheric AO and SAO amplitudes match up fairly well with the observed amplitudes, despite the 24 aforementioned issues relating to MLS upper stratospheric HCl trends. For HNO<sub>3</sub>, the main AO and SAO model features follow 25 the MLS patterns, although there is a model underestimation of the amplitudes in the upper stratospheric polar regions, because 26 these models do not properly capture the observed recurrences of enhanced  $HNO_3$ , as mentioned earlier (see also Sec. 4).

27 5 Time series comparisons

# 28 5.1 Anomaly time series: fits and variability

### 29 5.1.1 Fits

30 We wish to evaluate which of the two WACCM models provides a better match, or fit, to the temporal variations in observed 31 deseasonalized anomalies. We would expect SD-WACCM to generally fit these anomalies better than FR-WACCM. We 32 calculate a diagnostic of model fit to the data, by using the RMS differences between these deseasonalized model and data series, 33 and normalize by dividing this quantity by the RMS of the data anomalies themselves. A diagnostic value much less than unity 34 means that the match to the series is much smaller than the typical variability; this also implies a good fit to observed anomalies. 35 In Appendix A2, we provide the mathematical expression for this "RMS difference diagnostic". A better model fit to the 36 observations will be given by a smaller "RMS difference diagnostic" value. We also calculate the (Pearson) correlation 37 coefficients, R, between model and data anomalies, and we use  $R^2$  as another measure of "goodness of fit" for the models. The 38 first diagnostic is unitless and does not depart too much from the 0 to 1 range;  $R^2$  is limited to the 0 to 1 range, with larger values 1 indicating a higher degree of linear correlation. We also use these two diagnostics together, by calculating the ratio of  $R^2$  over the 2 RMS difference diagnostic to obtain a "combined diagnostic". This diagnostic could have a large value (a good model result) 3 from both a large  $R^2$  in the numerator, meaning a high correlation with observed anomalies, and a small RMS difference in the 4 denominator, implying a good fit. This tends to amplify differences between two model comparisons to the same data. An ideal 5 model fit would correlate tightly in time to observed oscillations, but also exhibit the right magnitude by "hugging" the anomaly 6 series. Indeed, two model series could have oscillations in phase with data variations and the same R<sup>2</sup> values, but with different 7 amplitudes and overall fits; conversely, two model series could have different R<sup>2</sup> values versus observations, if one is more out 8 of phase than the other, but they could still produce similar RMS difference fits.

9 Figure 10 shows latitude/pressure contours of the above diagnostics for FR-WACCM and SD-WACCM O<sub>3</sub> anomalies in 10 relation to MLS anomalies for 2005-2014. We see from the top two panels that SD-WACCM RMS difference diagnostic values 11 (in the 0.2 to 1 range in the stratosphere) are smaller than those from FR-WACCM (between about 0.8 and 1.2). R<sup>2</sup> values, 12 between about 0.7 and 0.95 in most of the stratosphere, show that SD-WACCM correlates very well with the observations;  $R^2$  is 13 somewhat smaller in the UTLS. The FR-WACCM O<sub>3</sub> series correlate well with the data at low to mid-latitudes for pressure 14 levels between 70 and 7 hPa, which is also where the FR-WACCM RMS difference diagnostic shows better performance, and 15 (as an explanation) where the dynamics are nudged (to tropical winds) in a similar way as for SD-WACCM. However, 16 FR-WACCM shows almost zero correlation at high latitudes and in all of the uppermost stratosphere.

17 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 18 tropical series show good correlations for both models versus data, some of the details in the observed semi-annual peaks and the 19 interplay between the AO, SAO, and the quasi-biennial oscillation (QBO) are better followed by the SD-WACCM curve. The 20 differences in O<sub>3</sub> amplitude and phase are more clearly displayed in the bottom (left) panel, showing deseasonalized anomalies. 21 Diagnostic values provided in this panel show that SD-WACCM performs better than FR-WACCM, with a much larger R<sup>2</sup> value 22 and a smaller RMS difference diagnostic value, and hence, a much better combined diagnostic value. The same comments apply 23 to the right two panels of Fig. 11, which showcase the NH mid-latitudes at 2.2 hPa. In the high latitude lower stratosphere, the 24 poorer FR-WACCM results in Fig. 10 are generally caused by time series that are less in-phase with polar winter/spring 25 variations, as well as by more departures in variation magnitudes. The bottom two panels in Fig. 10 amplify model differences, 26 with combined diagnostic values mostly below 1 for FR-WACCM, but between 1 and 3 in the SD-WACCM case. The more 27 realistic dynamics in SD-WACCM allow for better SD-WACCM fits, as shown in Figs. 10 and 11. These plots also point to poor 28 upper tropospheric results for both models (with SD-WACCM slightly better), although this is not the focus of this paper.

29 Figure 12 describes the same diagnostics as above, but for model/data H<sub>2</sub>O comparisons, and a top level at 0.01 hPa. Again, 30 the diagnostics of fit are usually much better for SD-WACCM, which yields  $R^2$  values of 0.6 to 0.9 and RMS difference 31 diagnostic values below 1 for most of the stratosphere and lower mesosphere, and therefore better combined diagnostic results 32 than FR-WACCM. The SD-WACCM diagnostics are poorest in the upper mesosphere and at high latitudes near 215 hPa. In the 33 upper stratosphere and mesosphere, the better diagnostic results for SD-WACCM are seen in time series (not shown) as a better 34 match versus the MLS H<sub>2</sub>O anomalies in terms of the interannual variability at all latitudes, as well as for some seasonal peaks at 35 high latitudes. We interpret this as the result of a better dynamical representation of the mesosphere for SD-WACCM. The high-36 quality representation of mesospheric composition by SD-WACCM is also demonstrated in comparisons to measurements of CO 37 profiles above Kiruna, Sweden, by MLS and the Kiruna Microwave Radiometer (Ryan et al., 2018). For H<sub>2</sub>O near 200 hPa, poor 38 fits at high latitudes occur where MLS data exhibit a dry bias versus sonde and Atmospheric Infrared Sounder (AIRS) data, as 39 discussed in MLS data documentation (Livesey et al., 2018), as well as by Vömel et al. (2007) and Davis et al. (2016). MLS H<sub>2</sub>O 40 is low by a factor of several here versus the WACCM runs (which show values of 10-60 ppmv). The data variability may also be

- affected by the dry bias retrieval (and oscillation) issues at the lowest altitudes at high latitudes, where observed anomalies are more poorly tracked by the models; a planned future update to the MLS H<sub>2</sub>O retrievals will help to mitigate this discrepancy.
- Figure S8 displays results similar to Fig. 10 but for stratospheric HCl. SD-WACCM HCl results versus MLS are superior to those from FR-WACCM and show high correlations ( $R^2 > 0.7$ ) in most of the lower stratosphere, with somewhat poorer results in the upper stratosphere, where the RMS difference fits as well as the combined diagnostic are poor for both models. This upper stratospheric issue is caused by a data problem in this region, where MLS HCl trends are known to be too flat (close to zero). Poorer correlations are observed for FR-WACCM at high latitudes, but even subtle differences in the timing (phase) can lead to poorer correlations. Poorer fits at 100 hPa in the deep tropics are related to a large underestimate of the data, which may be caused, in part, by a high bias from MLS (Froidevaux et al., 2008b), but more so, for  $R^2$ , by out-of-phase model variability.
- For N<sub>2</sub>O, we also observe in Fig. S9 (showing model comparisons to the 68 to 1 hPa observations from 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<sup>2</sup> and the RMS difference categories. FR-WACCM exhibits poor results in the upper stratosphere and at high latitudes in the lower stratosphere. Both models exhibit poorer RMS fits and poorer correlations in the tropical lower stratosphere. Partly, this appears to 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.
- 15 HNO<sub>3</sub> results (see Fig. S10) show, again, better fits to stratospheric MLS data from SD-WACCM than from FR-WACCM, 16 and poor performance from FR-WACCM at high latitudes. Both models do poorly in the upper stratosphere, and Fig. 13 17 illustrates the magnitude of this discrepancy in the region (3.2 hPa and 70°S-80°S) where it reaches its maximum. Since its 18 launch, MLS has been observing very large values of HNO<sub>3</sub> in the upper stratosphere, mostly in the polar regions during winter. 19 The WACCM runs used here do not include the necessary photochemical pathways, including the effects of energetic particle 20 precipitation on ion chemistry in the upper atmosphere, to adequately represent such variations; implementation of the necessary 21 missing chemical reactions has not made its way into most CCMs. The solution seems tied to ion cluster chemistry during 22 energetic particle precipitation (EPP) events, which includes large solar proton events (SPEs) as well as more regular auroral 23 activity. Direct high altitude EPP effects enhance NOx, which can propagate downward in polar winter and increase 24 stratospheric 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 25 polar enhancements in upper stratospheric HNO<sub>3</sub> were observed by the MIPAS after SPE activity in 2003 (Orsolini et al., 2005; 26 von Clarmann et al., 2005; Lopez-Puertas et al., 2005; Stiller et al., 2005). More complex modeling (e.g., Funke et al., 2011; 27 Verronen et al., 2011; Kvissel et al., 2012; Andersson et al., 2016) has produced EPP-induced enhancements in high latitude 28 HNO<sub>3</sub>, with related improvements in model/data comparisons into the mesosphere. Regarding low latitude upper stratospheric 29 HNO<sub>3</sub>, the poorer model fits seem to be caused at least in part by more noisy and variable MLS data, under low HNO<sub>3</sub> 30 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 seasonal 31 oscillations between 0.2 and 0.5 ppby, whereas model values are smaller than 0.1 ppby. There have been few tropical UT 32 validation comparisons for HNO<sub>3</sub> (Santee et al., 2007), but in situ data from an airborne chemical ionization mass spectrometer 33 hav shown that UT HNO<sub>3</sub> tropical values are mostly below 0.1-0.2 ppbv (Popp et al., 2007, 2009).
- We saw in Sect. 4 that there are good climatological comparisons between SD-WACCM and MLS variations over Antarctica during polar winter/spring, except for the rate of HCl decline in 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. This is shown by the anomaly time series comparisons of Fig. S11 for O<sub>3</sub> and temperature at 68 hPa and 70°S-80°S, along with the associated model diagnostic values. These plots also show that springtime anomalies dominate the variability, with warmer than usual springs (in 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 springs are correlated with negative ozone anomalies and more depleted conditions.

#### 3 5.1.2 Variability

4 Given our expectations that SD-WACCM would match observed time series of multiple species better than FR-WACCM, and 5 having demonstrated this in the previous section, we turn to what should be a more fair comparison between the two sets of 6 model results, namely the variability aspect. We calculate the ratio of model to data interannual variability, as obtained from the 7 root mean square values of deseasonalized monthly anomaly series, expressed as a percent of climatological means; a simple 8 linear trend is first subtracted from the series, so that the variability comparisons remove any significant trend differences. We do 9 this for the MLS data, but also for longer-term time series, using the GOZCARDS data. The models are sampled following the 10 monthly sampling of the data sets (but not at the daily sampling level of detail); sampling plays a role for the longer-term 11 (merged) GOZCARDS data, which are comprised of some unevenly-sampled occultation data records (depending on latitude and 12 pressure). Figure 14 compares the O<sub>3</sub> variability ratios (models versus data) using as a reference the MLS 2005-2014 data (top 13 two panels), and the GOZCARDS merged ozone (1992-2003) data (bottom two panels). To first order, we observe similar 14 patterns for both time periods. The SD-WACCM variability is generally within 10-20% of the data variability (ratio values 15 between 0.8 and 1.2). The FR-WACCM variability is somewhat smaller than the data variability in the polar regions and in the 16 upper stratosphere. Bandoro et al. (2017) also found that the free-running version of WACCM displays smaller ozone variability 17 in the upper stratosphere, both for shorter-term and longer-term variabilities, than the observed variability, based on the merged 18 SWOOSH O<sub>3</sub> data record. In the lower stratosphere at low to mid-latitudes, FR-WACCM exhibits slightly larger variability than 19 the data, whereas SD-WACCM shows slightly smaller variability than the data; Bandoro et al. (2017) found that FR-WACCM 20 slightly overestimates the decadal variability in this region. We also see in Fig. 14 that at high latitudes, FR-WACCM 21 underestimates the actual variability, whereas this is less of an issue for SD-WACCM, with its more realistic representation of 22 the dynamics; as an example, refer to Fig. 13, for model and data anomalies at 68 hPa and 70°S-80°S.

23 A similar overview of model/data variability ratios is provided for H<sub>2</sub>O in Fig. 15, for the mesosphere and the stratosphere. 24 Here, while the variability from SD-WACCM is closer than that from FR-WACCM to the data variability during both periods, 25 the tendency for both models is to underestimate the observed variability, with FR-WACCM showing a stronger underestimate 26 in the upper stratosphere and mesosphere. Such an underestimate for FR-WACCM implies that a trend detection in the future 27 will require more years of data, if H<sub>2</sub>O continues to have larger variability than models. The FR-WACCM underestimate of the 28 variability is sometimes by as much as a factor of two, although it is more typically by  $\sim 30\%$  (see Fig. 15). For a series with 29 RMS variability about the fit represented by  $\sigma_t$ , the number of years needed to statistically detect a trend is proportional to  $\sigma_t^{2/3}$ 30 (Weatherhead et al., 1998), and thus, an increase of  $\sigma_t$  by factors of 1.3, 1.5, and 2.0, for example, will lead to an increase in the 31 number of years for trend detection by factors close to 1.2, 1.3, and 1.6, respectively. In the tropical lower stratospheric case, 32 H<sub>2</sub>O and temperature values and anomalies for 1992-2014 are shown for 100 hPa and 10°S-20°S in Fig. 16. Again, we note the 33 smaller-than-observed variability in model H<sub>2</sub>O oscillations, with SD-WACCM tracking the data better. This correlates with the 34 temperature series, where smaller variability is seen in FR-WACCM, in comparison to SD-WACCM (which follows MERRA 35 temperatures); we also note that FR-WACCM temperatures are somewhat larger (by ~1K on average) than SD-WACCM 36 temperatures in this region. This poorer tracking of cold point temperatures for FR-WACCM (Fig. 16) has likely implications for 37 poorer stratospheric trend results for FR-WACCM H<sub>2</sub>O as well, as we will actually observe in the trends section (Sect. 5.2). It is 38 well known that stratospheric entry level H<sub>2</sub>O is governed by temperatures near the tropopause cold trap; the monthly average 39 variations shown here are similar to what has been shown in past H<sub>2</sub>O work (e.g., Randel et al., 2004, 2006; Randel and Jensen,

1 2013). Brinkop et al. (2016) used model runs from both free-running and nudged simulations to analyze the impacts of different 2 constraints, including sea surface temperatures (SST) and meteorological fields, on "sudden" drops in H<sub>2</sub>O; they found that 3 several of these factors play a role in the  $H_2O$  variations, including the timing of ENSO and SST variability, the phasing with the 4 QBO, cold point temperatures, as well as the correct dynamical model state. Many other analyses of the relation between entry 5 level H<sub>2</sub>O, tropopause temperatures, transport, and convection have been carried out previously (e.g., Holton and Gettelman, 6 2001; Jensen and Pfister, 2004; Fueglistaler and Haynes, 2005; Rosenlof and Reid, 2008; Read et al., 2008; Schoeberl et al., 7 2013). Our point here is that the WACCM H<sub>2</sub>O anomaly series underestimate the observed variability. We note also that this 8 model underestimate exists if we calculate relative variability using a maximum minus minimum range from yearly average 9 anomalies rather than monthly averages. We provide a global view of lower stratospheric variability differences (models versus 10 data) in the anomaly series comparisons at 83 hPa for all latitude bins in Fig. S12. This also shows that the observed interannual 11 changes in H<sub>2</sub>O are better followed by SD-WACCM than by FR-WACCM, including the drop in H<sub>2</sub>O after 2011 (see Urban et 12 al., 2014). While lower stratospheric H<sub>2</sub>O variability is underestimated by SD-WACCM by  $\sim 20\%$ , the correlation between SD-13 WACCM and observed anomalies is very good (as was shown in Fig. 12).

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

25 We also show the ratios of model to data variability for stratospheric HNO<sub>3</sub> (2005-2014) and  $N_2O$  (2005-2012) in Fig. S13. 26 We already discussed the issues with missing model chemistry for upper stratospheric HNO<sub>3</sub> variability, as well as the low 27 signal-to-noise issue for HNO<sub>3</sub> data at low latitudes in this region. There is reasonably good agreement in the HNO<sub>3</sub> variability 28 between SD-WACCM and MLS for the lower to mid-stratosphere, while FR-WACCM generally overestimates the HNO3 29 variability in this region. Fig. S13 shows N<sub>2</sub>O results down to 100 hPa. Here, MLS N2O-640 data (from the 640 GHz 30 radiometer) for 2005-2012 are used; these retrievals were curtailed in the first half of 2013 as a result of degradation in the 640 31 GHz radiometer signal chain. Based on results shown in SPARC (2017), there appears to be good agreement in the tropical 32 interannual variability comparisons for N<sub>2</sub>O at 100 hPa between MLS and other satellite-derived results. The lower stratospheric 33 N<sub>2</sub>O time series behave more smoothly at low latitudes in the models than in the observations. The interannual variability in the 34 MLS N<sub>2</sub>O measurements there is somewhat smaller than the standard deviations in monthly mean N<sub>2</sub>O values (of 20-30 ppbv). 35 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 than 1 36 ppbv. Smoothing the model in the vertical domain to better match the MLS vertical resolution would not lead to a better fit to the 37 observed variability. However, we should keep in mind that the MLS-derived N<sub>2</sub>O variability is a small percentage (< 3%) of the 38 monthly zonal mean N<sub>2</sub>O abundances. In summary, SD-WACCM shows some underestimate of the observed lower stratospheric 39 tropical variability for all the species considered here, except for HNO<sub>3</sub>; FR-WACCM does so also for 3 species (H<sub>2</sub>O, HCl, and 40  $N_2O$ ). It may be that some of the larger variability in the measurements arises from effects not tied just to MLS radiance noise

1 issues, or from variability caused by the proximity to the tropopause for measurements with finite vertical resolution; WACCM

2 could also be genuinely underestimating the actual atmospheric variability near the tropopause (for unknown reasons).

#### 3 5.2 Trends

4 In this section, we discuss how the WACCM runs compare to stratospheric observations when it comes to trends, from fairly 5 short-term trends (from the Aura MLS time period) to longer-term trends based on comparisons with O<sub>3</sub>, H<sub>2</sub>O, and HCl 6 GOZCARDS data records (see Sect. 2 and Froidevaux et al., 2015). Trend analyses have their own complexities in terms of 7 analysis methods and uncertainty estimates. For example, O<sub>3</sub> trend assessments have had to deal with trend estimates from 8 different long-term data records, each with its own characteristics (Tummon et al., 2015; WMO, 2014; Harris et al., 2015; 9 Steinbrecht et al., 2017; Ball et al., 2017, 2018). This kind of analysis is especially difficult when investigating trends from time 10 series with high variability compared to the size of an underlying long-term change over time, which is certainly an issue for the 11 lower stratosphere. Also, global modeling efforts have led to improved characterizations of the expected combined and separate 12 impacts on ozone profiles of long-term changes in halogen source gases and greenhouse gases (WMO, 2014).

13 Here, we focus mostly on trend results from WACCM and observations, given the application of the same analysis methods 14 for the different series. We have applied multiple (or multivariate) linear regression (MLR) to the time series of deseasonalized 15 anomalies from the data, FR-WACCM, and SD-WACCM. In Appendix A3, we provide more details regarding the regression 16 model, which includes commonly used additive functional terms, including constant, linear, and periodic terms, along with 17 proxies describing well known variations arising from the QBO and the El Niño southern oscillation (ENSO), as well as an 11-yr 18 solar cycle proxy term. Examples of observational time series from merged ozone observations for 1998 through 2014 are 19 provided in Fig. A3, along with the fits to the series and the linear components (trends). We also discuss our methodology (a 20 block bootstrap method) for trend error evaluations in Appendix A3; such an approach was used, for example, by Bourassa et al. 21 (2014) for their trend analyses of ozone from the OSIRIS retrievals. We display the resulting trend error bars as  $2\sigma$  values (which 22 is very close to the 95% bounds on the distribution of trend results). Such calculations often lead to significantly larger error bars 23 than more standard methods or code (which neglect the autocorrelation of the residuals).

24 For ozone, we give an overview in Fig. 18 of percent deseasonalized anomaly time series for 3 latitude bins (northern mid-25 latitudes, tropics, and southern mid-latitudes) and 2 pressure levels (3.2 hPa for upper stratosphere, 68 hPa for lower 26 stratosphere). The series were deseasonalized in 10° latitude bins and then averaged. The GOZCARDS data used here (version 27 2.20) is an update to the original (version 1.01) record (Froidevaux et al., 2015), as mentioned in Sect. 2. Fig. 18 shows 28 generally good agreement between the various time series, although if one looks carefully, SD-WACCM is generally closer to 29 the observational time series than FR-WACCM is, as one might expect from previous considerations of goodness of fit and 30 variability; also, percent variability is larger in the lower stratosphere than in the upper stratosphere, thus rendering trend 31 detection more difficult at lower altitudes. We compare in Fig. 19 the ozone profile trend results from MLS data alone, from 32 2005 through 2014, to those from FR-WACCM and SD-WACCM, for the 3 aforementioned latitude bins. We show the error 33 bars as  $2\sigma$  estimates, as this provides an easy way to visualize if there are significant differences between models and data, or 34 between models. Furthermore, we have also shown (in grey) the data trend results for time series through the end of 2018, as a 35 timely reference, but with no corresponding available model results. Trend results through 2018 also help to underscore how 36 trend variability depends on the number of years used in the analyses. For ozone, this shows that there are certainly some altitude 37 and latitude regions where the slightly longer-term trends differ from the shorter-term trends by as much as 0.2%/yr (a typical  $2\sigma$ 38 uncertainty), and especially at northern midlatitudes in the lowest altitude region, where a significant decrease in trend values is 39 obtained (from 0.5 to 0.9%/yr to near-zero for the longer-term trend). In contrast, the southern mid-latitudes show that the

1 longer-term trends are positive throughout the stratosphere, whereas slightly negative values were obtained for 2005-2014. These 2 changes can be traced back to ozone variability in the observational record; this underscores that large dynamical variability in 3 the lower stratosphere will continue to create significant variability in the trends. Indeed, the importance of meteorological 4 variability was recently emphasized by Chipperfield et al. (2018), who included MLS data through the end of 2017 in their 5 comparisons to simulations from a chemical transport model; they showed that the MLS data exhibited large increases in the SH 6 lower stratosphere in 2017, which led to a positive tendency for 2005-2017 trends in that region, in contrast to slight declines (or 7 near-zero trends) in the NH, in general agreement with the results shown here, which include one more year (2018) of MLS data. 8 Moreover, Figure 19 provides a robust indication from the MLS data alone that upper stratospheric ozone values have been on 9 the upswing in the past decade, at a rate of about 0.1 to 0.3%/yr, depending on latitude/altitude region, with  $2\sigma$  uncertainties of 10 ~0.2%/yr. While these  $2\sigma$  error bars (obtained using the bootstrap method mentioned earlier) are fairly large, there are several 11 latitude regions and pressure levels with similar results, and this positive trend is a robust near-global upper stratospheric result 12 (with even smaller uncertainties). These results are broadly consistent with  $O_3$  trends obtained by Steinbrecht et al. (2017), who 13 use MLS as part of the longer-term merged data records, although they studied a longer time period (2000-2016). All things 14 being equal, the errors in these trends should diminish as more years of data are added to the MLS O<sub>3</sub> record, which, for the 15 middle and upper stratosphere, has been characterized as "very stable", namely within 0.1 to 0.2%/yr versus sonde and lidar 16 network ozone data (Hubert et al., 2016); it seems difficult to quantify "absolute stability" to much better than this, especially in 17 the lower stratosphere. In the lower stratosphere, trend results are closer to zero, with larger variability and error bars (in %/yr), 18 and unambiguous detection of post-1997 ozone trends in this region remains elusive (WMO, 2014; Harris et al., 2015). The 19 2005-2014 trends in Fig. 19 show good broad agreement between model and data, with a tendency for SD-WACCM to agree 20 better than FR-WACCM with MLS, albeit not significantly so, given the size of the error bars, especially in the lower 21 stratosphere. The lower stratospheric tropical results from FR-WACCM are negative, in contrast to both the observations and 22 SD-WACCM, but with large error bars. In the tropical upper stratosphere, both models exhibit a somewhat more positive trend 23 than observed for this period, with FR-WACCM diverging more from the observations than SD-WACCM does. We do find it 24 rather striking that, as a function of latitude (in 10°-wide bins) and pressure, the 2005-2014 SD-WACCM O<sub>3</sub> trends follow the 25 MLS trend results guite well; this is clearly shown in Fig. 20, for central latitudes from 55°S to 55°N. As mentioned above (but 26 not shown in Fig. 20), the agreement in these patterns is not as good for FR-WACCM.

27 For a consideration of longer time periods, we compare in Fig. 21 trends from the merged O<sub>3</sub> GOZCARDS record (version 28 2.20) to model results for two time periods: the left panels for 1985-1997 focus on the main declining ozone phase, while the 29 right panels show the post-1998 "early ozone recovery" stages. The largest differences between the two GOZCARDS data 30 versions occur in the tropical upper stratosphere for the declining ozone phase; Fig. S14 displays the tropical trend differences 31 that we obtain for the same three periods as in Fig. 19. In agreement with this are the trend differences provided by Ball et al. 32 (2017), who showed results for the original (version 1.01) GOZCARDS data and for SWOOSH. GOZCARDS version 2.20 data 33 are now in better agreement with the merged SWOOSH O<sub>3</sub> product (as both use SAGE II version 7 data); also, Steinbrecht et al. 34 (2017) showed that these two merged records lead to similar (post-2000) trend results. The improvements in GOZCARDS 35 version 2.20 ozone are a result of the incorporation of the SAGE II v7 retrievals (Damadeo et al., 2013), and the use of the 36 MERRA temperatures (used in v7) for the conversion from density/altitude to the GOZCARDS mixing ratio/pressure grid. We 37 note, however, that the lower stratospheric region exhibits interannual variability that is several times larger than that in the 38 upper stratosphere, as seen in Fig. A3 for tropical 1998-2014 data versus SD-WACCM. Even fairly subtle differences in time 39 series over a few years can lead to a sign change in the trends, although there is no statistical significance in the resulting trend 40 differences. For the pre-1998 period, Fig. 21 shows generally good agreement in the trends versus the models; FR-WACCM

1 tends to fit the observed trends more poorly than SD-WACCM in the lower stratosphere, although the upper stratospheric results 2 at mid-latitudes are somewhat poorer for SD-WACCM. The longer-term trends for 1998-2018 based on GOZCARDS data show 3 slightly more positive trends than the 1998-2014 results, and the recent ozone changes that affected the results in Fig. 19 (with a 4 2005 starting year) are diluted somewhat for the period starting in 1998. The southern hemisphere mid-latitudes exhibit near-zero 5 or slightly positive trends over the whole stratosphere, for 1998-2018; we note that zero trends are included inside the 6 corresponding error bars, although we did not add (grey) data error bars in these (already busy) plots. We note also that the upper 7 stratospheric early recovery (positive trends) is robust in the GOZCARDS data record, but the SD-WACCM trend results for the 8 uppermost region tend to overestimate the observed trends, and lie outside the error bars in a few cases. We show in Fig. S15 the 9 O<sub>3</sub> anomaly series for 1998-2014 at 1 hPa for 30°N-60°N, where SD-WACCM and GOZCARDS trends lie outside their  $2\sigma$  error 10 bars (Fig. 21); here, FR-WACCM happens to be in better agreement with the data. One aspect that could impact model/data 11 differences is that the models are not sampled, here, following the sparser (occultation) viewing, neither in latitude nor in time 12 (time within each month and local time also, since model values are 24-hr averages). Also, some of the differences in the upper 13 stratosphere might arise because the averaging of sunset and sunrise occultation data is not as robust for 1998-2004 as for pre-14 1998, when SAGE II was operating continuously in both modes (and O<sub>3</sub> varies more strongly with local time at 1 hPa than at 15 lower altitudes). Also, HALOE had decreasing spatio-temporal coverage in later years. Denser spatial and temporal sampling is 16 obtained for the MLS period, with very regular sampling; while small systematic (sampling-related) differences may affect the 17 comparisons, such differences should be consistent from year to year, thus minimizing the impact on trend differences.]

18 Our ozone trend results are largely consistent with other previous work (references mentioned above), which (for records 19 including MLS) typically used merged O<sub>3</sub> from GOZCARDS or from SWOOSH (Davis et al., 2016). We find statistically 20 significant trends (meaning that a zero trend is not included in the  $2\sigma$  error bar range) mostly in the upper stratosphere, both pre-21 1997 and after 1998. While the GOZCARDS results point to some small O<sub>3</sub> decreases in the lower stratosphere post-1998, as 22 obtained recently by the novel analyses of Ball et al. (2018), our study finds little statistical significance there, and a fair level of 23 sensitivity to the starting year or to the data sets used, with a swing to more positive (but marginally significant) results, if the 24 starting year is 2005 (Fig. 19). Past work (e.g., Harris et al., 2015) has also shown sensitivity to start and end points; also, 25 different regression analysis methods can lead to non-negligible differences (e.g., Nair et al., 2013; Kuttippurath et al., 2015). We 26 also note that past analyses of lower stratospheric tropical  $O_3$  data have shown positive tendencies, based not just on satellite data 27 as indicated here (with marginal significance for now), but also based on SCIAMACHY data (Gebhardt et al., 2014); in that 28 work, a positive trend was also seen in averaged tropical ozonesonde data. The lower stratospheric ozone trend issue will 29 continue to require further data and additional studies, towards a longer-term result.

30 For H<sub>2</sub>O, there have been conflicting past results on stratospheric trends, depending on whether one investigates sonde or 31 satellite data (e.g., Oltmans et al., 2000; Scherer et al., 2008), and regarding mechanisms that could account for more than a few 32 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. Changes in cold point temperatures 33 or in the circulation need to be invoked in order to account for significant decadal-scale trends in H<sub>2</sub>O (e.g., Randel et al., 2000; 34 Rohs et al., 2006; Tian and Chipperfield, 2006; Hegglin et al., 2014). Based on our analyses for 2005-2014, we find from Fig. 22 35 (left panels) a positive H<sub>2</sub>O trend both in the MLS data and in SD-WACCM, which tracks observations (versus latitude as well 36 as pressure) better than FR-WACCM does. FR-WACCM exhibits systematically smaller H<sub>2</sub>O trend values than both MLS and 37 SD-WACCM at all pressures except near 100 hPa. The fact that FR-WACCM trend results for the 2005-2014 period are 38 significantly smaller for the mid-stratosphere to lower mesosphere than the SD-WACCM and observed trends appears to mainly 39 be a result of slightly different decadal variability in this run; we also see instances in longer time series (not shown) where FR-40 WACCM short-term changes appear to be larger than those from SD-WACCM. Finally, the FR-WACCM trends have smaller

1 error bars, given the lower variability found in this model over the time period investigated here. With such lower variability, 2 detection of a given trend would take less time than with the actual (observed) variability. The overlap for FR-WACCM and 3 MLS is marginal in the upper stratosphere and lower mesosphere, where the impact on  $H_2O$  from CH<sub>4</sub> decomposition should be 4 at its maximum, and cold point temperature variability issues are smaller than near the tropical tropopause; also, the solar cycle 5 effects on the H<sub>2</sub>O time series are largest in the upper mesosphere (see also Froidevaux et al., 2015), but our regression analysis 6 includes a solar flux term (see Appendix A3) and largely takes this effect out. For the longer timescale provided on the right side 7 of Fig. 22, for H<sub>2</sub>O trends since 1992, we see that the upper stratospheric and mesospheric trends are much closer to zero than for 8 2005-2014 or 2005-2018. We have used 2010 as the end year for the model comparisons here, to minimize the impact of drifts in 9 the MLS H<sub>2</sub>O trend results (see the next paragraph for further details); trend results for 1992-2018 are provided as a reference, 10 but should be considered as an upper limit, given this drift issue for (roughly) the last 8 years of MLS data. An analysis of H<sub>2</sub>O 11 HALOE profiles and ground-based microwave profiles over Hawaii (Nedoluha et al., 2009) showed that changes in upper 12 stratospheric and mesospheric H<sub>2</sub>O were indeed sensitive to the solar cycle, but showed only negligible overall trends between 13 1992 and 2008. We can also see this evidence for smaller trends in the earlier portion of the H<sub>2</sub>O record in time series (not shown 14 here) from the GOZCARDS data set, with the stronger part of the trend coming after 2007 (as confirmed by the Fig. 22 results). 15 The cause for CH<sub>4</sub> changes over the past few decades have been difficult to identify with confidence (see, Feldman et al., 2018; 16 Turner et al., 2017). Simple algebra indicates that such CH<sub>4</sub> changes can lead to only part (about half) of the H<sub>2</sub>O increases 17 reflected in the 2005-2014 trends, and there must be other reasons for these fairly large short-term trends. We believe that the 18 significant decadal variability in H<sub>2</sub>O, which arises from cold point temperature variability, propagated upward as a "tape 19 recorder" signal, as well as QBO variability, account for a large part of the large positive H<sub>2</sub>O trends for 2005-2014. Indeed, 20 Garcia et al. (2007) noted in their studies of WACCM trends that multiple decades are likely needed to enable detection of the 21 underlying secular rise in stratospheric H<sub>2</sub>O, given the variability arising from ENSO, cold point temperature changes, the QBO 22 and other factors. Also, a sudden drop in water vapor after 2000 can lead to a stronger post-2000 stratospheric H<sub>2</sub>O trend, if one 23 is considering a rather short time period. In terms of the lower stratospheric longer-term trend results, Fig. 22 (right panels) 24 shows that there have been some decreases since 1992 (and with the 1992-2018 results being viewed as an upper limit). Based on 25 time series (not shown here), the models underestimate these decreases and show less variability, in terms of significant "drops" 26 in water vapor as well as smaller positive oscillations; other factors that could contribute to these differences include the poorer 27 atmospheric sampling prior to the MLS data, and potential systematic uncertainties in the merged data set (which is a more 28 difficult hypothesis to test).

29 We should also note that water vapor drifts have been detected between coincident MLS and sonde H<sub>2</sub>O data, mostly since 30 about 2010, with MLS-derived trends being more positive than those from frost point profiles (Hurst et al., 2016). This relative 31 drift (of as much as 0.5-1.6%/yr for 2010-2015, depending on altitude and location) could play a role in some discrepancies 32 between model (SD-WACCM) and MLS trends for 2005-2014, and it does complicate such comparisons. While SD-WACCM 33 results agree well with MLS in Fig. 22 (left panels), they would become larger than MLS (adjusted) results if one were to 34 subtract more than about 0.3%/yr from these MLS trends, although we should keep the error bars in mind. Possible causes for 35 drifts between MLS and sonde H<sub>2</sub>O data are being investigated, with only a small part of this discrepancy currently attributable 36 to a known instrument degradation issue for MLS H<sub>2</sub>O, which probably impacts other MLS data from the 190 GHz spectral 37 region (notably N<sub>2</sub>O). We see that tropical H<sub>2</sub>O at 100 hPa (near the stratospheric water vapor entry level) does not display much 38 of a trend. Previous studies of entry-level H<sub>2</sub>O using satellite data have concluded that no significant long-term trend is 39 discernible (Hegglin et al., 2014; Dessler et al., 2014). The former study led to slightly negative lower stratospheric H<sub>2</sub>O trends 40 (although with no statistical significance). GOZCARDS H<sub>2</sub>O data used here, however, does not include SAGE II data back to the

late 1980s, as was the case in the work by Hegglin et al. (2014), who also obtained positive long-term (1980-2010) trends in the upper stratosphere from satellite-derived H<sub>2</sub>O anomalies, merged using a global CCM as a transfer function. As found by others, especially when dealing with large decadal-type variability, the choice of start and end points, as well as the length of period studied, can significantly influence trend values, be it for H<sub>2</sub>O or O<sub>3</sub>. Lower stratospheric H<sub>2</sub>O trend detection is rendered difficult by such variability, including significant short-term changes (Randel et al., 2006; Hurst et al., 2011; Fueglistaler, 2012; Urban et al., 2014), as noted here also (see Fig. S12).

7 For HCl, changes in stratospheric values have been non-linear, with a rapid rise prior to 1998, and a slower decrease after 8 2004, as expected from time-shifted abundances of total surface chlorine (Froidevaux et al., 2015). Focusing first on 2005-9 2014/2018, we show model and data HCl trends for the lower stratosphere in Fig. 23. The agreement between SD-WACCM and 10 MLS trends (for 2005-2014) is good, especially for 30°S-60°S, although the error bars are fairly large. However, the (negative) 11 HCl trend results from both models lie below the observed trends almost everywhere. The upper portion of this model/data bias 12 follows what we observe also in the upper stratosphere (not shown), where MLS-derived HCl trends are too shallow compared to 13 expectations (from model and surface-derived chlorine trends), whereas upper stratospheric trends from the original MLS HCl 14 product were more negative (see Froidevaux et al., 2006; Livesey at al., 2018). As a reminder, the MLS team recommends that 15 data users not include upper stratospheric MLS HCl data (post-2006) in any trend studies. For the lower stratosphere, where the 16 HCl line is broader, there is less concern about the inability to track the HCl trend. Also, the near-zero drifts (drifts < 0.1%/vr) 17 obtained between two separate MLS O<sub>3</sub> band retrievals (not shown), one from the same radiometer as HCl, and one from the 18 main (very stable) standard MLS O<sub>3</sub> product (see Hubert et al., 2016), provide some confidence regarding the stability of LS HCl 19 trends. At low latitudes, MLS HCl shows a positive tendency (largest at 68 hPa, per Fig. 23), albeit with marginal significance. 20 The vertical gradient in these trends is duplicated fairly well by the SD-WACCM results, although the model trends are usually 21 less than those from MLS. Latitude/pressure trend variability, including positive tendencies, could be related to circulation 22 changes, as implied by analyses of short-term increases in lower stratospheric HCl seen in both ground-based and GOZCARDS 23 data (Mahieu et al., 2014). For the most part, the MLS trend results for HCl do not change appreciably when we consider the 24 longer period through 2018 (grey points in Fig. 23). Given the rapid rise in chlorine prior to 1998 and the non-linear changes 25 near the peak period, we show in Fig. 24 lower stratospheric time series from GOZCARDS merged HCl (Froidevaux et al., 26 2015) and WACCM for 1992-2014. There is fairly good agreement in the non-linear behavior observed in both data and model 27 series. The scatter in HCl data decreases after 2005, and the earlier time series suffer from more inhomogeneous sampling, which 28 may at least in part explain the larger scatter and model/data differences (there is no attempt here to sample models within each 29 month like the data, and this would be difficult for a merged data set). There are also regions and periods of slow HCl increases 30 in both data and models (Fig. 24), as well as hemispheric differences in short-term tendencies (Mahieu et al., 2014; Froidevaux et 31 al., 2015). The HCl time series are tracked well by SD-WACCM, which generally matches the data better than FR-WACCM; 32 this is consistent with the understanding that dynamically-driven variations are better captured by the incorporation in SD-33 WACCM of realistic meteorological fields (MERRA). Stolarski et al. (2018) investigated the removal of dynamical variability 34 from MLS lower stratospheric HCl series by using MLS N<sub>2</sub>O data as a fitting function in the regression; this led to HCl trends 35 that match expectations based on changes in surface chlorine. The search for detailed explanations of such short-term increases 36 and variability in lower stratospheric HCl (and other composition changes) continues to be an interesting area of investigation.

37 In the upper stratosphere, it has been difficult to explain the details of observed HCl variations from 1998 to 2002, including 38 the dip between these years (Waugh et al., 2001). We show in Fig. S16 near-global ( $60^{\circ}$ S- $60^{\circ}$ N) GOZCARDS HCl series at 1 39 hPa. This shows a systematic model underestimate of HCl in the uppermost stratosphere; the model/data difference is much 40 smaller at pressures closer to 5 hPa. While the systematic uncertainties (of ~0.2 ppbv) in the data encompass the model values,

1 the model total should be increased by the chlorine contribution from very short-lived halogenated substances (VSLS) to the 2 stratosphere; although this contribution is only of order 0.1 ppbv (Carpenter et al., 2014), recent evidence suggests that there 3 could be a somewhat larger stratospheric chlorine contribution from VSLS (Oram et al., 2017). Nevertheless, the historical 4 maximum for total tropospheric chlorine was about 3.65 ppbv (WMO, 2014), and this should be the maximum total chlorine 5 expected in the uppermost stratosphere. While WACCM includes the proper abundance and evolution of chlorine source gases, 6 maximum WACCM HCl in the upper stratosphere (and lower mesosphere) is just under 3.4 ppbv. It is also interesting that the 7 gap between the models (both versions) and the data worsens from 1992 to 2000, with the HCl peak occurring later in the data 8 (with a broader peak than in the models). After about 2002, the decrease in near-global HCl roughly follows the model decrease; 9 additional years of HCl data from ACE-FTS should help refine this comparison. In terms of HCl trends, Hossaini et al. (2019) 10 have recently shown that there are positive changes (by  $\sim 15\%$ ) in model upper stratospheric HCl trends since 2000, i.e. the HCl 11 decreases are smaller, if one takes into account the likely impact of changes in stratospheric chlorine from VSLS.

12 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. 25. We note 13 that the MLS standard product right after launch was N2O-640 (retrieved from the 640 GHz radiometer data), but it was 14 discontinued after mid-2013, as a result of a hardware degradation issue affecting that band (N<sub>2</sub>O only). The current MLS 15 product, N2O-190, is retrieved from the 190 GHz band. Figure S17 provides evidence of negative drifts in lower stratospheric 16 N2O-190, apparently accelerating in the last few years, since the SD-WACCM and actual N<sub>2</sub>O values would be expected to 17 continue to rise slowly after the end date on this plot, notably in the tropical lower stratosphere, where N<sub>2</sub>O should follow 18 tropospheric trends. Indeed, tropospheric N<sub>2</sub>O has been increasing at a fairly steady rate of  $\sim 0.26\%/yr$  (WMO, 2014), consistent 19 with the model N<sub>2</sub>O and MLS N2O-640 lower stratospheric increases at low latitudes (see Fig. S17 and especially the tropical 20 trends in Fig. 25 at 100 hPa). FR-WACCM N<sub>2</sub>O trends show slightly poorer agreement than SD-WACCM versus N2O-640, 21 although this is not statistically significant. Tropical lower stratospheric MLS N2O-190 trends (not shown) are negative (albeit 22 with error bars that encompass small positive trends), but show some differences versus expectations and the N2O-640 results. 23 As for HCl, interhemispheric differences in lower stratospheric N<sub>2</sub>O trends are interesting in terms of their implications for 24 effects relating to transport (age of air) and changes in the circulation. At lower pressure values, the N<sub>2</sub>O trends do not mirror the 25 tropospheric N<sub>2</sub>O trends (in %/yr), and other factors play a role (changes in circulation, QBO, N<sub>2</sub>O photodissociation). The 26 asymmetry in age of air obtained by analyses of (2002-2012) MIPAS SF<sub>6</sub> data (Haenel et al., 2015) could also be related to 27 asymmetries in N<sub>2</sub>O tendencies. They found relatively older air in the northern extra-tropics and younger air in the southern 28 extra-tropics; this could also imply opposite trends for N<sub>2</sub>O between southern and northern lower stratosphere. However, 29 Bönisch et al. (2011) have pointed out that tracers (e.g.,  $O_3$  and  $N_2O$ ) can be impacted differently by both vertical and quasi-30 horizontal transport effects, depending on their relative vertical and meridional gradients. Moreover, their work indicates that 31 detailed attribution of tracer variations to structural changes in the Brewer-Dobson circulation is a complex matter, and short-32 term and longer-term changes may well have different characteristics. Our work mainly identifies similarities between some of 33 the trend patterns versus pressure and latitude from SD-WACCM, in particular, and the observed trends, for a fairly short-term 34 period. For the HNO<sub>3</sub> trends (Fig. 25), we see fairly good agreement between models and data for 2005-2014; latitudinal 35 tendencies and interhemispheric differences therein are similar for model and data. The spatial gradients of these species are 36 different in the lower stratosphere (HCl and HNO<sub>3</sub> increase with height, in contrast to N<sub>2</sub>O), and we see that the decreasing HCl 37 trends for 2005-2014 at 30°S-60°S (Fig. 23), in particular, are qualitatively similar to those from HNO<sub>3</sub> in this region. For lower 38 stratospheric HNO<sub>3</sub>, there is an underlying trend part caused by the slow increases in N<sub>2</sub>O, as we can observe in longer-term 39 (1980 to present) model time series (not shown here), but more abundant volcanic aerosols also led to large HNO<sub>3</sub> changes, tied 40 to heterogeneous chemistry, in the 1980-1992 time period. N<sub>2</sub>O and H<sub>2</sub>O (source gases for HNO<sub>3</sub>) are significantly affected by

1 the QBO and there is a strong related variability in lower stratospheric HNO<sub>3</sub>. Observed short-term trend patterns in HCl, HNO<sub>3</sub>, 2 and N<sub>2</sub>O are better captured by SD-WACCM, overall, than by FR-WACCM, as we show in Fig. S18 for the 2005-2010 period, 3 relevant to the results of Mahieu et al. (2014), who emphasized short-term HCl increases during this time. We note the 4 correlation in these short-term trend results for HNO<sub>3</sub> and HCl, but an anti-correlation for N<sub>2</sub>O versus HCl (and HNO<sub>3</sub>). Fig. 25 5 also shows that the inter-hemispheric asymmetry in trends for lower stratospheric HNO<sub>3</sub> has persisted for the 2005-2018 period, 6 although longer-term SD-WACCM results (not shown) indicate that this is not modeled as a stable pattern over several decades. 7 Such short-term tendencies and correlations (or anti-correlations) were also noted by Douglass et al. (2017), who emphasized the 8 results from various column time series, from both observational records and model simulations (including modeled age of air).

## 9 6 Conclusions

We have analyzed stratospheric data (and mesospheric data as well for H<sub>2</sub>O) in terms of absolute abundances, variability, and trends for several species (O<sub>3</sub>, H<sub>2</sub>O, HCl, N<sub>2</sub>O, and HNO<sub>3</sub>), based on 10-14 years of Aura MLS measurements, as well as longerterm data records from GOZCARDS (for O<sub>3</sub>, H<sub>2</sub>O, and HCl). While our emphasis here has been on model evaluation and comparisons for two types of chemistry climate model runs (the free-running and specified dynamics versions of CESM1 WACCM), we also point out certain observational highlights regarding stratospheric change, notably using recent MLS data through 2018. Our conclusions are thus largely separated in terms of (1) updates regarding atmospheric variations and trends, mostly for the 60°S-60°N region, and (2) model evaluation aspects, for comparisons through 2014 only.

17 **Regarding the more novel highlights from satellite data analyses**, we have used multiple linear regression to derive trends 18 based on zonal mean time series from Aura MLS data alone, between 60°S and 60°N. In the upper stratosphere, MLS O<sub>3</sub> data 19 show increases over 2005-2018 at a rate of ~0.1-0.3%/yr (depending on altitude and latitude) with  $2\sigma$  uncertainties of ~0.2%/yr 20 (or less, for near-global averages). For the lower stratosphere (LS), GOZCARDS O<sub>3</sub> data for 1998-2014 point to small decreases 21 for broad latitude regions between 60°S and 60°N (as obtained also by Ball et al., 2018), but we obtain more positive trends if 22 the starting year is 2005. The SH mid-latitudes (30°S to 60°S) exhibit LS trends for 1998-2018 that are near-zero (or slightly 23 positive). The LS O<sub>3</sub> trends based on 2005-2018 MLS data are most positive at these SH mid-latitudes (with trends of 0.1-24 0.2%/yr, although marginally statistically significant), in contrast to slightly negative or near-zero trends for 2005-2014. Also, at 25 northern midlatitudes in the lower part of the stratosphere, a significant drop in  $O_3$  trends is obtained between the 2005-2014 26 results (0.5-0.9%/yr) and 2005-2018 (near-zero trends). Given the high variability in LS O<sub>3</sub>, and the high sensitivity of trends to 27 the choice of years used, especially for short time periods, further studies of this region are required for a more robust longer-28 term trend result. Only careful analyses of additional years of high-quality data can help to elucidate this question. For  $H_2O_1$ 29 upper stratospheric and mesospheric trends based on GOZCARDS 1992-2010 data are near-zero (within ~0.2%/yr), and 30 significantly smaller than trends (within ~0.4-0.7%/yr) from MLS for 2005-2014 or 2005-2018. As shown before by others, there 31 are multiple factors that can influence low-frequency variability in H<sub>2</sub>O; these recent stratospheric short-term positive trends go 32 beyond what on would expect from changes associated with a slow, secular increase in methane, even if some of the recent CH<sub>4</sub> 33 changes have been non-linear (Schaefer et al., 2016; Nisbet et al., 2016). However, given the known drift in MLS H<sub>2</sub>O series 34 (mainly since 2010) versus in situ sonde data (Hurst et al., 2016), the MLS trends above should be viewed as upper limits. We 35 also note that the very shallow solar flux maximum (in 2011 to 2014) of solar cycle 24, with lower than usual flux, led to a more 36 extended period of large mesospheric H<sub>2</sub>O since the minimum values observed in GOZCARDS time series in 2002 (see 37 Froidevaux et al., 2015); this has contributed to the fairly large short-term mesospheric and upper stratospheric H<sub>2</sub>O trends since 38 2005. For HCl, the MLS data show regions and periods of small HCl increases in the lower stratosphere, within the context of 39 the longer-term stratospheric decrease in HCl, as well as interhemispheric/latitudinal differences in short-term HCl tendencies. 40 We observe similarities in such short-term tendencies, and interhemispheric asymmetries therein, for lower stratospheric HCl and HNO<sub>3</sub>, while N<sub>2</sub>O trend profiles exhibit anti-correlated patterns. Some studies have implied that such short-term trends relate to changes in age of air and circulation, and this is the subject of continuing analyses. More generally, we are reminded through such work that, especially when dealing with large decadal-type variability, the choice of start and end points, as well as the length of period studied, can significantly influence the resulting trend values, and certainly the shorter-term tendencies.

5 In terms of the model evaluation analyses, climatological averages for 2005-2014 from FR-WACCM and SD-WACCM for 6 O<sub>3</sub>, H<sub>2</sub>O, HCl, N<sub>2</sub>O, and HNO<sub>3</sub> compare generally favorably (within 2<sub>5</sub> systematic errors) with Aura MLS data averages over 7 this period. Model  $O_3$  values are usually within  $\pm 5-10\%$  of the data, except in the UTLS. In the lowest stratosphere, SD-8 WACCM generally exceeds the observed ozone means by 30-50%, with FR-WACCM showing a smaller overestimate; both 9 models also overestimate (by  $\sim 60\%$ ) the amplitude of the annual cycle in this region. Such differences require further 10 investigations, but would appear to implicate, in part, a transport-related issue in the models. For  $H_2O$ , there is a model low bias 11 (by 5-15%) versus MLS data in the upper stratosphere and most of the mesosphere, although some of this might be a result of a 12 small high bias in MLS H<sub>2</sub>O versus other satellite data (Hegglin et al., 2013). Also, the models significantly underestimate 13 average HNO<sub>3</sub> values in the upper stratosphere, notably at high latitudes; this stems from the known effects of missing model ion 14 chemistry, as it relates to particle precipitation effects in the mesosphere, followed by downward wintertime polar transport of 15 enhanced NOx, and subsequent increases in HNO<sub>3</sub>. In the lower stratosphere at high southern latitudes, variations in polar 16 winter/spring composition observed by MLS are generally well matched by SD-WACCM, the main exception being for the early 17 winter rate of decrease in HCl, which is too slow in the model (see also the work on this topic by Grooß et al., 2018). Regarding 18 the fitted variability tied to the AO and SAO, there are a few discrepancies between model-derived amplitude patterns and the 19 corresponding MLS climatology features, but FR-WACCM and SD-WACCM appear to properly capture the primary processes 20 governing these modes of variability. We have provided diagnostics for the fits between WACCM runs and MLS deseasonalized 21 anomaly series. These include correlation coefficients for different time series as well as a diagnostic of RMS differences (model 22 versus data) divided by the RMS data variability. Not too surprisingly, SD-WACCM, which is driven by realistic dynamics, 23 generally matches the observed zonal monthly mean anomalies significantly better than does FR-WACCM; this holds for all five 24 species that we considered, with larger values of  $R^2$  and smaller values of the RMS difference diagnostic for SD-WACCM.

25 For a more fair and useful metric of model quality, in particular for a free-running model, we have compared the RMS 26 interannual variability from the anomalies in both WACCM models versus observations. One of the main features is that the H<sub>2</sub>O 27 variability from lower stratosphere to upper mesosphere is underestimated by both models; this underestimate can reach a factor 28 of two, although more typically, it is of order 30%. This implies that more years (by a factor of 1.2 to 1.6) would be needed to 29 detect an actual trend in H<sub>2</sub>O than if one used the WACCM-based predictions. Ozone variability is better represented by 30 WACCM, with model/data variability ratios typically within a factor of 0.8 to 1.2. Observed HCl variability is underestimated 31 somewhat by FR-WACCM for 1992-2003, but not for 2005-2014; the sparser HALOE sampling, compared to MLS, could 32 explain some of the underestimate for the early period, especially in polar regions. For  $N_2O$ , there is also a model underestimate 33 (from both WACCM versions) of MLS-derived LS low latitude variability, although this variability is small.

Regarding trends, the model comparisons versus the O<sub>3</sub> data records from GOZCARDS (version 2.20) show generally good qualitative agreement in the time series for both upper and lower stratospheric change; the WACCM O<sub>3</sub> trends estimated using the same regression model as used for the MLS data show good agreement with the data trends. Furthermore, the observed trend dependence on latitude and pressure is matched quite well by the SD-WACCM trend results. We have not considered the high latitudes in detail here, in part because of the significant dynamical variability in that region. Stone et al. (2018) recently analyzed model results at high latitudes in the upper stratosphere, and showed that the large variability in that region, including the effects of solar proton events, is likely to mask detection of recovery (for now). In the lower stratosphere, where larger

1 variability exists, the O<sub>3</sub> trends we deduce from the data and models agree within fairly large error bars (and generally no 2 statistical significance). For 2005-2014, the SD-WACCM trends seem to track the observed positive O<sub>3</sub> tendencies, although 3 with marginal statistical significance. For H<sub>2</sub>O, the MLS and SD-WACCM positive trend results agree fairly well, but FR-4 WACCM shows significantly smaller increases; this discrepancy for FR-WACCM is even more pronounced for the longer-term 5 GOZCARDS H<sub>2</sub>O records (since 1992). Larger discrepancies for FR-WACCM likely arise from its poorer correlations (than SD-6 WACCM) with cold point temperatures and with QBO variability. For HCl, our trend analyses reveal broad agreement between 7 the lower stratospheric MLS data (2005-2014) and the models, but with some systematic differences. While decreases in global 8 LS HCl are indicated for 2005-2014, there are some observed hemispheric differences, and some increase is suggested in tropical 9 MLS data at 68 hPa, where there is only a slight positive trend from SD-WACCM. While the vertical gradients of MLS HCl 10 trends are duplicated to some extent by SD-WACCM, the model trends are always more negative. We see a continued need for 11 more comparisons of the various HCl measurements, satellite-based and ground-based, as well as for model comparisons, in 12 order to better understand circulation influences on stratospheric composition, as well as potential measurement-related issues. 13 Part of the model/data systematic difference in HCl trends could be explained by the omission (in WACCM) of the impact of 14 VSLS on stratospheric chlorine, as indicated by the recent work of Hossaini et al. (2019). For N<sub>2</sub>O, the interhemispheric 15 asymmetry in MLS-derived trends (for 2005-2012), with negative trends (of up to -1%/yr) at NH mid-latitudes and positive 16 trends (of up to 3%/yr) at SH mid-latitudes, is in agreement with the asymmetry in SD-WACCM results. Small observed positive 17 trends of  $\sim 0.2\%/yr$  in the 100 to 30 hPa tropical region are consistent with model results, which in turn are very close to the 18 known rate of increase in tropospheric N<sub>2</sub>O (at about +0.26%/yr, see WMO, 2014). In the case of HNO<sub>3</sub>, the MLS-derived lower 19 stratospheric trend differences (for 2005-2014) between hemispheres are opposite in sign to those from N<sub>2</sub>O (whose spatial 20 gradients are largely of a sign opposite to those from HNO<sub>3</sub>) and in reasonable agreement with both WACCM results, despite 21 large error bars. While more detailed analyses would be needed to try to relate such trend asymmetries to changes in age of air, 22 or circulation, we note that the QBO is a large contributor to such short-term trend results in the middle stratosphere.

The diagnostics provided in this WACCM model evaluation can help distinguish even fairly subtle differences between models and observations, as well as between models. Further collaborations between modeling groups and instrument teams, as well as continuing data validation, will help to expose and clarify species-dependent instrumental effects (biases or drifts). Finally, independent CCMs are not created in the same way, and nudging approaches can vary; in addition, some models have an internally-generated QBO, but most do not. While this study focused on CESM1 WACCM, continuing studies of the differences between high quality observations and various models of atmospheric composition will be useful. Such work could be expanded to include species not considered here, and/or with more of a focus on the upper troposphere.

# 30 Appendix A

# 31 A1 Examples of other model evaluation methods

A grading method that has been applied in some previous comparisons (e.g., see Douglass et al., 1999; Waugh and Eyring, 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):

35 
$$grade = 1 - \sum_{1}^{N} \frac{|M_n - O_n|}{E_f \times \sigma_n}$$
 (A1)

36 with index *n* (in a given time series) varying between 1 and *N* (the total number of monthly values being compared for a given 37 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 38 3, this gives grades that are too small (close to zero or negative) if one applies such a formula to the MLS O<sub>3</sub> or H<sub>2</sub>O time series, 39 specifically to data sets with pretty well defined total measurement errors (provided as  $2\sigma$  error estimates, per Sect. 4, meaning 1 an error factor of 2). The grades shown here in Figs. A1 and A2 correspond to error factors (Ef) of 2 and 4, respectively. Figure 2 A2 leads to  $O_3$  and  $H_2O$  grades that are more useful than Fig. A1. It also shows some similarities with the diagnostics based on 3 percent differences between model and data shown in Sect. 4.

4 We note, however, that it is generally more difficult to estimate systematic errors for merged data records. The GOZCARDS 5 data analyses led to somewhat pessimistic (or conservative) systematic error estimates (see Froidevaux et al., 2015), and these 6 are significantly larger than error estimates for MLS data only. Other methods could lead to useful error estimates, through the 7 use of multi-satellite data sets and the spread between these (see SPARC, 2017), for some species at least. Moreover, when one 8 considers anomaly time series, it becomes even less clear how to best assign uncertainties in the context of "error-weighted" 9 grades. Some data records may also drift with respect to others, or with respect to ground-based data, so that the actual errors 10 will change with time (and possibly location). In the end, the most important aspect of model evaluation or grading analyses may 11 lie in the relative values of grades or diagnostics for different models.

12



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

$$10 \quad \Delta_i(t) = M_i(t) - O_i(t) \tag{A2}$$

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

12 
$$RMSdif = \sqrt{\frac{1}{N} \sum_{i} \Delta_{i}^{2}}$$
 (A3)

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

$$14 \qquad RMS_0 = \sqrt{\frac{1}{N} \sum_i O_i^2} \tag{A4}$$

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

16 given by

17 
$$D_{RMSdif} = \frac{RMSdif}{RMS_0}$$
 (A5)

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## 19 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:

23  $y(t) = a + b(t - t_m) + \sum_n (c_n \sin 2\pi t/P_n + d_n \cos 2\pi t/P_n)$ 

 $+f_1QBO_1(t) + f_2QBO_2(t) + f_3ENSO(t) + f_4Solar(t)$ 

(A6)

3 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 4 above. The sine and cosine functions provide for periodic variations with periods  $P_n$ . For our work, we use the primary shorter-5 term periodic oscillations, namely the annual (12-month period) and semi-annual (6-month period), in Equation (A6), in addition 6 to shorter-term periodic terms (with 3 and 4 month periods); such short-term variability helps to produce better fits, and can 7 reduce error bars slightly, although the resulting linear trend results are not affected much. The QBO is also a major source of 8 variability in stratospheric composition time series. As a QBO proxy, we include the variability in monthly mean tropical wind 9 series; we use the linear combination of (roughly orthogonal) equatorial wind series at 50 hPa and 30 hPa as the  $OBO_1$  and  $OBO_2$ 10 functions above, to account for phase shifts in the series at different locations. Monthly mean zonal equatorial wind data are 11 made available by the Freie Universität Berlin (see http://www.geo.fu-berlin.de/en/met/ag/strat/produkte/gbo/ for data access 12 information and references). We have also tested fits with the zonal mean wind vertical shear (gradient) rather than the wind 13 itself as a proxy, but this did not make significant changes in the trends (or improvements in the residuals). The ENSO proxy 14 follows the monthly mean multivariate ENSO Index (MEI), which combines data from six main geophysical variables over the 15 tropical Pacific (see Wolter and Timlin, 1993, 1998; https://www.esrl.noaa.gov/psd/enso/mei/index.html). Also, we have 16 included an 11-vr solar cycle proxy term (see the last term in the above equation), using the monthly averaged 10.7 cm solar flux 17 time series kindly provided (see ftp://ftp.geolab.nrcan.gc.ca/data/solar flux/monthly averages) by the Canadian Space Weather 18 Forecast Centre. For further discussions of alternate fitting methods (e.g., methods using effective equivalent chlorine time series 19 as a proxy), the reader is referred to the abundant literature on trend assessments (see WMO, 2014 and references therein). Our 20 main goal here is to retrieve trends and trend errors from the data and the models in the same way. An example of deseasonalized 21 tropical ozone time series at two pressure levels is given in Fig. A3, which shows MLS and SD-WACCM series, along with the 22 fits and the linear trends.

23 Trend errors: For the evaluation of error bars in the linear trends, we have used the method of bootstrap resampling (Efron 24 and Tibshirani, 1986). As others have done for ozone trend analyses (Randel and Thompson, 2011, Bourassa et al., 2014), we 25 have applied this using block bootstrapping (using yearly blocks of data), thereby preserving some of the dependency in the time 26 series. Basically, one samples and (randomly) replaces blocks of yearly data for a large number of resampling cases (on linear 27 fits to the residuals), and then calculates the standard deviation of this large number of trend results to arrive at trend 28 uncertainties; note that we use 25 values as error bars in our comparisons (which is very close to 95% bounds). We have used 29 20,000 samples in our bootstrap analyses; changing this number (e.g., by several thousand) does not alter the results 30 significantly, as long as one chooses a large enough total number of cases. An alternative method is to attempt to correct trend 31 uncertainties for the autocorrelation of the residuals after the regression fit (Tiao et al., 1990; Weatherhead et al., 1998; Santer et 32 al., 2000). The existence of non-random residuals effectively implies that the number of independent data points is less than the 33 number making up the original time series. The end result is that trend uncertainties are larger than if one neglects these effects. 34 We find that trend errors from this bootstrap method for our time series examples are often larger than more simplistic/standard 35 calculations by factors ranging from about 1.2 to 2 or more. We have checked our trend error calculations with the OSIRIS team 36 (C. Roth, personal communication, 2018) based on a sample time series, as we have used the same block bootstrap approach as 37 they have (see also Bourassa et al., 2014).



**Figure A3.** Deseasonalized monthly mean anomaly time series for O<sub>3</sub> (%) at 2.2 hPa (top panel) and 68 hPa (bottom panel), for 1998 through 2014, for averages over 20°S-20°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.

8 Data availability. Aura MLS data used in this work are monthly zonal means derived from Level 2 MLS data, which are 9 accessible from the Goddard Earth Sciences Data and Information Services Center (GES DISC), funded by NASA's Science 10 Mission Directorate; a link for MLS Level 2 data access can be found at https://mls.jpl.nasa.gov/data/. GOZCARDS data sets can 11 be obtained (by entering GOZCARDS in the search) at http://disc.gsfc.nasa.gov. More recent years (and version updates) will be 12 made available at this site, or can be obtained by request to the first author. The WACCM model output used here is provided in 13 some of references is available from the NCAR Earth Grid the and System at 14 https://www.earthsystemgrid.org/search.html?Project=CCMI1. For WACCM, we thank NASA Goddard Space Flight Center for 15 the MERRA data (accessed freely online at http://disc.sci.gsfc.nasa.gov/).

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- 22 *Competing interests.* The authors declare that they have no conflicts of interest.
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**Figure 1.** These latitude/pressure contour plots show percent differences (100 x (model-data) / data) for binned climatological O<sub>3</sub> from 2005-2014 (see Fig. S1 for the average MLS and model values), for (top) the free-running model (average of 3 FR-WACCM realizations), (middle) the specified dynamics (SD-WACCM) version, and (bottom) for SD-WACCM - FR-WACCM. Regions that are not crossed out in the top two panels are regions where the model climatology differs quite significantly from the data, based on a comparison of the ratio of (absolute) model/data differences to MLS systematic error estimates (see text).









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



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

N<sub>2</sub>O % Dif.: FR-WACCM - MLS (2005-2014) 1 70 50 30 20 10 <××××> ×××××××× ×××××××××××××× ××××××××××××××× XXXXXXXXXXX Pressure / hPa xxxxxxxx хx XXXXX 5 0 -5 -20 -30 -50 -70 xxxx хx XXXX % 10 XXXXXXXX XXXXXX XXXXXXXXXXXXXXX XXX  $\times \times \times$ ×××××××××× 50 -50 0 Latitude N<sub>2</sub>O % Dif.: SD-WACCM - MLS (2005-2014) 1 70 50 30 20 10 5 \*\*\*\*\* ×××××××××××××××××× <×××××××××××××××× Pressure / hPa ××××××××××××××× ×××××××××××××××× ×××××××××××××× ×××××××××× Õ 8 10 xxxxxxxxxxxxx ×××××××××××× -5 -10 -20 -30 -50 -70 \*\*\*\*\*\* XX XXX XXXXXX \*\*\*\*\*\* 0 50 -50 Latitude N2O % Dif.: SD-WACCM - FR-WACCM (2005-2014) 70 50 30 20 Pressure / hPa 10 5 0 -5 -10 8 10 -20 -30 -50 -70 -50 0 50 Latitude







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



**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).



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.



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



**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.



**Figure 11.** Time series of monthly zonal mean O<sub>3</sub> 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.



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



**Figure 13.** HNO<sub>3</sub> 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.



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.



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).







**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).



**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). We also show the data trends for 2005-2018 (in grey) to provide an update on how the past 4 years change the (slightly longer-term) tendencies; to avoid more clutter in these plots, we have not overplotted the corresponding error bars, but these are only slightly smaller than the black observational error bars.



**Figure 20.** Ozone trends in different latitude bins for SD-WACCM (red) versus Aura 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.



**Figure 21.** Same as Fig. 19 for ozone trend comparisons, except for the use of longer-term GOZCARDS (version 2.20) ozone data records, with 1985-1997 shown at left and 1998-2014 at right, along with the corresponding model results. We also show the updated ozone data trends with 1998-2018 results in grey (for the panels on the right).



**Figure 22.** Trends in three latitude bins for stratospheric and mesospheric H<sub>2</sub>O from an analysis of the 2005-2014/2018 MLS data and the two WACCM models for 2005-2014/2018 (left panels) and the 1992-2010/2018 time period (right panels); only the observational trend results are extended through 2018 (grey points) for MLS (left panels) and for GOZCARDS (right panels).



**Figure 23.** Same as Fig. 19, but for lower stratospheric MLS HCl data trends for 2005-2014/2018 (with grey points showing MLS results through 2018) and WACCM HCl trends for 2005-2014.



**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).



**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, with additional data results (in grey) for 2005-2018.