

# Role of Tropical SST Variability on the Formation of Subtropical Dipoles

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#### 22 Abstract

23 Interannual variations of Sea Surface Temperature (SST) in the midlatitudes of the 24 Southern Hemisphere play an important role in the rainfall variability over the surrounding 25 countries by modulating synoptic-scale atmospheric disturbances. These are frequently associated with a northeast-southwest oriented dipole of positive and negative SST anomalies 26 27 in each oceanic basin, referred to as a subtropical dipole. This study investigates the role of 28 tropical SST variability on the generation of subtropical dipoles by conducting SST-nudging 29 experiments using a coupled general circulation model. In the experiments where the 30 simulated SST in each tropical basin is nudged to the climatology of the observed SST, the 31 subtropical dipoles tend to occur as frequently as the case in which the simulated SST is 32 allowed to freely interact with the atmosphere. It is found that without the tropical SST 33 variability, the zonally elongated atmospheric mode in the mid-high latitudes, called the 34 Antarctic Oscillation (AAO), becomes dominant and the stationary Rossby waves related to 35 the AAO induce the SLP anomalies in the midlatitudes, which, in turn, generate the 36 subtropical dipoles. These results suggest that the tropical SST variability may not be 37 necessary for generating the subtropical dipoles, and hence provide a useful insight into the 38 important role of the AAO in the midlatitude climate variability.

### 40 **1. Introduction**

41 More than 80 % of the surface area in the Southern Hemisphere is covered by ocean, 42 and the ocean plays a key role in the rainfall over land as moisture sources. Many countries 43 are located in the low-mid latitudes (0°-50°S), and highly dependent on rain-fed agriculture. 44 In these regions, rainfall variability is strongly linked with climate variability involving the low-mid latitude oceans, and greatly influences the crop yields, infrastructure, and drinking 45 46 water (e.g. Jury 2002). A large number of studies on the rainfall variability discussed the 47 impacts of the tropical climate variability such as El Niño-Southern Oscillation (ENSO) 48 (Chiew et al. 1998, Grimm et al. 2000, Richard et al. 2000), but recently, much focus has been 49 placed on links with the midlatitude ocean variability (Reason 2001, Robertson et al. 2003, 50 Ummenhofer et al. 2009, Cai and Cowan 2013).

51 One of the major oceanic factors for the rainfall variability is Sea Surface Temperature 52 (SST). The SST in the midlatitudes seasonally changes due mostly to solar radiation, and 53 reaches its peak during austral summer (December-February). The SST also undergoes a 54 year-to-year variability, which becomes large during austral summer because of a shallow 55 mixed layer and high solar insolation. The interannual SST variation in the midlatitudes is frequently associated with a northeast-southwest oriented dipole of SST anomalies in each 56 57 oceanic basin, referred to as a subtropical dipole. Behera and Yamagata (2001) first identified 58 this phenomenon in the southern Indian Ocean. Since then, several studies have shown the 59 existence of subtropical dipoles in the South Atlantic (Fauchereau et al. 2003) and South 60 Pacific (Morioka et al. 2013b).

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The generation mechanism of the subtropical dipoles has been widely discussed in the

62 literature (Suzuki et al. 2004, Hermes and Reason 2005, Chiodi and Harrison 2007, Morioka 63 et al. 2010, 2011, 2012). At the beginning, variations in the subtropical high during late 64 austral spring generate a northeast-southwest oriented dipole of latent heat flux anomalies. 65 This induces dipole anomalies of mixed-layer thickness, and modulates warming of the mixed 66 layer by shortwave radiation. This results in the dipole SST anomalies associated with the 67 subtropical dipole during austral summer. Therefore, the variation in the subtropical high is a 68 key factor for generating the subtropical dipole.

69 However, possible sources of variability in the subtropical high are not fully understood. 70 Huang and Shukla (2006, 2008) and Morioka et al. (2013a) conducted several Coupled 71 General Circulation Model (CGCM) experiments and suggested that not only ENSO but the 72 atmospheric variability in the mid-high latitudes, called the Antarctic Oscillation (AAO; 73 Thompson and Wallace 2000), may be important for inducing the variability of the Mascarene High, hence generating the Indian Ocean Subtropical Dipole (IOSD). Also, in the CGCM 74 75 experiments by Morioka et al. (2013a), the IOSD occurs even without the SST variability 76 outside the southern Indian Ocean, suggesting a potential role of the local air-sea feedback 77 during the development of the IOSD, which was discussed by Behera and Yamagata (2001). 78 However, the CGCM used in their studies did not include a sea-ice model and there may be 79 some uncertainties in their simulation for the mid-high latitudes climate. In fact, a large 80 number of studies suggested the importance of sea-ice variability in the high-latitude 81 atmospheric variability through changes in the surface albedo and the air temperature 82 (Simmonds and Budd 1991, Hudson and Hewitson 2001, Raphael 2003).

83

As the dominant atmospheric variability in the Southern Hemisphere, the AAO plays a

key role in the SST, mixed-layer, and sea-ice variability in the extratropics (Sen Gupta and 84 85 England 2006, Ciasto and Thompson 2008, Screen 2010). Several studies discussed that the 86 AAO is an internal atmospheric variability sustained by the positive feedback between the 87 zonal-mean flow and eddies (Lorenz an Hartmann 2001, Eichelberger and Hartmann 2007). 88 The positive (negative) AAO is driven by the eddy momentum flux convergence/divergence 89 associated with a strong (weak) anticyclonic Rossby wave breaking on the equator side of the 90 midlatitude jet (Gong et al. 2010, Wang and Magnusdottir 2011). In addition, the SST 91 anomalies associated with the AAO thermodynamically affect the atmosphere in the 92 troposphere and contribute to the persistence of the AAO, suggesting an existence of 93 ocean-to-atmosphere feedback (Sen Gupta and England 2007).

Another important driver for the climate variability in the Southern Hemisphere is atmospheric teleconnection associated with the tropical heating anomalies (Lee et al. 2009). In particular, ENSO has significant impacts on the SST anomalies in the extratropics by modulating surface turbulent heat flux and Ekman heat advection (Ciasto and England 2011). The atmospheric response to ENSO has an equivalent barotropic dipole structure of the zonal-mean wind anomalies in the mid-high latitudes and it is also related with the AAO (L'Heureux and Thompson 2006).

In this context, a large number of studies discussed the role of the AAO and ENSO in the SST variability in the extratropical Southern Hemisphere, but little attention has been paid to the SST variability associated with the subtropical dipoles as well as the impacts arising from the other tropical forcing. For example, the interannual SST variability in the tropical Indian Ocean shows either Indian Ocean Basin (IOB; Klein et al. 1999) or Indian Ocean Dipole (IOD; Saji et al. 1999) modes. Particularly, the IOD induces the atmospheric teleconnection in the Southern Hemisphere (Chan et al. 2008) and plays an important role in the rainfall variability over Australia (Cai et al. 2011, Cai and Rensch 2013). The Atlantic Niño is another such large interannual SST variability in the tropical Atlantic (Zebiak 1993).

110 Therefore, this study aims to investigate roles of the SST variability in each tropical 111 ocean for generation of the subtropical dipoles in the Southern Hemisphere. For this purpose, 112 we perform a series of SST-nudging experiments by using a CGCM which includes a sea-ice 113 model. The contents of this paper are as follows. In Section 2, we briefly describe CGCM 114 experiments, observational data, and methodology for the atmospheric analysis. In Section 3, 115 we compare characteristics of the subtropical dipoles among the observation and the CGCM 116 experiments. In Section 4, we perform composite analysis to discuss generation of the 117 subtropical dipole among the experiments. The discussion and conclusions are given in 118 Section 5.

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# 120 **2. Model, data, and methodology**

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122 **2-1. CGCM experiments** 

The CGCM used in this study is SINTEX-F2 (Masson et al. 2012). The atmospheric component is ECHAM5 (Roeckner et al. 2003), which has 31 vertical levels on a T106 Gaussian grid. The oceanic component is NEMO (Madec 2008), which includes the LIM2 sea ice model (Fichefet et al. 1997) and has ORCA05 horizontal resolution (0.5°) with 31 vertical levels. The atmospheric and oceanic fields are exchanged every 2 hours with no flux correction by means of the OASIS3 coupler (Valcke et al. 2004). For the control run (CTR) 129 experiment, the SINTEX-F2 is integrated for 110 years, and monthly mean outputs from the130 last 80 years are used for the analysis.

131 Using the SINTEX-F2, we conducted three SST-nudging experiments to examine the 132 role of tropical SST variability. Details of each experiment are given in Table 1a. In the FTP experiment, the SST in the tropical Pacific (30°S-30°N) is nudged to climatology of the 133 134 AVHRR-only Optimum Interpolation SST version 2 data (OISST v2; Reynolds et al. 2007) for the 1982-2010 period. We added a negative feedback (-2,400 W m<sup>-2</sup> K<sup>-1</sup>) to the surface 135 136 heat flux so that the temperature in the upper 50-m mixed layer is restored within 1 day. 137 Within 5 degrees near the boundaries of the SST-nudging area, a Gaussian smoothing is 138 applied. Similarly, the FTIO and FTA experiments were performed in the tropical Indian and 139 Atlantic (30°S-30°N) Oceans, respectively. All of these experiments are integrated for 50 140 years, and the monthly outputs for the last 30 years are used for the analysis by removing the 141 first 20 years for the oceanic adjustment to the atmospheric forcing.

For an accurate interpretation of the results from the SST-nudging experiments, it should be noted that the surface heat flux correction in the SST-nudging experiments acts to inhibit coupled interactions and variability in the corrected region to a large extent. In other words, the differences between the CTR and each SST-nudging experiment may allow us to deconvolve the impact of the SST variability in each tropical basin onto the subtropical modes of the Southern Hemisphere.

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#### 149 **2-2. Data**

150 For comparison, we use the observed monthly mean SST data from the NOAA OISST

v2 (Reynolds et al. 2002). It has a horizontal resolution of 1° x 1° and covers the 1982-2011 151 152 period. Similar results are obtained for the different datasets such as the HadISST (Rayner et 153 al. 2003) and ERSST v3 (Smith et al. 2008). We also use the Sea Level Pressure (SLP) and 154 the geopotential height and horizontal winds at 250 hPa from the NCEP/DOE AMIP-II 155 (Reanalysis-2; Kanamitsu et al. 2002). It covers the same period with a Reanalysis 156 horizontal resolution of 2.5° x 2.5°. For precipitation, we use the observed data set from CPC 157 Merged Analysis of Precipitation (CMAP; Xie and Arkin 1997). The resolution and analysis 158 period are the same as in the NCEP Reanalysis-2. For all the above datasets, monthly 159 anomalies were calculated after removing the liner trend and the monthly climatology.

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### 161 **2-3. Wave activity flux**

We use a wave activity flux to examine propagation pathways of stationary Rossby waves on a zonally varying basic flow in the upper troposphere (Takaya and Nakamura 1997, 2001). It provides a snapshot for three-dimensional propagation of quasi-geostrophic eddies in a phase independent manner and is parallel to their local group velocity. The formulation of the wave activity flux  $\vec{W}_{s}$  is given as follows:

167  
$$\vec{W}_{s} = \frac{p}{2|\vec{U}|} \begin{pmatrix} U(\psi_{x}'^{2} - \psi'\psi_{xx}') + V(\psi_{x}'\psi_{y}' - \psi'\psi_{xy}') \\ U(\psi_{x}'\psi_{y}' - \psi'\psi_{xy}') + V(\psi_{y}'^{2} - \psi'\psi_{yy}') \\ \frac{f_{0}^{2}}{N^{2}} \Big[ U(\psi_{x}'\psi_{z}' - \psi'\psi_{xz}') + V(\psi_{y}'\psi_{z}' - \psi'\psi_{yz}') \Big] \end{pmatrix},$$

168 where p = (pressure/1000hPa),  $\vec{U} = (U,V)$  is the horizontal wind,  $\psi$  is the streamfunction, 169  $f_0$  is the Coriolis parameter and N is the buoyancy frequency. Here, ()' indicates the 170 deviation from the monthly climatology. The divergence (convergence) of the wave activity 171 flux corresponds to the generation (dissipation) of the Rossby waves. The wave activity flux, 172 by definition, is based on the quasi-geostrophic approximation so that it is hard to describe the 173 flux near the Equator. Since the Rossby waves are excited by the vorticity perturbation 174 associated with the thermal or orographic forcing (Hoskins and Karoly 1981), here instead, 175 we have used the divergence (convergence) of the horizontal winds in the upper troposphere 176 to describe potential sources of the Rossby waves.

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## 178 **3. Impacts on characteristics of subtropical dipoles**

179 Before discussing characteristics of subtropical dipoles, it is worthwhile examining to 180 what extent the SST variances change among the CGCM experiments. Figure 1 shows the 181 standard deviation of SST anomalies during austral summer. The spatial pattern of the 182 observed SST variance is well simulated in the CTR experiment, although the simulated 183 amplitude is relatively weak. In both the observation and CTR experiment, the ENSO pattern 184 clearly appears in the tropical Pacific, and thus the SST variance is much larger than in the 185 other tropical basins. Besides in the tropical Pacific, the SST in the midlatitudes generally 186 shows a large variability compared to that in the high latitudes and this observed feature is 187 well simulated in the CTR experiment.

Interestingly, in the absence of tropical SST variability (FTP, FTIO, and FTA experiments), the SST variances in the mid-latitudes do not largely change compared to those in the CTR experiment. This suggests that the amplitude of the SST variability in the midlatitudes may not be strongly influenced by the tropical SST variability. Also, in the absence of the SST variability in the tropical Indian and Atlantic Oceans (FTIO and FTA

193 experiments), the SST variability in the tropical Pacific remarkably increases, suggesting that the SST variability in the tropical Indian and Atlantic may act to suppress the ENSO signal in 194 195 the CTR experiment. This change in the tropical Pacific is consistent with some CGCM 196 studies (Dommenget et al. 2006, Santoso et al. 2012) but still in contradiction with other 197 studies (Yu et al. 2002, Wu and Kirtman 2004), which need further investigation in a future 198 study. Although the weak SST variability in the tropical Pacific of the CTR experiment, the 199 SST variability in the tropical Pacific for the FTIO and FTA experiments might be closer to 200 the observed SST variability.

To detect the SST variability associated with the subtropical dipoles, like previous studies (Huang and Shukla 2006, Kataoka et al. 2012, Morioka et al. 2012), we performed Empirical Orthogonal Function (EOF) analysis to all months of the area-weighted SST anomalies in each subtropical-to-midlatitude oceanic basin. Here, we used the domain of 40°E-110°E and 15°S-50°S for the IOSD, 60°W-20°E and 15°S-50°S for the South Atlantic subtropical dipole (SASD), and 150°E-70°W and 25°S-50°S for the South Pacific subtropical dipole (SPSD), respectively.

The spatial patterns of EOF modes for each subtropical dipole are shown in Fig. 2, and their corresponding EOF modes and explained variances are given in Tables 1b and c. All of these EOF modes sufficiently separate from the neighboring EOF modes (North et al. 1982), except for the IOSD in the FTP experiment where the first (20.8%) and second EOF (19.1%) are close to each other. Also, it should be noted that the SST-nudging area in the CGCM experiments extends to 30°S, thus overlaps the northeastern pole of the subtropical dipoles, so the IOSD is not defined in the FTIO experiment, in a similar manner for the SASD and SPSD 215 in the FTA and FTP experiments.

216 In the observation, the IOSD is detected as the second EOF mode, whereas in the CTR 217 experiment, it is captured by the first EOF mode (Table 1b). The observed 218 northeast-southwest dipole of SST anomalies is simulated in the higher latitude, and this may 219 lead to a moderately high pattern correlation at 0.44. It is found that the first EOF mode in 220 the observation shows a zonal dipole of the SST anomalies and is linked with the IOB. This 221 IOB-related mode is also detected as the second EOF mode in the CTR experiment (figure not shown). Because of the difference in the EOF analyses, the explained variance of the IOSD 222 223 in the CTR experiment is 24.5 %, larger than that in the observation, 14.2 % (Table 1c). In 224 the FTP and FTA experiments, the IOSD is identified as the first EOF mode with the 225 explained variances similar to that in the CTR experiment. Also, the spatial patterns of the 226 EOF modes for the IOSD resemble that for the CTR experiment (Fig. 2a). This suggests that 227 the IOSD may exist independent of the SST variability in the tropical Pacific or Atlantic 228 Oceans, which will be further discussed in Section 4.

229 In contrast with the IOSD, the SASD in the observation is detected as the first EOF mode 230 (Table 1b). This mode is also captured in the CTR experiment with a high pattern correlation at 0.75, although the spatial pattern of the EOF mode shows a northeast-southwest oriented 231 232 dipole, while in the observation, it is associated with a north-south oriented dipole (Fig. 2b). 233 Also, the SASD is identified as the first EOF mode in the FTP and FTIO experiments, and the 234 explained variances are not much different among the experiments (Table 1c). However, the 235 spatial pattern of the EOF mode in the FTP experiment slightly deforms in such a way that the 236 amplitude of the southwestern (northeastern) SST anomaly pole becomes weaker (stronger) than that in the CTR experiment. This implies that although the SASD can develop without
the SST variability in the tropical Pacific or Indian Oceans, the SST variability in the tropical
Pacific may have more influences on the SASD.

240 Similarly as in the case of the IOSD, the SPSD in the observation is captured by the 241 second EOF mode, which is successfully simulated in the CTR experiment (Fig. 2c, Table 1b). 242 The pattern correlation is high at 0.76. The SPSD is also captured as the third EOF mode in 243 the FTIO experiment and as the second EOF mode in the FTA experiment. It is found that 244 the first EOF modes in the observation and the CGCM experiments show the SST variability 245 related to ENSO, whereas in the FTIO experiment, the SST variability in the second EOF 246 mode is associated with the El Niño Modoki (Ashok et al. 2007). The spatial patterns and 247 explained variances of the SPSD are almost similar among these experiments (Fig. 2c and 248 Table 1c). This suggests that the SST variability in the tropical Indian or Atlantic Oceans 249 may not directly influence the occurrence of the SPSD.

250 The robustness of the subtropical dipoles among the experiments is further examined 251 with regard to the occurrence frequency. Due to the lack of the reliable observations before 252 1980s in the Southern Hemisphere, in particular, the South Pacific (see Fig. 1 in Morioka et al. 253 2013b), we defined subtropical dipole events as years when the principal component of the 254 EOF modes during austral summer exceeds 0.8 standard deviation. The list of event years 255 defined in the observation is given in Table 2, and the occurrence frequency of the total 256 positive and negative events are summarized in Table 3. It should be noted that to compare 257 the occurrence frequency in the CTR experiment with those in the sensitivity experiments, the 258 standard deviation is estimated for occurrence frequencies of the 50 different sets of 30-yr

259 outputs in the CTR experiment. The observed occurrence frequency of the IOSD is 48.3 %, 260 whereas in the CTR experiment, the IOSD occurs at 50.6 % close to the observation. 261 Interestingly, the occurrence frequencies in the FTP and FTA experiments do not largely 262 differ from that in the CTR experiment, suggesting that the interannual SST variability 263 associated with the IOSD may not be influenced by the tropical SST variability. Similarly, 264 the occurrence frequencies of the SASD and SPSD in the sensitivity experiments do not 265 largely change compared to that in the CTR experiment, although the FTP experiment in the 266 SASD shows a slight increase in the occurrence frequency.

267 Another important characteristic of the subtropical dipoles is a strong seasonal 268 dependence in such a way that the SST anomalies associated with the subtropical dipoles 269 develop during austral summer. Here, we calculated a standard deviation of principal 270 components of the EOF modes for each month (Fig. 3). Note that the standard deviation for 271 the 50 different sets of 30-yr outputs in the CTR experiment is also estimated. The IOSD in 272 the observation develops from late austral spring and reaches its peak during austral summer 273 (Fig. 3a). Although there are slight differences in the peak month of the IOSD, all CGCM 274 experiments reasonably simulate the strong seasonality in austral summer with comparable 275 amplitudes. Also, both the SASD and the SPSD clearly show a strong seasonality in austral 276 summer (Figs. 3b and c), but for the SASD, there exists a large difference in the peak month 277 and amplitude among the observation and the CGCM experiments. It is found that the 278 difference in the SST climatology between the observation and the model simulation is much 279 larger in the South Atlantic than in the other oceanic basins (figure not shown). This may 280 have a link with the large disparity in its standard deviation (Fig. 3b). These results suggest that the seasonal phase-locking nature of the subtropical dipoles may not be largely affectedby the SST variability in the other tropical oceans.

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# **4. Potential sources for the generation of subtropical dipoles**

The above intriguing results about key characteristics of the subtropical dipoles motivate us to further examine the generation of subtropical dipoles with a focus on the variations in the subtropical highs. We conduct a composite analysis and discuss only the case for the positive events, because the physical mechanism and its impact on the rainfall in surrounding countries for the negative events is found to be almost similar but opposite to that for the positive events.

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#### 292 **4-1. Indian Ocean subtropical dipole (IOSD)**

293 Figure 4a shows composite SST anomalies during austral summer of the positive IOSD. 294 Here we used the same criteria for definition of the positive IOSD events as discussed in 295 Section 3, and composited 8, 20, 8, and 6 positive events for the observation, and the CTR, 296 FTP, and FTA experiments, respectively. The SST anomalies in the observation and the CTR 297 experiment show a northeast-southwest oriented dipole in the southern Indian Ocean. In the 298 tropical Pacific, the simulated SST anomalies are associated with a strong La Niña, although 299 they are not significant in the observation. The link with La Niña in the CTR experiment is 300 also seen in the FTA experiment. However, in the FTP experiment, the dipole SST anomalies 301 associated with the IOSD exist without the SST variability in the tropical Pacific. Moreover, 302 the dipole SST anomalies in the FTP experiment resemble those in the CTR experiment, indicating that ENSO may not be necessarily responsible for the occurrence of the IOSD as inthe observation, despite of the overemphasized ENSO in the CTR experiment.

305 Since the dipole SST anomalies during the IOSD are closely linked with the SLP 306 anomalies (Behera and Yamagata 2001), we examine composite SLP anomalies in Fig. 4b. 307 Note that the SLP anomalies are calculated for Nov. (0) - Jan. (1) because of the delayed 308 oceanic response to the atmospheric forcing (Fauchereau et al. 2003). In the reanalysis data, 309 the Mascarene High anomalously strengthens, whereas in the CTR experiment, the 310 strengthening of the Mascarene High occurs in the southern part of its mean state (~30°S) 311 during austral summer of the analysis period, indicating anomalous southward shift of the 312 Mascarene High. In the CTR experiment, the positive SLP anomalies are zonally elongated 313 in the mid-latitudes and are associated with the negative SLP anomalies over Antarctica, 314 suggesting a possible link with the positive AAO. The negative SST anomaly in the tropical 315 Indian Ocean may act to weaken the Hadley Cell and cause the negative SLP anomalies in the 316 subtropical region, but this cannot explain the positive SLP anomalies in the southern Indian 317 Ocean. Although not visible in the reanalysis data, the potential link with the AAO in the 318 CTR experiment is also found in the FTP and FTA experiments, but the zonal elongation of 319 the positive and negative SLP anomalies is much clearer in the FTP experiment.

In order to determine whether the stronger relationship with ENSO and the AAO in the CTR experiment is due to model bias in simulating the variability inside or outside the southern Indian Ocean, the model results have been further projected onto the observed EOF pattern in Fig. 2a, and the resulting time series have been used as an alternative index for the IOSD to compute composites in the model experiments. As expected, the derived SST

anomalies in the CTR experiment compare favorably to the observed ones in the southern Indian Ocean (figure not shown). However, the main differences in the SST and SLP anomalies between the observation and the CTR experiment still remain, especially for the stronger relationship with ENSO and the AAO. This clearly suggests that origins of the biases are probably linked to the overemphasized ENSO and the AAO, not to the fact that the simulated EOF pattern for the IOSD in Fig. 2a is different from the observed one.

331 To further assess the link with the AAO in the model experiments, we defined the AAO by using the geopotential height in the upper troposphere and calculated the correlation 332 333 coefficient between the IOSD and the AAO. The first EOF mode of the geopotential height 334 anomalies at 250 hPa in the reanalysis data and the CGCM experiments are associated with 335 zonal circular positive anomalies in the midlatitudes and the negative anomalies over 336 Antarctica, representing the AAO (Fig. 5). The variance explained by the first EOF mode in 337 the CTR experiment (14.0 %) is very close to that in the reanalysis data (15.0 %). The 338 correlation coefficient between the time series of the principal component of the 339 corresponding EOF mode for the AAO during Nov.-Jan. and that for the IOSD during 340 Dec.-Feb. is found to be significantly large at 0.45 in the CTR experiment, although not 341 significant in the reanalysis data (Table 4). As expected, both the FTP and FTA experiments 342 show a significantly high correlation with the AAO, and in particular, the FTP experiment 343 shows higher correlation (0.72) than that in the CTR experiment. The comparison of the CTR 344 and FTP experiments implies that, without the SST variability in the tropical Pacific, the 345 AAO may play more important role in inducing the IOSD (Hermes and Reason 2005, 346 Morioka et al. 2013a).

To investigate a physical link with the AAO in the model experiments, we calculated 347 348 composite anomalies of geopotential height at 250 hPa and wave activity flux during 349 Nov.(0)-Jan.(1) (Fig. 6a). Positive geopotential height anomalies in the southern Indian 350 Ocean are located above the positive SLP anomalies in the reanalysis data and the CTR 351 experiment, representing an equivalent barotropic structure in the troposphere. In the CTR 352 experiment, the positive anomalies are zonally elongated in the midlatitudes and associated 353 with a propagation of stationary Rossby waves from the negative anomalies over Antarctica, 354 suggesting the physical connection with the AAO. A similar feature is also found in the FTP 355 and FTA experiments.

356 To reveal potential sources of the stationary Rossby waves, we analyzed composite 357 anomalies of the velocity potential and divergent winds at 250 hPa and the rainfall during 358 Nov.(0)-Jan.(1) in Figs. 6b, and 7. Both the reanalysis data and the CTR experiment show an 359 anomalous wind divergence west of the Antarctic Peninsula, but there is a large disparity in 360 the western tropical Pacific. In the CTR experiment, anomalous divergence occurs in 361 association with La Niña when the seasonal rainfall enhances in the western tropical Pacific 362 (Fig. 7). The associated diabatic heating acts to generate the Rossby waves propagating along 363 the great circle, generating the Pacific-South American (PSA; Mo and Paegle 2001) like 364 teleconnection pattern in the South Pacific. The anomalous rainfall increase is also found 365 over adjacent countries in the southern Indian Ocean, in particular, southern Africa in the 366 CTR experiment, although not significant in the observation. This may be due to the 367 anomalous moisture supply from the southern Indian Ocean linked with the westward 368 extension of the anomalous Mascarene High (Fig. 4b). On the other hand, the rainfall 369 increase in Australia may be more related to La Niña in the tropical Pacific.

370 A similar feature of the wind divergence anomalies can be seen in the FTA experiment 371 associated with the increased rainfall in the western tropical Pacific (Fig. 7). However, in the 372 FTP experiment, the spatial pattern of the wind divergence anomalies resembles that in the 373 reanalysis data (Fig. 6b), except that the anomalous divergence occurs in the tropical Indian 374 Ocean in association with the enhanced rainfall in the region (Fig. 7). A comparison of the 375 reanalysis and the FTP experiment suggests that without the SST variability in the tropical Pacific and associated interferences, the anomalous wind divergences in the upper 376 377 troposphere of mid-high latitudes may excite the stationary Rossby waves and induce the 378 AAO-related positive SLP anomalies in the southern Indian Ocean.

379

#### **4-2. South Atlantic subtropical dipole (SASD)**

381 The physical mechanism for the SASD is found to be almost similar to that for the IOSD. 382 Similarly as in the IOSD, we conducted the composite analysis and used 6, 21, 9, and 7 383 positive events for the observation, and the CTR, FTP, and FTIO experiments, respectively. 384 Composite SST anomalies in the observation and the CTR experiment show a 385 northeast-southwest oriented dipole in the South Atlantic (Fig. 8a). These are associated with 386 the negative SST anomalies in the central tropical Pacific related to La Niña. On the other 387 hand, in the FTP experiment, the dipole SST anomaly pattern slightly deforms in such a way 388 that the northeastern pole of the negative SST anomaly extends to the southwest of South 389 Africa. This is expected from the spatial pattern of the corresponding EOF mode in Fig. 2b. 390 Also, in the FTP and FTIO experiments, the SST anomalies in the tropical Pacific show no 391 significant signal, implying that ENSO may not be a necessary condition for generating the392 SASD.

393 Similarly as in the IOSD, St. Helena High in the reanalysis data and the CTR experiment 394 anomalously strengthens in its southern part of the mean state (~30°S) during austral summer 395 of the analysis period, indicating anomalous southward shift of St. Helena High (Fig. 8b). 396 The positive SLP anomalies do not appear to be directly linked with the SST variability in the 397 tropical Atlantic, because the negative SST anomalies in the region tend to weaken the 398 Hadley Cell and cause the negative SLP anomalies in the subtropical region. Rather, they are 399 associated with the negative (positive) SLP anomalies in the western (eastern) tropical Pacific 400 related to La Niña. Also, over Antarctica, the negative SLP anomalies dominate, indicating a 401 possible link with the positive AAO. On the other hand, the link with the positive AAO is not 402 visible in the FTP and FTIO experiments. In fact, the correlation coefficients between the 403 AAO and the SASD in the reanalysis data and the CTR experiment are significantly high, but 404 those in the FTP and FTIO experiment are not significant (Table 4). This implies that in both 405 FTP and FTIO experiments, there may exist some internal atmospheric processes responsible 406 for generating the positive SLP anomalies in the South Atlantic.

To reveal the physical mechanism on the positive SLP anomalies during the positive SASD, composite anomalies of the geopotential height and wave activity flux at 250 hPa are shown in Fig. 9a. In the reanalysis data, the positive geopotential height anomalies in the South Atlantic are associated with a clear propagation of stationary Rossby waves from the positive anomalies in the South Pacific through the negative anomalies west of the Antarctic Peninsula. A similar propagation of the Rossby waves is found in the CTR experiment.

413 However, in the FTP experiment, the positive anomalies in the South Atlantic are associated 414 with a propagation of the Rossby waves from the positive anomalies west of Antarctic 415 Peninsula through the negative anomalies over the southern South America. Also, in the 416 FTIO experiment, the positive anomalies in the South Atlantic are associated with the 417 negative anomalies west of Antarctic Peninsula. These suggest that the atmospheric 418 variability west of Antarctic Peninsula may have influence on the positive anomalies in the 419 South Atlantic through the Rossby wave propagation, although no significant link with the 420 AAO is found in the FTP and FTIO experiments.

421 For potential sources of the stationary Rossby waves, composite anomalies of the 422 velocity potential and divergent winds at 250 hPa in the reanalysis data and the CTR 423 experiment show anomalous wind divergence near the Maritime Continent and New Zealand 424 as well as the Antarctic Peninsula (Fig. 9b). In particular, the anomalous wind divergences 425 over the Maritime Continent are related to the enhanced rainfall associated with La Niña (Fig. 426 The significant rainfall increase is also found over southeast Brazil both in the 10). 427 observation and the CTR experiment, which may be partly related to the strengthening of the 428 St. Helena High supplying more moisture from the South Atlantic (Fig. 8b). Although the 429 spatial patterns of the wind divergence anomalies in the FTP and FTIO experiments resemble 430 that in the CTR experiment, there is a clear difference in the wind divergence anomalies in the 431 midlatitudes. Therefore, in the absence of the SST variability in the tropical Pacific or Indian 432 Oceans, the anomalous wind divergences in the midlatitudes may act to generate the 433 stationary Rossby waves, hence the positive SLP anomalies in the South Atlantic.

434 Finally, a strong coherence between the SASD and the IOSD is found in the analyzed

435 results. This intriguing aspect was discussed by Hermes and Reason (2005), suggesting that 436 they are highly correlated under the large-scale atmospheric forcing related to the AAO. In 437 the reanalysis data and the CTR experiment (Figs. 8b and 9a), the stationary Rossby waves 438 clearly propagate from the positive SLP anomalies in the South Atlantic through the negative 439 SLP anomalies over Antarctica to the positive SLP anomalies in the southern Indian Ocean. 440 This suggests that the atmospheric Rossby waves play an important role in physically 441 connecting the SLP anomalies, hence the subtropical dipoles in the two oceans. However, 442 some exceptions are found when some of the IOSDs occur independent of the SASDs and 443 some of the positive SASDs occur in association with the negative IOSDs and vice versa. In 444 these cases, the atmospheric signal related to the AAO is absent and less prominent than the 445 above coherent cases (Hermes and Reason 2005). This may be related to the non-linear 446 behavior of the mid-high latitude atmosphere.

447

## 448 **4-3. South Pacific subtropical dipole (SPSD)**

449 The physical mechanism on the generation of the SPSD is found not to largely differ 450 from the IOSD and the SASD. Similarly, we performed composite analysis to 7, 18, 9, and 7 positive events for the observation, and the CTR, FTIO, and FTA experiments, respectively. 451 452 The positive SPSDs in the observation and the CTR experiment show slightly east-west 453 oriented dipole of positive and negative SST anomalies in the central South Pacific (Fig. 11a). 454 These are associated with the negative SST anomalies southeast of Australia and the positive 455 SST anomalies west of South America. Interestingly, both the observation and the CTR 456 experiment show an association with La Niña in the tropical Pacific. The similar dipole SST anomaly is found in the FTIO and FTA experiments, but in the FTA experiment, the SST
anomaly in the tropical Pacific is associated with El Niño in the central tropical Pacific. This
implies that a phase of ENSO may have nothing to do with the occurrence of the SPSD.

460 Composite SLP anomalies in the reanalysis data and the CTR experiment (Fig. 11b) show 461 a wave train of positive and negative SLP anomalies in the central South Pacific, as discussed 462 in Morioka et al. (2013b). The wave train of the SLP anomalies does not seem to be directly 463 linked with the negative SST anomaly in the tropical Pacific, because it acts to cause 464 weakening of the Hadley Cell and hence the negative SLP anomalies in the subtropical region. 465 Rather, associated with the La Niña condition, both the reanalysis and the CTR experiment 466 show positive (negative) SLP anomalies in the eastern (western) tropical Pacific. On the 467 other hand, in the FTIO and FTA experiments, the wave train of the SLP anomalies is 468 associated with the negative SLP anomalies in the midlatitudes and the positive SLP 469 anomalies over Antarctica, indicating a possible link with the negative AAO. Although the 470 correlation coefficients between the SPSD and the AAO are not significant in the reanalysis 471 data and the CTR experiment, they are significantly negative in the FTIO and FTA 472 experiments.

In the upper troposphere, both the reanalysis data and the CTR experiment clearly show a wave train of positive and negative geopotential height anomalies in the South Pacific (Fig. 12a). They are associated with a propagation of stationary Rossby waves from negative anomalies southeast of Australia, which are partly related to the wave propagation from the negative anomalies in the southern Indian Ocean through the positive anomalies over Antarctica. A similar wave propagation is found in the FTA and FTIO experiments, but the

Rossby waves propagate between the negative anomalies in the midlatitudes and the positiveanomalies over Antarctica, indicating a strong connection with the negative AAO.

481 One of the potential sources of the stationary Rossby waves in the reanalysis data and the 482 CTR experiment may be the anomalous wind divergence in the western tropical Pacific (Fig. 483 12b). This wind divergence anomaly, although not significant, is related to the enhanced 484 rainfall over the Maritime Continent associated with La Niña (Fig. 13). Another possible 485 source may be the anomalous wind divergence in the southern Indian Ocean for the reanalysis 486 data, as discussed by Morioka et al. (2013b). On the other hand, in the FTIO experiment, 487 anomalous wind divergences significantly occur southwest of Australia as well as in the 488 tropical Indian Ocean, which are related to the anomalous rainfall increase in the southern 489 tropical Indian Ocean (Fig. 13). Since the SST variability is suppressed in the tropical Indian 490 Ocean, the enhanced rainfall may be due to an internal atmospheric variability in the tropical 491 basin. Also, in the FTA experiment, the wind divergence anomaly is found in the central 492 tropical Pacific related to El Niño and also south of South Africa (Fig. 12b). These results 493 suggest that even without the SST variability in the tropical Indian or Atlantic Oceans, 494 anomalous wind divergences in the midlatitudes may act to induce the stationary Rossby 495 waves, hence generate the wave train of the positive and negative SLP anomalies in the South 496 Pacific.

497

#### 498 **5. Summary and discussion**

499 The role of tropical SST variability in the generation of subtropical dipoles is 500 investigated by conducting a series of CGCM experiments in the tropical oceans and the

501 results for each subtropical dipole are summarized in the schematic diagram (Fig. 14). The 502 CGCM reasonably reproduces the northeast-southwest oriented dipole of positive and 503 negative SST anomalies associated with the subtropical dipole in each oceanic basin, although 504 there exist some discrepancies for the IOSD due to the overemphasized ENSO and the AAO 505 in the model. In the experiments where the SST variability in each tropical basin is 506 suppressed by nudging the simulated SST to the observed climatology, the subtropical dipoles 507 in each oceanic basin are found to develop in association with the variations in the subtropical 508 highs. Interestingly, the occurrence frequencies of subtropical dipoles as well as their strong 509 seasonality in austral summer do not largely change in most cases of the CGCM experiments. 510 Composite analysis reveals that in the absence of the tropical SST variability, the IOSD and 511 the SPSD are associated with the AAO, whereas the SASD is associated with a wave train of 512 SLP anomalies in the midlatitudes. It is found that the Rossby waves generated in the 513 midlatitudes play an important role in inducing the SLP anomalies, hence generating the 514 subtropical dipoles. The results for the IOSD are consistent with the previous CGCM study 515 by Morioka et al. (2013a), although the link with the AAO is not significant in the composite 516 fields of reanalysis data (Table 4) and our model has a tendency to simulate the IOSD in 517 association with the AAO.

The most intriguing result in this study is that, when the tropical SST variability is suppressed, the AAO plays an important role in the atmospheric variability of the midlatitudes, and is able to induce the SST variability associated with the subtropical dipoles. The extratropical SST response to the AAO and/or ENSO has been widely discussed in the previous literature (Sen Gupta and England 2006, Ciasto and Thompson 2008, Ciasto and

England 2011), but few studies paid attention to the SST variability associated with 523 524 subtropical dipoles and examined the relative contribution from the AAO and the tropical 525 SST variability to the generation of subtropical dipoles. Our CGCM results suggest that the 526 tropical SST variability acts to suppress or counteract the AAO activity inherently existing in 527 mid-high latitudes. This tendency is clearly seen in the standard deviation of the geopotential 528 height anomalies at 250 hPa during Nov.-Jan. (Fig. 15a). Both the reanalysis data and the 529 CTR experiment show large interannual variations in the mid-high latitudes, which are 530 closely linked with the AAO. Interestingly, the standard deviation over the Antarctica in the 531 FTP and FTA experiments becomes larger than that in the CTR experiment. However, in the 532 FTIO experiment, the amplitude of the standard deviation does not largely change compared 533 to the CTR experiment.

534 Since the atmospheric variability in the upper troposphere of the mid-high latitudes is 535 also influenced by the atmospheric teleconnection through the rainfall variability induced by 536 the SST variability in the tropical oceans (Cai et al. 2011, Ding et al. 2012), we calculated the 537 standard deviation of the rainfall anomalies in the same season (Fig. 15b). Both the 538 observation and CTR experiment show large rainfall variability in the western tropical Pacific 539 and to a lesser extent in the tropical Indian Ocean. The rainfall variability in these regions is 540 suppressed in the FTP and FTA experiments, but does not largely change in the FTIO 541 This implies that the atmospheric teleconnection from the western tropical experiment. 542 Pacific and the tropical Indian Oceans becomes weaker in the FTP and FTA experiments, and 543 the AAO becomes able to play a major role in the SLP variations of the mid-high latitudes. 544 The difference in the rainfall variability in the experiments may be due to the basin interactions through the change in the walker circulation related to that in the SST variability(Saravanan and Chang 2000), but this is beyond the scope of this study.

547 Finally, this study provides much implication for both simulation and prediction of 548 subtropical dipoles. To realistically simulate and accurately predict the subtropical dipoles, it 549 is necessary to represent the AAO signal in the model at least in one season prior to the 550 occurrence of the subtropical dipoles. A previous study by Yuan et al. (2013) suggests that it 551 is difficult to predict the subtropical dipoles that are not associated with ENSO. The AAO, 552 itself, is the internal atmospheric variability sustained by the eddy-mean interaction and exists 553 even without the SST variability (Yamazaki and Shinya 1999, Limpasuvan and Hartmann 554 1999). However, some studies claim an important role of ocean-to-atmosphere feedback in 555 the AAO (Sen Gupta and England 2007), which is worthwhile to examine in the further 556 CGCM study. In addition, there are external factors such as ozone influencing the AAO 557 activity (Sexton 2001), which are not taken into account in the present study. For the realistic 558 simulation of the AAO and hence the subtropical dipoles, it is necessary to reproduce at least 559 both the oceanic and atmospheric mean states in the mid-high latitudes such as the SST, 560 sea-ice, and westerly jet. In this regard, many efforts are required for realistic simulation and 561 accurate prediction of the AAO to represent the climate variability in the midlatitudes of the 562 Southern Hemisphere.

563

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750 Tables

**Table 1:** (a) Details of CGCM experiments performed in this study. (b) EOF modes of SST
anomalies in each subtropical-to-midlatitude oceanic basin to define the IOSD, SASD, and
SPSD for the observation (OISST) and CGCM (CTR, FTP, FTIO, and FTA) experiments. (c)
Explained variances (in %) for the corresponding EOF mode in (b).

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	SST nudging area	Analysis period
CTR	None	80 yr
FTP	Tropical Pacific (30°S-30°	N) 30 yr
FTIO	Tropical Indian (30°S-30°ľ	N) 30 yr
FTA	Tropical Atlantic (30°S-30	°N) 30 yr

# (a) CGCM experiments

# (b) EOF mode

	OISST	CTR	FTP	FTIO	FTA
IOSD	2	1	1		1
SASD	1	1	1	1	
SPSD	2	2		3	2

(c) Explained variance					%	
	OISST CTR FTP FTIO					
IOSD	14.2	24.5	20.8		25.8	
SASD	20.6	19.0	23.1	21.5		
SPSD	13.2	11.8		11.1	12.3	

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**Table 2:** Observed event years for the IOSD, SASD, and SPSD. Pos (Neg) corresponds to

758 positive (negative) events.

Event	years

	IOSD				
Pos	1986, 1987, 1992, 1998, 2003, 2005, 2006, 2010				
Neg	1982, 1989, 1991, 1995, 1999, 2002				
	SASD				
Pos	1989, 1996, 1999, 2001, 2008, 2010				
Neg	1982, 1987, 1997, 2000, 2002, 2009				
	SPSD				
Pos	1983, 1984, 1987, 2001, 2003, 2005, 2008				
Neg	1986, 1990, 1994, 1997, 2009, 2010				

762 **Table 3:** Occurrence frequency (in %) of the IOSD, SASD, and SPSD for the observation 763 (OISST) and CGCM (CTR, FTP, FTIO, and FTA) experiments. Both the positive and 764 negative events are counted together. The values in the parenthesis of the CTR experiment 765 indicate one standard deviation calculated from 50 different sets of 30-yr outputs.

Occurrence frequency					
	OISS	Г CTR	FTIO	FTA	
IOSD	48.3	50.6 (±5.8)	48.3		51.7
SASD	41.4	50.6 (±6.2)	58.6	48.3	
SPSD	44.8	49.4 (±10.3)		58.6	55.2

**Table 4:** Correlation coefficients among the IOSD, SASD, and SPSD indices during Dec.-Feb. and the AAO index during Nov.-Jan. for the NCEP Reanalysis-2 (NCEP2) data and CGCM (CTR, FTP, FTIO, and FTA) experiments. The asterisk indicates a correlation coefficient exceeding 90 % (95 %) confidence level by the two-tailed t-test for the NCEP2 and FTP, FTIO, and FTA experiments (CTR experiment).

	NCEP2	CTR	FTP	FTIO	FTA
IOSD	0.16	0.45*	0.72*		0.54*
SASD	0.67*	0.39*	-0.28	-0.17	
SPSD	0.22	-0.22		-0.42*	-0.60*

Correlation with AAO

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### 776 Figure captions

777 Figure 1: Standard deviation (in °C) of SST anomalies during austral summer for (a) the

- observation (OISST) and (b) the CGCM CTR experiment. (c-e) As in (b), but for the FTP,
- 779 FTIO, and FTA experiments, respectively.
- 780 Figure 2: (a) Spatial patterns (in °C) of the EOF modes for the IOSD defined in Table 1b.
- 781 (b-c) As in (a), but for the SASD and SPSD, respectively. Positive values are shaded.
- 782 Figure 3: (a) Monthly standard deviation of the principal component of the corresponding
- EOF modes for the IOSD defined in Table 1b. The red shade in the CTR experiment indicates
- 784 one standard deviation calculated from 50 different sets of 30-yr outputs. (b-c) As in (a), but
- 785 for the SASD and SPSD, respectively.
- 786 Figure 4: (a) Composite anomalies of SST (in °C) during austral summer of the positive
- 787 IOSD for the observation (OISST) and CGCM (CTR, FTP, and FTA) experiments. (b) As in
- 788 (a), but for the SLP (in hPa) during Nov.(0)-Jan.(1). For comparison, NCEP Reanalysis-2
- 789 (NCEP2) are shown. Anomalies exceeding the 90% (95%) confidence level by two-tailed
- t-test are shown for the observation, FTP, and FTA experiments (CTR experiment).
- Figure 5: Spatial patterns of the first EOF mode of the geopotential height anomalies at 250
  hPa (contour interval is 10 m). The NCEP Reanalysis-2 (NCEP2), the CGCM (CTR, FTP,
  FTIO, and FTA) experiments are shown, respectively. The positive values are shaded.
  Values on the top of the panel indicate the explained variance.
- **Figure 6:** (a) As in Fig. 4b, but for the geopotential height at 250 hPa (color, in m) and wave
- 796 activity flux (arrow, in  $m^2 s^{-2}$ ). (b) As in (a), but for the velocity potential at 250 hPa (color, in
- $10^6 \text{ m}^2 \text{ s}^{-1}$ ) and divergent wind (arrow, in m s<sup>-1</sup>).

- **Figure 7:** As in Fig. 4b, but for the rainfall (color, in mm month<sup>-1</sup>).
- **Figure 8:** As in Fig. 4, but for the positive SASD. The FTP and FTIO experiments are shown.
- **Figure 9:** As in Fig. 6, but for the positive SASD. The FTP and FTIO experiments are shown.
- 801 Figure 10: As in Fig. 7, but for the positive SASD. The FTP and FTIO experiments are 802 shown.
- Figure 11: As in Fig. 4, but for the positive SPSD. The FTIO and FTA experiments areshown.
- Figure 12: As in Fig. 6, but for the positive SPSD. The FTIO and FTA experiments areshown.
- Figure 13: As in Fig. 7, but for the positive SPSD. The FTIO and FTA experiments areshown.
- **Figure 14:** Schematic diagram illustrating the generation mechanism of the IOSD, SASD, and SPSD derived from the reanalysis data and the CTR experiment. The warm (cold) color indicates the positive (negative) SST anomalies and the black shade indicates the anomalous wind divergence in the upper troposphere as possible sources of the Rossby waves. The dashed line shows the propagation pathway of the anomalous high (H) and low (L) pressure in the upper troposphere.
- Figure 15: As in Fig. 1, but for (a) geopotential height at 250 hPa (in m) during Nov.-Jan.. (b)
  As in (a), but for the precipitation (in mm month<sup>-1</sup>).
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# 819 Figures



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821 Figure 1: Standard deviation (in °C) of SST anomalies during austral summer for (a) the

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Values on the top of the panel indicate the explained variance.



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Figure 11: As in Fig. 4, but for the positive SPSD. The FTIO and FTA experiments areshown.



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