

1 **Multi-model assessment of the impact of soil moisture initialization on mid-latitude**
2 **summer predictability**

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16
17 **Abstract:**

18 Land surface initial conditions have been recognized as a potential source of predictability in
19 sub-seasonal to seasonal forecast systems, at least for near-surface air temperature prediction
20 over the mid-latitude continents. Yet, few studies have systematically explored such an influence
21 over a sufficient hindcast period and in a multi-model framework to produce a robust
22 quantitative assessment. Here, a dedicated set of twin experiments has been carried out with
23 boreal summer retrospective forecasts over the 1992-2010 period performed by five different
24 global coupled ocean-atmosphere models. The impact of a realistic versus climatological soil
25 moisture initialization is assessed in two regions with high potential previously identified as
26 hotspots of land-atmosphere coupling, namely the North American Great Plains and South-
27 Eastern Europe. Over the latter region, temperature predictions show a significant improvement,
28 especially over the Balkans. Forecast systems better simulate the warmest summers if they
29 follow pronounced dry initial anomalies. It is hypothesized that models manage to capture a
30 positive feedback between high temperature and low soil moisture content prone to dominate
31 over other processes during the warmest summers in this region. Over the Great Plains,
32 however, improving the soil moisture initialization does not lead to any robust gain of forecast
33 quality for near-surface temperature. It is suggested that models biases prevent the forecast
34 systems from making the most of the improved initial conditions.

35
36 **Keywords:**

37 Land-surface initialization;seasonal forecasting;land-atmosphere coupling;multi-
38 model;ensemble forecast

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46 1 Introduction

47

48 Human activities are affected by climate-dependent factors, such as energy demand, crop yield
49 or disease risk management. This raises a growing demand for reliable and accurate sub-
50 seasonal to seasonal forecasts of temperature and precipitation (Challinor et al. 2005, García-
51 Morales et al. 2007, Thompson et al. 2006). Atmospheric predictability on these timescales is
52 mainly driven by the coupling between the atmosphere and slowly-evolving components of the
53 Earth system, such as the ocean, sea ice and land surfaces (Doblas-Reyes et al. 2013). Even if
54 tropical oceans provide the major source of global interannual variability through sea surface
55 temperature anomalies related to the El Niño Southern Oscillation (ENSO) phenomenon (Saha
56 et al. 2006, Stockdale et al. 2011), both observational and numerical studies have highlighted
57 the significant imprint of the continental surfaces on the climate system and their potential or
58 effective contribution to mid-latitude sub-seasonal to seasonal predictability, particularly for near-
59 surface temperature (T2M) and precipitation. Among these components, snowpack (Dutra et al.
60 2011) and soil moisture anomalies (Seneviratne et al. 2010; Seneviratne et al. 2013) have been
61 the most investigated since they strongly affect the land surface energy budget and, hence, the
62 energy fluxes between the surface and the atmospheric boundary layer (Hirschi et al. 2011).
63 Land surface models (LSM), which have improved steadily in the past three decades, together
64 with increasing computational resources have allowed for more thorough studies and a better
65 understanding of the soil moisture and snow influence on the atmosphere at multiple spatio-
66 temporal scales (Douville, 2010). A realistic snowpack initialization has been shown to be useful
67 both in boreal fall (e.g. Orsolini et al. 2013) and spring (e.g. Peings et al. 2011), when the
68 interannual variability of the Northern Hemisphere snow cover is relatively strong and has a
69 large impact on the surface energy budget given the available incoming solar radiation even at
70 high latitudes.

71

72 For summer predictions, the focus was mainly on soil moisture and its influence on near-surface
73 temperature and precipitation mainly via evapotranspiration. It has been demonstrated that soil
74 moisture content controls the evapotranspiration in regions with a semi-arid climate (“soil
75 moisture-limited regime”). In wet regions, the evapotranspiration rate mainly depends on
76 atmospheric control and not on soil water content (“energy-limited regime”). In the former, the
77 evaporative fraction modulated by soil moisture affects both the local water cycle (Dirmeyer
78 2006) and the surface energy balance, and hence temperature and precipitation (Dirmeyer et al.
79 2014, Koster et al. 2004b, Seneviratne et al. 2010). Additionally, soil moisture memory has
80 proven to last up to several months in some cases (Seneviratne et al. 2006, Orth and
81 Seneviratne, 2012, Hagemann and Stacke, 2015). Due to these characteristics, extreme warm
82 events can be triggered or at least amplified by dry soil initial conditions in terms of magnitude
83 (Fischer et al. 2007, Hirschi et al. 2011, Whan et al. 2015) and persistence (Lyon and Dole,
84 1995, Lorenz et al. 2010).

85

86 Previous studies have highlighted a number of “hotspots” where seasonal prediction skill can be
87 increased by realistic soil moisture initialization since they combine intense land-atmosphere
88 coupling processes with strong soil moisture persistence (Koster et al. 2004, Seneviratne et al.
89 2006, Dirmeyer et al. 2011). The North-American Great Plains and the region between the
90 Danube basin and the Mediterranean are often identified as belonging to these hotspots. Our
91 study will focus mainly on these two regions, namely the Southern Great Plains (SGP) and the
92 Balkan region (BKS). BKS and SGP boundaries are defined in Table 1 and highlighted by green

93 boxes in Figure 2. The second phase of the Global Land-Atmosphere Coupling Experiment
94 (GLACE-2, Koster et al. 2011), which consisted in a multi-model forecast quality assessment,
95 showed that a realistic soil moisture initialization provides significantly improved skill for air
96 temperature forecast up to two months ahead over the North American continent. More recent
97 studies confirmed this positive impact up to seasonal timescales (Materia et al. 2014,
98 Prodhomme et al. 2015). Prodhomme et al. (2015) described the benefits of soil initialization for
99 the quality of temperature predictions over large parts of Eastern Europe up to four month
100 forecast time. They could only achieve a successful hindcast of the summer of 2010 extreme
101 heat over western Russia with a realistic soil moisture initialization.

102
103 This study aims at exploring to what extent previous results are robust across a variety of
104 forecast systems. Its originality lies in being the first multi-model assessment of soil moisture
105 initialization impact on atmospheric predictability on seasonal timescales with ocean-
106 atmosphere coupled models over a nearly two-decade period. We use a highly comprehensive
107 database of seasonal prediction experiments produced within the framework of the European
108 FP7 SPECS (Seasonal-to-decadal climate Prediction for the improvement of European Climate
109 Services) project and covering the 1992 to 2010 period. The following section describes the
110 forecast systems and datasets used to perform the experiments and to assess their output.
111 Section 3 focuses on the model systematic errors and on the predictive skill related to soil
112 moisture initialization. Section 4 explains how the models respond to the soil moisture
113 initialization over the two regions of interest (BKS and SGP) and precedes the discussion and
114 conclusions to this study in section 5.

116 **2 Experimental design and methodology**

118 **2.1 Overview of the experiments**

119
120 Five forecast systems (Table 2) have been used to perform twin sets of boreal summer season
121 hindcasts over the 1992-2010 period. These simulations start at the beginning of May and span
122 4 months, including the June-August trimester (JJA).

123
124 For each system, the twin experiments consist of one control and one sensitivity experiment
125 differing only by their land-surface initialization. The former is initialized with climatological
126 surface fields while the latter is performed with initial conditions closer to observed interannual
127 variations in soil moisture (hereafter ‘realistic’ initialization). The different strategies adopted to
128 derive these initial conditions are detailed in the following subsection. All the experiments
129 consist of 10-member ensemble simulations. The methods applied for the generation of the
130 ensembles as well as the experimental design are summarized in Table 2.

131
132 The five twin experiments allow the comparison of two fifty-member grand ensembles. They are
133 named ALL-CLIM and ALL-INIT hereafter. We refer similarly to CLIM and INIT experiments
134 when discussing individual forecast system results. The multi model approach diminishes the
135 impact of individual model errors and thus leads to more reliable seasonal predictions (Palmer
136 et al. 2004, Hagedorn et al. 2005).

137 2.2 Land-surface initial conditions

138 Different methods were used to generate the so-called 'realistic' initial conditions of soil moisture
139 used in the ALL-INIT ensemble:

140 - Atmosphere-Ocean General Circulation Model (AOGCM)
141 simulation relaxed towards reanalyses:

142 For MPI-ESM, divergence, vorticity, temperature and surface pressure were assimilated into the
143 atmospheric component (ECHAM6) and temperature, salinity and sea-ice concentration into the
144 ocean component (MPIOM). For data assimilation, ERA-Interim (hereafter ERAI, Dee et al.
145 2011) is used for the atmosphere, ORAS4 for the ocean and NSIDC/Bootstrap for sea ice. No
146 assimilation was performed in the LSM (JSBACH).

147 - Standalone LSM simulation forced by atmospheric reanalysis

148 This method was applied for the LSM component (JULES) of HADGEM3 applying WFDEI
149 atmospheric forcing.

150 - Land surface reanalysis dataset

151 The last three models used the pre-existing daily dataset of land surface pseudo-reanalysis
152 ERA-Interim/Land (hereafter ERA-Land, Balsamo et al. 2013). It results from a stand-alone run
153 of the HTESSEL LSM, forced by ERA-Interim atmospheric fields and bias-corrected
154 precipitation using the GPCP monthly climatology (Huffman et al. 2009) for precipitation.

155 The two AOGCMs using the HTESSEL land component (namely EC-Earth and ECMWF System
156 4) were initialized with May the 1st ERA-Land reanalyses, horizontally interpolated over the
157 model grid. For CNRM-CM5, ERA-Land data was additionally interpolated onto the SURFEX
158 vertical soil layers (which differ from the ERA-Land vertical distribution), while preserving the soil
159 wetness index for each soil layer (Boisserie et al. 2015).

160
161 These initial conditions were computed for the 1st of May start dates of each of the nineteen
162 years of the seasonal re-forecast experiments, e.g. 1992 through 2010. The land-surface initial
163 conditions for each of the five CLIM ensembles are obtained by averaging the initial conditions
164 for the 1st of May from the corresponding INIT initial conditions.

165
166 Snow initial conditions are also considered realistic with the described techniques to generate
167 INIT initial conditions. However, different choices have been made for CLIM : snow fields were
168 averaged for BSC-CLIM and MF-CLIM, similarly to soil moisture, while their yearly variability
169 was preserved in the other three CLIM simulations. This experimental set-up inhomogeneity
170 might affect the conclusions since significant snow-atmosphere coupling occurs during and after
171 snowmelt over snow transition zones of the Northern hemisphere (Xu and Dirmeyer, 2011).
172 However, this impact is considered limited in our regions of interest where the influence of snow
173 in boreal summer is lower than in other seasons.

174 2.3 Reference data and forecast quality assessment

175 The monthly-mean precipitation observations used are the Global Precipitation Climatology
176 Center (GPCC) (Schneider et al. 2008) gridded gauge analysis products, available at a 1°
177 resolution, while monthly mean T2M reference data are provided by the CRU TS v.3.23 analysis
178 (Harris et al. 2010). The ERA-Interim (Dee et al. 2011) dataset is used for daily averaged two-
179 meter temperature as well as daily-mean precipitation and daily maximum and minimum
180 temperature (Tmax and Tmin, respectively) references as no other global daily precipitation or
181 temperature data spans the full hindcast period. Both observational and model outputs were re-

182 gridded onto a T85 Gaussian grid and only land surface grid points are considered for score
183 computations.

184
185 The bias is computed as the mean difference between the model and the observed
186 climatologies. We assume that the individual model drift does not depend on the start dates,
187 meaning that no distinction between the different hindcast years is required to compute the
188 model climatologies. Removing the bias is equivalent to considering observed and re-forecast
189 anomalies relative to their respective climatologies. Thus, the skill of the simulation is evaluated
190 by means of the correlation coefficient (r) between the predicted and the observed anomalies of
191 a given variable. The difference r_{INIT} minus r_{CLIM} is computed at every grid point and then
192 mapped to highlight regions impacted by the land-surface initialization.

193
194 A confidence interval for correlations is provided by a 2-sided 95% confidence level t-test. The
195 assessment of correlation differences between the CLIM and INIT simulations must take into
196 account the degree of dependence between the two experiments as both are run over the same
197 time period. To that end, the Hotelling-Williams t-test is computed (Steiger, 1980).

198 In addition to correlation, the comparison of the root mean square error (RMSE) of each
199 experiment through the root mean square skill score (RMSSS) helps in assessing how the soil
200 moisture initialization affects the interannual departure from observations. The RMSSS, contrary
201 to the RMSE, is positively-oriented so that a negative (positive) score means the INIT ensemble
202 has lower (higher) skill than the CLIM ensemble.

203
204 $\text{RMSSS} = 1 - \text{RMSE}(\text{INIT}) / \text{RMSE}(\text{CLIM})$

205
206 The RMSSS is considered to be significantly different from 0 if RMSE(INIT) is not included into
207 the confidence interval of RMSE(CLIM) computed through a 95% confidence level chi2 test.

208 **3 Results**

209 **3.1 Bias analysis**

210
211 A preliminary analysis of the surface bias can provide insight on both individual and multi-model
212 climatological limitations, as well as an overview of the ensemble consistency. Biases are
213 estimated as the forecast-time dependent difference (temperature) or ratio (precipitation)
214 between ensemble mean and reference data. The bias analysis can also contribute to
215 understanding model differences in forecast skill.

216
217 This analysis reveals almost indistinguishable differences in pattern and amplitude between the
218 CLIM (Fig. S1) and INIT (Fig. 1) experiments for both T2M and precipitation fields. As expected,
219 soil initialization used in these experiments does not alter the model climate in the seasonal re-
220 forecasts.

221
222 JJA precipitation and temperature biases from individual models show relatively inconsistent
223 patterns over Eurasia (Fig. 1). Over Eastern Siberia, the five models overestimate the amount of
224 rainfall, although the very limited number of rain gauges available in that region (Fig. S2b)
225 suggests that reference data may have a substantial level of uncertainty. Biases partly cancel
226 out in the multi-model over Central Europe, but a notable dry and warm bias over the Steppes

227 east of the Caspian Sea, and a strong wet bias over Eastern Russia and the Iberian Peninsula
228 tend to stand out of the multi-model ensemble average. For the latter region as well as for the
229 Steppes, since the observed amount of JJA precipitation is very low (Fig. S2a), small differences
230 between these values can result in a strong relative bias. Over North America, in contrast, all
231 models present fairly similar patterns of wet and slightly cold bias over Alaska and pronounced
232 dry and warm bias over the Central Plains. This warm bias was also found in many models of
233 the Coupled Model Intercomparison Project Phase 5 (CMIP5) and would stem from excessive
234 incoming shortwave radiation combined to a lack of evaporative fraction (Cheruy et al. 2014).
235 We will discuss further how this could impact the seasonal forecast quality with respect to soil
236 moisture initialization in section 4. This preliminary analysis confirms the interest of the multi-
237 model approach since the individual model climatologies show a number of similarities with
238 each other and the multi-model biases are not excessively influenced by any one of the
239 contributing models.

240
241 Soil moisture biases are far more difficult to assess due to the scarcity of in-situ observations to
242 be assimilated in any soil moisture reanalysis. Furthermore, remote sensing can only reflect the
243 superficial soil layer state, without taking into account the deeper root-layer soil moisture, and
244 do not necessarily provide a sufficient sampling for deriving reliable monthly mean values. Root-
245 zone soil moisture controls the plants' transpiration and thereby plays a major influence on total
246 evapotranspiration in vegetated areas. Finally, the limited knowledge of soil depth and global
247 scale physical processes at stake leads to a large variety of land surface modelling techniques
248 and parameters, which somewhat hampers the inter-model comparison of soil moisture as well
249 as the comparison of simulated versus observed data. However, a straightforward way to gain
250 insight on the simulated soil moisture is to consider the total soil water content of the entire soil
251 depth averaged over specific regions for each model and to assess the relative evolution in time
252 of its daily climatology. This evolution can be compared with that of ERA-Land. The assessment
253 of the mean soil moisture over the SGP and BKS regions (Fig. S3) shows that the soil dries
254 faster than the reference for four models out of the five analysed over both regions, although
255 none of them shows any obvious abnormal evolution. However, for the SGP region, according
256 to ERA-Land, there is little evolution in the soil water content during the first third of the forecast
257 period, followed by a drying phase starting in mid-June. Only one forecast system evolves
258 similarly to ERA-Land during the steady stage but retains somewhat too much water afterwards.
259 The drying tendency occurs too early for the other systems. This suggests that in addition to the
260 JJA precipitation bias discussed earlier, these models simulate either a deficit of rain in May and
261 early June, or an excessive evapotranspiration, or both simultaneously. These results suggest
262 that understanding not just the model bias, but also the forecast drift is essential to have a
263 chance to correctly interpret the quality of a forecast system.

264 **3.2 Summer skill over boreal mid-latitudes**

265 Figure 2 shows the JJA seasonal anomaly correlations of ALL-CLIM and ALL-INIT for near
266 surface temperature. Large parts of continents south of 50° N show significant T2M correlation
267 in all the experiments. This feature could be attributed to the correct representation of ENSO
268 teleconnections by the models, but also to the warming trend over the recent period, especially
269 over Europe (Doblas-Reyes et al. 2013). These hypotheses are assessed by computing for
270 each grid point the temporal correlation of JJA simulated T2M with respectively JJA observed
271 T2M averaged over the Niño 3.4 region defined in Table 1 and JJA observed global T2M
272 averaged over land. ENSO teleconnections, if present, do not seem to impact greatly the skill

273 south of 50°N (Fig. S4a). Observations suggest that the models over-estimate the link between
274 Niño 3.4 and Eastern Canada T2M. However, T2M over Eastern Canada, Southern Greenland
275 and the Middle-East is significantly correlated with global T2M, with correlation values of similar
276 amplitude to the hindcast skill (Fig. S4b). This is supported by observations over the same
277 period (not shown) in addition to the longer 1979-2013 period (Fig S4d). On the contrary, the
278 interannual simulated T2M over BKS and SGP is not significantly correlated to the global T2M
279 during the hindcast period, meaning that the global warming trend does not account for most of
280 the skill found over these regions. This is further confirmed by removing a linear trend from both
281 experimental and reference data, which does not affect greatly the correlation pattern nor its
282 values (Fig. 3).

283
284 An overall increase of skill is found over Europe in the T2M correlation differences between INIT
285 and CLIM (Fig. 4a). ALL-INIT is only outperformed by ALL-CLIM over the Iberian Peninsula,
286 although not significantly, whereas the effect is either positive or neutral anywhere else. This
287 skill enhancement is significant over Scandinavia, Ukraine and most of the Balkans peninsula.
288 The assessment of the RMSSS computed with respect to the CLIM experiments (Fig. 4b)
289 confirms these improvements. Over North America, soil initialization leads to a limited score
290 improvement. The model even exhibits a significant decrease in skill over Central Canada.
291 However, it should be kept in mind that this region has a poor temperature skill in the first place.
292 Such upper latitude regions are considered to be in an energy-limited regime where the
293 evaporative fraction of the surface energy budget is not controlled by soil moisture. Moreover,
294 snow melting - soil freezing interactions within the HTESSEL model seem to generate too much
295 and early runoff, which could have implications on soil moisture storage after the melting season
296 (E. Dutra, personal communication). If this were the case, the May 1st land surface initial
297 conditions derived from ERA-Land, which are used for three models out of five, could then be
298 locally unsuitable.

299
300 The multi-model ALL-CLIM (Fig. S5) and ALL-INIT (Fig. 5) display almost no skill for
301 precipitation, except for Western North America. This could be related to the great influence of
302 the ENSO activity on the local atmospheric circulation, although evidence of this teleconnection
303 has been found mainly during the winter season (Quan et al. 2006, Yoon et al. 2015). This skill
304 pattern should be considered with caution as the region receives limited amounts of precipitation
305 during summer (Fig. S2), implying that correlation values may be influenced by extremely small
306 differences in precipitation amounts. The difference of skill computed between INIT and CLIM
307 for precipitation (Fig. 6a) is quite patchy over the Northern Hemisphere mid-latitudes. Moreover,
308 the Iberian Peninsula, which results as one of the very few regions where the increase of
309 correlation leads to significant predictive skill, receives limited amounts of rain in summer as
310 mentioned earlier. Hence, small changes in simulated precipitation may greatly impact
311 correlation values. The negligible improvement of RMSSS tends to support this hypothesis (Fig.
312 6b) although models have already exhibited skill for precipitation over this region in past
313 coordinated experiments (Diez et al. 2005)

314
315 The results described above suggest that the BKS region is one of the most positively impacted
316 by soil moisture initialization in terms of predictive skill for temperature. Furthermore, the multi-
317 model ensemble displays relatively weak temperature and precipitation biases over BKS (Fig.
318 1), although one should keep in mind that some of the contributing models have pronounced
319 biases of opposite signs. On the other hand, SGP was previously identified as a region with a

320 high potential for seasonal predictability due to its sensitivity to soil moisture. This set of
321 experiments did not show any skill increase over SGP associated to improved land surface
322 initialization. A possible reason for this lack of sensitivity may be related to the common dry and
323 warm bias of the five individual models.

324

325 The next section of this paper therefore aims at providing insights on the reasons for such
326 contrasted results over SGP and BKS. This is achieved by comparing the relationship for these
327 two regions between the realistic initial soil moisture and the subsequent simulation of
328 temperature and precipitation during the hindcast period. The next section intends to shed light
329 on the link between the multi-model skill and the systematic error analysed so far.

330 **4 Preliminary understanding of the models response to realistic soil moisture initialization**

331 This section focuses on the two previously defined regions, namely BKS and SGP, to better
332 understand the response of seasonal predictions to soil moisture initial conditions.

333

334 The standard deviations of simulated JJA T2M anomalies over BKS and SGP are enhanced
335 with realistic initial conditions, especially over SGP (Table 3) confirming the sensitivity of the
336 models' response to soil moisture conditions in summer. They also get closer to the observed
337 standard deviation value in each region. To assess this sensitivity more closely, temporal
338 correlations between detrended ERA-Land total soil water content at start dates and observed or
339 simulated JJA T2M have been computed (Table 4). The time series of these anomalies are
340 represented on Fig. 7 where the blue and red envelopes feature the temperature anomaly
341 spread between individual model ensemble means for respectively CLIM and INIT simulations.
342 In the following sections, both regions are analyzed separately.

343 **4.1 SGP region**

344 Over SGP, unlike in the observations, the simulated JJA T2M is significantly anticorrelated with
345 the initial soil moisture for the five models. This is well illustrated in Fig. 7 where prevailing dry
346 initial conditions in the early 2000's coincide with warm simulated summers according to ALL-
347 INIT, which does not match observations. This implies that models tend to overestimate either
348 the land-atmosphere coupling processes or their contribution among other factors that could
349 explain interannual near-surface temperature variability.

350

351 In order to provide further insight on the models' response, 31-day running means of daily-
352 averaged simulated fields are correlated with the initial soil water content on May 1st over the
353 re-forecast period. Results for temperature, precipitation and soil moisture according to the
354 forecast time throughout the four months of simulation are presented in Fig. 8. The initial soil
355 moisture is very persistent in the simulations, with a correlation coefficient close to 1 and barely
356 decreasing throughout the summer. This persistence is also present in the reference soil
357 moisture data, although less pronounced. This implies that initial dry (wet) anomalies in the
358 models rarely turn into wet (dry) anomalies during the summer, while such changes in sign are
359 marginally more likely in the reference data. When considering the INIT-ALL ensemble, initial
360 soil moisture is correlated with both simulated precipitation and Tmax over SGP from the
361 beginning of the period. This correlation grows stronger in time for a few days before reaching a
362 plateau for Tmax at about 0.9, i.e. about 80% of variance explained, while it is about 0.6, about
363 35% of variance explained, right from the start for precipitation and persists throughout the
364 whole summer. On the other hand, in the reference data, the correlations are of the same sign

365 as in the simulations but they are not significant and tend to zero after the first month for
366 temperature. This suggests a larger amount of intraseasonal variability in the observational
367 dataset that is not reproduced by the models. The latter tend to simulate a smoother evolution of
368 the variables.

369
370 Based on Seneviratne et al. (2010), the following mechanism could explain the simulated
371 tendencies. Years with initial dry soils lead to reduced evapotranspiration, which inhibits
372 precipitation and in turn increases soil dryness. As soil moisture decreases due to this positive
373 feedback loop, it fails to respond to the evaporative demand, permitting the role of the sensible
374 heat flux to grow in the surface energy budget, at the expense of the latent heat flux. This leads
375 to higher daily Tmax, which triggers another positive feedback loop by increasing evaporative
376 demand and thus reducing soil moisture content. At night, however, this mechanism is
377 weakened by the development of a stable boundary layer decoupling the land surface from the
378 atmosphere aloft. Based on an observational campaign over Kansas, Ha and Mahrt (2003)
379 highlighted the development of a surface inversion primarily due to radiative cooling when
380 turbulent fluxes collapse in the early evening. This could explain why simulated Tmin is not
381 significantly anticorrelated to initial soil moisture during the first days, unlike Tmax. However, the
382 anticorrelation becomes significant about two weeks later than for Tmax, ultimately reaching
383 values comparable to those of Tmax. This feature of INIT-ALL is supported by three individual
384 models but not by observations. The Tmin values are generally reached at the end of the night,
385 when the diurnal soil moisture-temperature feedback loop is still off. This lagged co-variability of
386 Tmin and soil moisture in the simulations could result from a progressive overall warming of the
387 surface-boundary layer system. Depending on the stability regime of the nocturnal boundary
388 layer over grassland (Mahrt 1999), turbulence due to wind shear at the top of the stable layer
389 may redistribute downward the heat stored in the residual layer aloft. This mechanism competes
390 with the suppression of turbulence by thermodynamic stability that favours nocturnal radiative
391 cooling of the surface (McNider et al. 2010). However, the representation of such complex
392 subgrid scale phenomena in large-scale GCMs is likely to be inadequate and a source of model
393 error.

394
395 It is beyond the scope of this study to determine the reasons for the discrepancies between the
396 coupled model simulations and the observations. However, the similarities between forecast
397 systems in terms of correlation between initial soil moisture and summer variables likely relate
398 to their similarities in terms of biases. If the simulated climate over SGP is too dry, as suggested
399 in section 3.1, the models' evapotranspiration remains strongly controlled by soil moisture but its
400 absolute value and variations are too small to impact climate variability (Seneviratne et al.
401 2010). An additional explanation can be provided by the development of the biases over SGP
402 during the forecast (Fig. 9). The simulated climatologies look smoother than for the reference
403 data because they result from a ten-member averaging. The comparison of the precipitation
404 daily climatologies (Fig. 9a) show that for four models out of five, the deficit of daily rainfall
405 establishes at the beginning of June and persists throughout summer. On the contrary, the
406 Tmax biases (Fig. 9b) develop at a different rate and reach different amplitudes among forecast
407 systems. Nonetheless, all of them switch from neutral or cold biases during the first month to
408 warm by the end of summer. In some cases, this warm systematic error starts to grow up to
409 forty days after the appearance of the precipitation bias. The contrast between simultaneous
410 precipitation biases and asynchronous temperature biases supports, albeit without confirming it,
411 the hypothesis that the majority of models have a limited capacity to represent accurate

412 precipitation in summer over this region. A number of studies suggest that summer precipitation
413 regime in that region has particular features that makes it very challenging to model properly.
414 These particularities are the atypical diurnal cycle of precipitation with a nocturnal maximum in
415 summer (Klein et al. 2006), the meso-scale systems that account for much of the warm season
416 precipitation (Mearns et al. 2012), or the atmospheric low-level jet that substantially contributes
417 to the moisture budget of this region and influences nocturnal convection triggering (Bellprat et
418 al., 2016). If confirmed, this dry bias would trigger the excessive soil drying and its reduced
419 ability to respond to the evaporative demand, eventually leading to the aforementioned
420 feedback loop with the atmosphere that amplifies temperature biases.

421
422 Tackling this bias issue seems to be a prerequisite for the forecast systems to make the most
423 out of the soil moisture initial conditions and thus to improve the prediction skill over SGP
424 Nonetheless, a dedicated study would be required to disentangle the role of the biases from that
425 of potential shortcomings in the simulated surface processes.

426 **4.2 BKS region**

427 Over BKS, the two hottest summers of the period, namely 2003 and 2007, had both drier initial
428 soil moisture conditions than average. These are correctly predicted only with the INIT
429 ensemble (Fig. 7). Similar results are found with the cooler than average summers of 1996,
430 1997 and 2006 despite wet initial anomalies of relatively low amplitude. Observations, as well as
431 the INIT multi-model ensemble, show significant correlation between the initial soil moisture and
432 summer T2M for the BKS region (Table 4). Yet, when considering the individual forecast
433 systems, no relationship could be established between this correlation and the gain of skill
434 permitted by land surface initialization over BKS (as shown in Figure S6). Hence, the increase in
435 T2M correlation related to land surface initialization in this region does not result from local
436 linear processes - such as persistence - derived from initial soil moisture anomalies.

437
438 A correlation analysis similar to that performed for the SGP region (Fig. 8) is displayed for the
439 BKS region on Figure 10. It shows very distinct correlation features among forecast systems.
440 The different systems do not highlight any common process that would help explaining the gain
441 of skill in this region. It is likely that a wider range of processes related to soil moisture coupling
442 with the atmosphere with contradictory effects are at play. As opposed to the SGP region, the
443 BKS region is characterized by a steep topography and the proximity of the sea. Based on
444 regional meso-scale simulations over France, Stéfanon et al. (2014) highlighted different soil
445 moisture-temperature responses over low-elevation plains, mountains and coastal regions
446 during heat waves. Over plains, the dominant mechanism is consistent with the positive
447 feedback loop described earlier. Over mountains, on the other hand, enhanced heat fluxes due
448 to dry anomalies can reinforce upslope winds and favor convective precipitation with a
449 subsequent cooling effect, hence a negative feedback. Dry anomalies can also enhance the
450 gradient of diurnal near surface temperature between the air above coastal land and sea. This
451 could trigger anomalous moist advection from the sea through the breeze process, resulting in a
452 negative feedback on T2M over land. These last two meso-scale mechanisms may compete
453 with the first one over BKS, in spite of the relatively low resolution of the models used. Since the
454 five forecast systems have quite distinct spatial resolutions, it is likely that the impact of these
455 mesoscale processes, if represented, differs greatly.

456

457 What could therefore explain the successful prediction of the hottest summers of 2003 and 2007
458 conditioned to realistic soil moisture initialization, as indicated by Fig.7 ? The study from Conil et
459 al. (2008) based on a single AGCM showed that the benefit of a realistic land surface
460 initialization for summer predictions appears when widespread and strong soil moisture
461 anomalies are observed at the beginning of the season. This result was found over typical land-
462 atmosphere coupling hotspots, namely central North America and Eastern Europe. The present
463 work tends to generalize this result for the latter region when initial anomalies are negative.
464 Furthermore, Quesada et al. (2012) showed observational evidence of an asymmetry in hot day
465 predictability over Europe. Wet springs lead to a reduced number of hot summer days
466 regardless of the dominant large-scale weather pattern during summer, while dry springs
467 precede a greater number of hot days only if anticyclonic weather types prevail during the
468 summer. From these studies and our results, we can infer that initializing soil moisture
469 realistically is a necessary condition for models to predict abnormally warm summers, but not a
470 sufficient one. We hypothesize here that in the case of pronounced dry initial anomalies over the
471 BKS region, forecast systems agree on the dominant process of positive feedback between low
472 soil moisture, reduced fraction of latent heat flux and warmer temperature. However, as
473 mentioned earlier, verifying this statement would require additional studies with a dedicated
474 experiment framework.

475 **5 Conclusion and Discussions**

476 A set of multi-model seasonal prediction experiments aiming at assessing the impact of land
477 surface initial conditions on boreal summer predictability has been carried out in the framework
478 of the FP7-SPECS European project. Five distinct global coupled ocean-atmosphere forecast
479 systems were run with 10 members each, initialized on May 1st over the period 1992 to 2010
480 with climatological soil moisture conditions for the reference experiment, and realistic ones for
481 the sensitivity experiment. For both experiments, the 50 resulting members have been
482 considered together as a large multi-model ensemble. This is the first multi-model experiment
483 assessing the added-value of initializing the land surface in a 'real' prediction context, as
484 opposed to potential predictability and/or purely AGCM frameworks. It therefore provides the
485 most robust assessment of land surface initialization impact on boreal summer prediction quality
486 to date. The comparison of precipitation and near surface temperature scores show evidence of
487 an enhanced predictive skill over large parts of Europe for realistically versus climatologically
488 initialized simulations, although mainly for temperature and with a significant increase limited to
489 a few regions. No such conclusion can be drawn for Asia and North America.

490
491 Previous studies had identified several mid-latitude regions with a high summer prediction
492 potential a few months in advance, stemming from intense land-atmosphere coupling combined
493 with long-lasting soil moisture memory. Among them, the Balkans proved to actually gain
494 predictability from a more accurate soil moisture initialization, unlike the Southern Great Plains
495 of North America where no improvement was achieved. Over the latter region, the five models
496 show very similar overestimates of the correlation between initial soil moisture anomalies and
497 summer daily maximum temperature (Tmax) and daily mean precipitation with respect to the
498 correlation estimated from reference data. A locked positive feedback settles between dry (wet)
499 soil moisture anomalies leading to increased (decreased) Tmax and precipitation deficit, which
500 favours in turn an increase of the soil moisture anomaly. This overestimated feedback over SGP
501 is likely related to the systematic errors for temperature and precipitation, and in the excessive
502 decrease of soil water content during the early stage of the summer simulated by the majority of

503 forecast systems. Thus, biases appear as potential culprits in the lack of predictive skill
504 enhancement with respect to soil moisture initialization over SGP. Previous studies based on
505 CMIP experiments pointed out at model deficiencies in both cloud physics and
506 evapotranspiration processes that should be addressed over the Great Plains to reduce
507 systematic biases (Cheruy et al. 2014).

508

509 For the BKS region, the coupling of soil moisture with temperature and precipitation could be
510 driven by various processes with opposite feedbacks. Nonetheless, for some years with a
511 pronounced dry initial anomaly, summer predictions from distinct models agree on a warm JJA
512 T2M anomaly. It is likely that in the case of dry soil moisture anomalies combined with prevailing
513 anticyclonic weather regimes during summer such as Blocking or Atlantic Low (Quesada et al.
514 2012), the land-atmosphere coupling processes simulated by different models over BKS
515 converge towards a similar dominant process or feedback loop.

516

517 Previous studies suggested a potential remote impact of soil moisture initialization on summer
518 temperature prediction (Van den Hurk et al. 2012, Koster et al. 2014), that could be related to an
519 alteration of the atmospheric circulation either locally or remotely (Fischer et al. 2007). The
520 correlations between JJA T2M averaged over BKS and initial soil moisture computed on every
521 grid point for OBS and INIT (Fig. S7a) do not rule out such a hypothesis, since a few common
522 patterns appear such as high positive correlations over Northern Europe and negative
523 correlations East of the Black Sea. However these patterns are not large or significant enough
524 to conclude on this potential remote influence.

525

526 A limitation of this study stems from the discrepancies between experimental protocols for each
527 participating forecast system. For instance, it does not clearly disentangle the potential impact of
528 snowpack initial conditions as two contributors out of five averaged out snow cover parameters
529 in addition to soil moisture parameters to produce climatological initial conditions. According to
530 Xu and Dirmeyer (2011), the snow-atmosphere coupling strength can be considerable during
531 snowmelt and up to several weeks after that, due to the albedo and subsequent soil moisture
532 states. Even if the similarity of the models' response in this study suggests a limited impact in
533 our regions of interest, this pleads for a more careful assessment of snow cover and snow water
534 equivalent in the initial conditions of subseasonal to seasonal summer predictions. The diversity
535 of spatial resolution also hampers the investigation of potential physical processes at play.
536 Furthermore, our study does not take into account the proportion of the total soil water content
537 in models and in the reference data that is prone to imprint the atmosphere at seasonal scale by
538 means of evapotranspiration. A focus on the soil wetness index of the root layer instead of the
539 total soil water content is required to further disentangle the processes involved in the soil-
540 moisture surface climate interplays and the associated predictability. The use of ERA-Land for
541 soil moisture initialization and as a reference data might be a source of uncertainties since no
542 in-situ nor remote-sensed soil observations are assimilated in this product. Nonetheless, state-
543 of-the-art global remote sensed soil moisture products usually estimate superficial soil wetness.
544 Hirschi et al (2012) pointed out the limitations of a mere extrapolation of observed superficial
545 soil moisture to the root-zone and suggests an assimilation of these data in a land-surface
546 model to obtain a more realistic product. These limitations should be addressed when defining
547 the set-up of the predictability experiment of the Land Surface, Snow and Soil moisture Model
548 Intercomparison Project (LS3MIP, van den Hurk et al. 2016).

549

550 In the light of our results, two main topics would require future research and attention in the
551 community. The first one is that of the initialization technique, a potential caveat of this study.
552 The climatology and variability of distinct AOGCM land components may differ greatly because
553 of the diversity of parametrizations and the limited constraints with respect to the atmospheric
554 component. This questions the technique of initializing a model with data derived from another
555 model. However, even if the land initial conditions are computed from an offline simulation of the
556 same LSM that is then used in the coupled model simulation, initial shocks and spin-up may
557 occur due to inconsistencies at the land-atmosphere interface and ultimately degrade the
558 prediction skill. A cleaner initialization would imply to perform either a coupled data assimilation
559 or a coupled nudging towards observational data for each forecast system individually.
560 However, this technique does not explicitly correct the simulated precipitation, which can remain
561 biased and thus lead to an unrealistic soil water content. A correction of precipitation in this case
562 might jeopardize the water balance of the model. Therefore, the best initialization strategy is still
563 an open question, and may very well be model-dependent.

564
565 The role of vegetation and land-use on continental climate predictability is the second issue that
566 could be of great interest in future works. Previous studies have demonstrated that the use of
567 interactive vegetation affects precipitation variability (Alessandri and Navarra, 2008) as well as
568 T2M seasonal predictability over the continents (Weiss et al. 2012, Alessandri et al. 2016). The
569 extensive use of irrigation and crop growing practices can affect water fluxes between the soil
570 and the atmosphere. Mueller et al (2015) showed evidence that agricultural intensification - and
571 to a lesser extent increased irrigation - over the past century led to cooler temperature
572 extremes and enhanced rainfall during the growing season in the North American Midwest.
573 These features are not taken into account in the coupled models used in this paper whereas
574 they affect atmospheric observations assimilated in the reference data. The results of the
575 present study plead for a coordinated seasonal prediction effort aiming at enlightening the
576 impact of vegetation and land-use on summer predictive skill over mid-latitudes.

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Tables

	Coordinates
BKS	15°E-25°E 40°N-50°N
SGP	105°W-95°W 35°N-45°N
Niño 3.4	120°W-170°W 5°S-5°N

759 **Table 1:** Boundary coordinates of the BKS, SGP and Niño 3.4 boxes

Exp. Name	Model	Horizontal Resolution	Vertical levels	Ensemble generation	Land surface component	Land surface initialization	Atmosphere, ocean and sea-ice initializations
MPI-CLIM MPI-INIT	MPI-ESM v.1.1.00 (Stevens et al., 2013)	Atm/Land:T63 (~300 km) Ocean: GR15 (two poles in Greenland / Antarctica, 1.5 degree resolution)	Atm: 47 Ocean: 40	Atm: slight disturbance of stratospheric diffusion Ocean: breeding vectors (Baehr & Piontek, 2014)	JSBACH (Raddatz et al., 2007)	GCM run with nudging of the atmosphere, superficial ocean and sea-ice towards reanalyses (resp. ERAI, ORAS4 and NSIDC)	atm:ERAI ocean:ORAS4 sea-ice:NSIDC
EC-CLIM EC-INIT	ECMWF Sys4	Atm/Land: N128 (TL255, ~80km) Ocean: NEMO ORCA 1° L42	Atm: 91 Ocean: 42	singular vectors	CHTESSEL-Lakes (Boussetta et al. 2012)	ERALand horizontal interpolation (same model)	Atm: ERAI Ocean: ORAS4
MF-CLIM MF-INIT	CNRM-CM5 (Voltaire et al. 2013)	Atm/Land: T1127 (~150 km) Ocean: NEMO Orca 1° L42	Atm: 91 Ocean: 42	Initial atmospheric perturbations	SURFEX V7.2 (Masson et al. 2012)	ERALand horizontal and vertical interpolation with conservative Total Soil Wetness Index (different model)	Atm: ERAI Ocean: ORAS4 Sea-ice: restarts from a nudged run
BSC-CLIM BSC-INIT	EC-Earth V2.3 (Hazeleger et al. 2012)	Atm/Land: T106 (~120km) Ocean: NEMO Orca 1°	Atm: 91 Ocean: 46	Singular vectors in the atmosphere; different members of ORAS4 reanalyses for the ocean	HTESSEL	ERALand horizontal interpolation (same model)	Atm: ERAI Ocean: ORAS4 Sea-ice: IC3 analysis
MO-CLIM MO-INIT	GloSea5 (MacLachlan et al., 2015)	Atm/Land: N216 (~50km) Ocean: ORCA 0.25°	Atm : 85 Ocean:75	Lagged start dates and SKED stochastic physics scheme	JULES (Best et al., 2011)	JULES offline run driven with WFDEI atmospheric data (Weedon et al., 2014)	Atm: ERAI Ocean and sea-ice: GloSea5 reanalysis (Waters et al., 2015)

761 **Table 2:** Summary of the simulations

	BKS	SGP
OBS	0.69	1.01
ALL-CLIM	0.40	0.51
ALL-INIT	0.50	0.88

Table 3: Standard deviation of JJA area-averaged T2M anomaly (K)

	BKS	SGP
OBS	-0.58*	0.18
ALL-INIT	-0.50*	-0.64*
MPI-INIT	-0.46*	-0.53*
MO-INIT	-0.71*	-0.6*
MF-INIT	-0.35	-0.53*
EC-INIT	-0.23	-0.48*
BSC-INIT	-0.20	-0.55*

Table 4: Anomaly correlations of detrended ERA-Land May 1st total soil moisture with detrended area-averaged June-to-August T2M. 95% confidence significant values are marked by a star

Figure captions

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764

765 **Fig 1:** Biases for June-to-August average near-surface temperature in K with respect to CRU TS
766 v.3.23 (left panel) and relative biases for accumulated precipitation in % with respect to GPCC (right
767 panel). The right-hand side large map corresponds to the multi-model ALL-INIT, small left-hand side
768 maps correspond to each individual forecast system.

769

770 **Fig 2:** Anomaly correlation between the reference data and the June-to-August average near-
771 surface temperature for ALL-CLIM (a) and ALL-INIT (b). Dots mark those points where the
772 correlations are significantly different from zero with a 95% confidence level

773

774 **Fig 3:** Same as Fig 2b with linearly detrended anomalies

775

776 **Fig4: (a)** Anomaly correlation difference ALL-INIT minus ALL-CLIM and **(b)** Root Mean Square Skill
777 Score ALL-INIT vs. ALL-CLIM for detrended June-to-August average near-surface temperature. Dots
778 mark those points where the difference (the skill score) is significantly different from zero with a 95%
779 confidence level

780

781 **Fig 5:** Anomaly correlation between the reference data and the June-to-August average
782 accumulated precipitation for ALL-INIT

783

784 **Fig 6:** Same as Fig 4 for precipitation

785

786 **Fig 7:** Top: detrended June-to-August near-surface temperature anomaly inK. ERAInt (black solid
787 line), ALL-CLIM and CLIM multimodel spread (blue solid line and blue envelope, respectively), ALL-
788 INIT and INIT multimodel spread (red solid line and red envelope, respectively) for SGP (left) and
789 BKS (right)

790 Bottom: detrended ERAland soil water content anomaly on May 1st for SGP (left) and BKS (right) in
791 $\text{m}^3.\text{m}^{-3}$

792

793 **Fig 8:** Correlation between May 1st total soil water content and 31-day running mean of daily
794 maximum temperature (red), minimum temperature (blue), precipitation (green) and total soil water
795 content (gray) for individual model ensemble mean (left), multi-model ensemble mean (top right) and
796 observations (bottom right) over the SGP region. Significant correlations are displayed with circles

797

Fig 9 : Individual model ensemble mean and observations daily climatologies of (a) maximum
temperature in K and (b) cumulated precipitation in mm over the SGP region.

798

Fig 10: Same as Fig 8 over the BKS region