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1 **The relationship of Weddell polynya and open-ocean deep convection to the Southern**  
2 **Hemisphere westerlies**

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4 Woo Geun Cheon<sup>1)</sup>, Young-Gyu Park<sup>2)</sup>, J. R. Toggweiler<sup>3)</sup>, and Sang-Ki Lee<sup>4,5)</sup>

5  
6 1) The 6<sup>th</sup> R&D Institute-1, Agency for Defense Development, Republic of Korea

7 2) Ocean Circulation and Climate Research Division, Korea Institute of Ocean Science  
8 and Technology, Republic of Korea

9 3) Geophysical Fluid Dynamics Laboratory, NOAA, Princeton, New Jersey, USA

10 4) Cooperative Institute for Marine and Atmospheric Studies, University of Miami,  
11 Miami Florida, USA

12 5) Atlantic Oceanographic and Meteorological Laboratory, NOAA, Miami Florida, USA

13  
14  
15 Corresponding author: Young-Gyu Park; ypark@kordi.re.kr

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**Abstract**

The Weddell polynya of the mid 1970s is simulated in an Energy Balance Model (EBM) sea-ice/ocean coupled General Circulation Model (GCM) with an abrupt 20% increase in intensity of Southern Hemisphere (SH) westerlies. This small up-shift of applied wind stress is viewed as a stand-in for the stronger zonal winds that developed in the mid 1970s following a long interval of relatively weak zonal winds between 1954 and 1972. Following the strengthening of the westerlies in our model, the cyclonic Weddell gyre intensifies, raising relatively warm Weddell Sea Deep Water to the surface. The raised warm water then melts sea ice or prevents it from forming to produce the Weddell polynya. Within the polynya, large heat loss to the air causes surface water to become cold and sink to the bottom via open-ocean deep convection. Thus, the underlying layers cool down, the warm-water supply to the surface eventually stops, and the polynya can not be maintained anymore. During our 100-year-long model simulation we observe two Weddell polynya events. The second one occurs a few years after the first one disappears; it is much weaker and persists for less time than the first one because the underlying layer is cooler. Based on our model simulations, we hypothesize that the Weddell polynya and open-ocean deep convection were responses to the stronger SH westerlies that followed a prolonged weak phase of the Southern Annular Mode.

41

## 42 **1. Introduction**

43

44           From 1974 to 1976 a persistent large-scale open-ocean polynya was observed in the  
45 Weddell Sea by scanning passive microwave sensors on polar orbiting satellites (Zwally and  
46 Gloersen 1977; Carsey 1980; Gordon and Comiso 1988). This polynya, termed the “Weddell  
47 polynya,” was situated far off the Antarctic coast, west of the Greenwich Meridian. The ice-  
48 enclosed open water area of the polynya was observed throughout the period, except from  
49 late spring to early fall when sea ice in this region is routinely absent (Carsey 1980).  
50 Martinson et al. (1981) proposed a vertical redistribution of heat with weak horizontal  
51 variation as a triggering factor for the Weddell polynya. They also argued that a transient  
52 feature, rather than the mean atmospheric and oceanic circulations, must be responsible for  
53 this polynya’s occurrence because the maximum-divergence areas of the atmosphere and  
54 ocean in the Weddell Sea do not correspond to the observed polynya area. Comparing  
55 hydrographic station data, Gordon (1982) revealed that the Weddell Sea Deep Water  
56 (WSDW) extending from about 200 m to 2700 m beneath the observed Weddell polynya  
57 became significantly colder and fresher in 1976-1978 than in 1973. This suggests that full-  
58 scale open-ocean deep convection giving rise to the so-called “Weddell chimney” (Killworth  
59 1979) occurred after the first opening of the Weddell polynya in 1974.

60           The whole process, from the pre-conditioning to the open-ocean deep convection,  
61 consists of four stages. In the first stage, a large area of the pycnocline is raised over a large  
62 area so that the warm and salty WSDW lies just below the cold fresh surface layer above. In  
63 the second stage, the warmth of the upwelled WSDW thermodynamically generates the  
64 Weddell polynya by hindering new sea ice formation or by melting existing sea ice  
65 (Martinson et al. 1981). In the third stage, relatively warm surface water in the large-scale

66 ice-free ocean area surrounded by sea ice is brought in direct contact with extremely cold air  
67 and is thus transformed to sea ice. The ensuing brine rejection, combined with the relatively  
68 high salinity of the upwelled WSDW, acts to destabilize the whole water column, generating  
69 and maintaining open-ocean deep convection (Gordon 1982; Killworth 1983). On the other  
70 hand, the warmth of the WSDW injected into the surface layer periodically restores  
71 stratification of the water column by slowing down sea ice formation. Such an oscillatory  
72 mode is inherent in the formation process of open-ocean polynyas (Gordon 1991; Goosse and  
73 Fichefet 2001). In the final stage, the multi-year persisting large-scale polynya disappears  
74 when the upwelled water is no longer warm enough to melt the sea ice, which is a part of  
75 results derived from this study and is described in the following.

76         So what generates the preconditions for the Weddell polynya in the first stage?  
77 Martinson et al. (1981) first speculated that larger-than-normal salt rejection due to  
78 anomalous formation of sea ice is the cause for this. Using observational data, Gordon et al.  
79 (2007) made an attempt to connect it with major climate modes of variability. They presented  
80 a hypothesis that drier-than-normal air which the Weddell Sea experienced during the  
81 prolonged negative phase of the Southern Annular Mode (SAM) and increased sea ice  
82 formation due to colder-than-normal condition in the polynya area under La Niña conditions  
83 can generate the preconditions for the Weddell polynya. At some point these conditions result  
84 in small-scale overturning, leading to upwelling of the WSDW. It should be noted that small-  
85 scale overturning is distinct from open-ocean deep convection in the third stage because the  
86 Weddell chimney occurred after the first occurrence of the Weddell polynya as discussed  
87 earlier. A topographic effect of Maud Rise was also studied as the preconditioning factor (Ou  
88 1991; Alverson and Owens 1996; Holland 2001).

89         Here, we present and explore a possible link between the SAM and the Weddell

90 polynya. The observed Weddell polynya first occurred in 1974 (marked with blue character  
91 “B”), which was 2 years after the SAM (SAM index is based on Sea Level Pressure (SLP)  
92 data as shown in Fig. 1) reached a minimum in 1972 (marked with red character “A”). That is,  
93 the Weddell polynya formed in a transition period when the weakened Southern Hemisphere  
94 (SH) westerlies began to regain strength. This suggests another important candidate  
95 mechanism for preconditioning the Weddell polynya, i.e., strengthening of the SH westerlies.

96         The Antarctic continent is dominated by an overlying yearlong high-pressure center  
97 and is continuously surrounded by several low-pressure systems. The northern part of the  
98 Southern Ocean (SO) is dominated by the SH westerlies, while its southern part is dominated  
99 by easterly winds and strong offshore katabatic winds (Wadhams 2000). The Weddell gyre  
100 controls the influx of relatively warm, salty Circumpolar Deep Water (CDW) into the interior  
101 of the Weddell Sea (Orsi et al. 1993), and its northern limb is in contact with the Antarctic  
102 Circumpolar Current (ACC), the intensity of which is barotropically and baroclinically linked  
103 with the SH westerlies (Cai and Baines 1996; McDermott 1996; Gnanadesikan and Hallberg  
104 2000; Gent et al. 2001). Moreover, according to the analysis of hydrographic data (Orsi et al.  
105 1993), the CDW that splits off the ACC enters the eastern limb of the Weddell gyre, mixes  
106 with the cold shelf water, and then forms the Weddell Sea Bottom Water (WSBW), which  
107 over time moves upward to replenish the overlying Weddell Sea Deep Water (WSDW). The  
108 relatively warm and salty WSDW is displaced upward by Ekman pumping due to the  
109 negative wind stress curl over the SO, and subsequently mixed with the cold and fresh  
110 surface water. These facts indicate that the SO sea-ice/ocean system is closely connected to  
111 the SH westerlies. Meanwhile, the SAM, the representative climate mode associated with the  
112 SH westerlies, is characterized by swings between the stronger and poleward-shifted  
113 westerlies in its positive phase and the weaker and equatorward-shifted westerlies in its

114 negative phase (Gong and Wang 1999; Thompson and Wallace 2000). For clarity, we only  
115 consider intensification of the SH westerlies without taking into account their meridional  
116 movement.

117         Since the studies of Toggweiler and Samuels (1993, 1995), the influence of the SH  
118 westerlies on the global ocean, e.g., the Antarctic Surface Water and the Antarctic  
119 Intermediate Water (e.g. Oke and England 2004), the North Atlantic Deep Water (e.g.  
120 Rahmstorf and England 1997; Brix and Gerdes 2003), the Atlantic Ocean heat transport (e.g.  
121 Lee et al. 2011) and the ACC (e.g. Gnanadesikan and Hallberg 2000), has been extensively  
122 studied. In this study we aim to investigate how, at the beginning, the intensification of the  
123 SH westerlies acts to generate the Weddell polynya and open-ocean deep convection, and  
124 how the SO sea-ice/ocean system finds its new steady state afterward. The model used is a  
125 sea-ice/ocean General Circulation Model (GCM) coupled to a global atmosphere Energy  
126 Balance Model (EBM), in which the SH westerlies are intensified by a factor of 1.2. Detailed  
127 descriptions of the model and experimental design are given in the next section. All the  
128 processes, from preconditioning of the Weddell polynya, through an occurrence of open-  
129 ocean deep convection, to decay of the Weddell polynya, are described in detail in section 3  
130 along with verification of the model results. The final section provides a summary and  
131 conclusions.

132

## 133 **2. Model description**

134

### 135 **a. Model configuration**

136

137         The main framework of the model is the fourth version of the Modular Ocean Model

138 (MOM4) of the Geophysical Fluid Dynamics Laboratory (GFDL), in which the primitive  
139 equation ocean model (Griffies et al. 2004) is coupled with a dynamic and thermodynamic  
140 sea ice model (Winton 2000). It is also coupled with the two-dimensional global atmosphere  
141 Energy Balance Model (EBM; Russell et al. 2005) and the land surface model LM2 (GFDL  
142 Global Atmosphere Model Development Team 2004). All model components are coupled via  
143 the GFDL Flexible Modeling System (FMS). The sea-ice/ocean model (MOM4) extends  
144 from 80°S to 90°N with a tripolar grid (Murray 1996), and its horizontal resolution is 2° in  
145 longitude and 0.7-1° in latitude. In the vertical, it contains 50 levels: 22 upper levels with  
146 uniform 10 m thickness, and 28 lower levels of gradually increasing thickness to about 400 m  
147 at 5500 m depth. The bottom layer follows the actual topography based on Smith and  
148 Sandwell (1997) using satellite data in the region 72°S to 72°N, the National Oceanic and  
149 Atmospheric Administration (NOAA) 5-minute global topography (ETOPO5), and the  
150 International Bathymetric Chart of the Arctic Ocean (IBCAO). The EBM extends globally  
151 and has T42 horizontal resolution. The present model configurations are similar to those used  
152 in Gerdes et al. (2005).

153 The ocean model has an explicit free surface, employing the K-profile  
154 parameterization (KPP) scheme of Large et al. (1994) for simulation of the surface mixed  
155 layer. It uses the Gent-McWilliams (GM) scheme (Gent and McWilliams 1990) for  
156 parameterizing mesoscale eddy mixing on isopycnal surfaces. The coefficients for vertical  
157 mixing vary in the upper layers from  $10^{-5} \text{ m}^2\text{s}^{-1}$  in the tropics to  $3 \times 10^{-5} \text{ m}^2\text{s}^{-1}$  at high  
158 latitudes and increase at depth to  $1.2 \times 10^{-4} \text{ m}^2\text{s}^{-1}$  following Bryan and Lewis (1979). The  
159 model uses the convective scheme of Rahmstorf (1993) for convective adjustment.

160 The sea ice model consists of three layers, one snow layer and two sea ice layers, and  
161 is run on the same grid as the ocean model. The thermodynamics of sea ice is formulated



162 according to Winton (2000), and the physical description of the sea ice dynamics involves the  
163 viscous-plastic constitutive law introduced by Hibler (1979) from rheological principles.

164 The EBM provides thermodynamic forcing by solving prognostic equations for  
165 atmospheric temperature and specific humidity. Atmospheric temperature is determined by  
166 the surface heat-balance calculation composed of shortwave radiation, longwave radiation,  
167 and sensible and latent heat fluxes. The balance between evaporation and both liquid and  
168 frozen precipitation determines the specific humidity. It should be noted that the wind field  
169 and precipitation are not calculated by the EBM but are directly derived from data. Bulk  
170 formulae are used to calculate heat and momentum fluxes at the ocean or sea ice surface. The  
171 atmospheric data set contains monthly mean wind fields from the ERA15 reanalysis data  
172 between 1979 and 1993, which is augmented by daily variability from a selected year (1982).  
173 The sea-ice/ocean model is repeatedly forced by the day-to-day variability of this year.

174

## 175 **b. Experimental design**

176

177 According to reanalyses with the Coupled Model Intercomparison Project (CMIP)  
178 phase 3 and phase 5 (Swart and Fyfe 2012), the Southern Hemisphere (SH) westerlies have  
179 been significantly intensified over the last 30 years, although its annual mean jet position did  
180 not show a robust trend. The objective of this study is to investigate the response of the  
181 Southern Ocean (SO) sea-ice/ocean system to the intensification of the westerlies at the  
182 beginning of this interval. Figure 2 shows the zonal mean zonal wind stress for the control  
183 case (hereafter denoted as “CTRL”) and the intensified SH westerlies (hereafter denoted as  
184 “SW20”), respectively. In CTRL the wind stress is as stated above, while in SW20 only the  
185 zonal wind stress in the latitudinal band between 66°S and 32°S is uniformly intensified by a

186 factor of 1.2. In the wind field employed in the model, this latitudinal band covers most of  
187 area dominated by the SH westerlies (ERA40 reanalysis data between 1957 and 2002) and  
188 the ACC (Orsi et al. 1995). In the CTRL experiment, the model starts from a “cold start”  
189 condition and is run for 500 years as a spin-up period. This is not enough for the whole  
190 bottom water mass to reach a full equilibrium state, i.e., a variation of global-mean bottom  
191 water properties smaller than 0.01°C/100year for temperature and 0.001psu/100year for  
192 salinity (England 1993). However, as discussed in the following section, most main features  
193 of the global ocean circulation and the SO sea ice are in a reasonable range and are thus  
194 judged to be in a suitable state for this type of sensitivity experiment. After the spin-up, the  
195 SW20 experiment starts from the last year of CTRL and is run for 100 years. Our analysis is  
196 conducted for the whole 100 years of the SW20 experiment. All variables analyzed in this  
197 paper are ones calculated inside of the model.

198         In this study, the SH westerlies are intensified by only a factor of 1.2, smaller than  
199 factors ranging from 1.5 to 3.0 applied in many previous studies (Toggweiler and Samuels  
200 1993; 1995; Rahmstorf and England 1997; De Boer et al. 2008). Although not presented in  
201 this paper, an experiment in which the SH westerlies were intensified by a factor of 1.5 was  
202 also performed; the response of the SO sea-ice/ocean system was more drastic and faster than  
203 that with the SH westerlies intensified by a factor of 1.2, but main phenomena such as the  
204 Weddell polynya and open-ocean deep convection occurred via the same process in both  
205 experiments. Moreover, since we focus on the transition period when the weakened SH  
206 westerlies begin to regain strength, a relatively small increase factor is employed in this study  
207 to explore whether the SO sea-ice/ocean system is susceptible to small change in the SH  
208 westerlies.

209

### 210 3. Results

211

#### 212 a. Control Run

213

214 Figure 3 shows meridional sections of zonal mean, annual mean SH Atlantic  
215 potential temperature and salinity for CTRL and observed data (Locarnini et al. 2006;  
216 Antonov et al. 2006), respectively. Though differing in magnitude in comparison with the  
217 observational data, CTRL indicates northward intrusion of the Antarctic Intermediate Water  
218 (AAIW) and southward intrusion of the North Atlantic Deep Water (NADW) in its salinity  
219 distribution. To the SO south of 60°S, however, a tongue of relatively warm deep water  
220 cannot be found in CTRL, and the whole water column is fresher than in the observations.  
221 The Atlantic Meridional Overturning Circulation (MOC) and the NADW outflow are main  
222 choke points of the thermohaline circulation in Atlantic Ocean and affect the volume  
223 transport of the ACC bordering the Weddell gyre via thermal wind balance (McDermott  
224 1996; Gnanadesikan and Hallberg 2000). The Atlantic MOC at 30°N reaches 21.7 Sv (1 Sv  $\equiv$   
225  $10^6 \text{ m}^3 \text{ s}^{-1}$ ), placing it near the upper bound of values from climate models for the present-day  
226 climate (see Fig. 10.15 of Solomon et al. 2007). The NADW outflow passing through 30°S is  
227 20.6 Sv and is also larger than the observed estimate (17 ~ 18 Sv according to Ganachaud and  
228 Wunsch 2000, and Dong et al. 2009). The transport of the ACC across the Drake Passage is  
229 189.1 Sv. This is greater than the observed transports which vary between 110 and 150 Sv  
230 (Whitworth et al. 1982; Orsi et al. 1995; Cunningham et al. 2003), but is in agreement with  
231 other modeling results (Hallberg and Gnanadesikan 2006; Kuhlbrodt et al. 2012). The global  
232 mean potential temperature at 4000 m depth reaches 1.63 °C and is higher than the observed  
233 estimate (1.08 °C according to Levitus 1982). These results are attributed to the relatively

234 large Atlantic MOC, which is linked to to larger NADW outflow and enhances the ACC via  
235 thermal wind balance.

236         Figures 4a and 4b show the austral winter-mean (June, July, and August) sea ice  
237 concentration and thickness surrounding Antarctica over the last 20 years (481-500) of the  
238 CTRL's integration period. Although performed in the framework of the coarse-resolution  
239 model, they are in overall agreement with results of other ice/ocean coupled models (Fichefet  
240 et al. 2003; Stössel 2008) and observations (Maksym and Markus 2008; Parkinson and  
241 Comiso 2008). The distribution of the sea ice thickness is similar to that of the winter mean  
242 sea surface height (Fig. 4(c)): relatively thick (thin) sea ice is observed where the winter  
243 mean sea surface height is relatively low (high). It seems that the southern limb of the  
244 Weddell gyre acts to push sea ice westward, and thus the sea ice piles up in the western limb  
245 of the gyre. Although most pack ice consists of sea ice concentrations higher than 92 %, there  
246 is a small area in the central Weddell Sea where the sea ice concentration drops to 82 % at  
247 most. According to satellite observations (Parkinson and Comiso 2008), this region is  
248 generally covered by highly-concentrated sea ice. Thus, one might argue that our model has a  
249 preference for an open-ocean polynya in the central Weddell Sea, but the winter-mean upper-  
250 ocean temperature (< 50 m depth) uniformly lower than -1.5 °C under sea ice cover (Fig.  
251 4(d)) is important evidence to dispel this concern.

252         Within the SW20 experiment, the Weddell polynya could be generated in two ways:  
253 a dynamic way due to a wind/current driven divergent sea ice drift and a thermodynamic way  
254 due to upwelled relatively warm WSDW melting the sea ice. The uniformly near-freezing  
255 upper-ocean temperature under sea ice cover in CTRL indicates that the relatively less  
256 concentrated and thinner sea ice in the central Weddell Sea is due not to surface warming but  
257 to sea ice drift. As discussed in detail in the following section, the simulated Weddell polynya

258 is due to the upwelled relatively warm WSDW. These imply that the modeled SO sea ice in  
259 CTRL does not have an intrinsic tendency to generate Weddell polynyas.

260 In summary, the simulated ocean states are within reasonable ranges, although the  
261 global thermohaline circulation does not reach an equilibrium state in terms of criteria  
262 suggested by England (1993), i.e. the water temperature and salinity at 4000 m depth still  
263 increase about 0.02 °C and 0.002 psu during the last 100 years of CTRL. The simulated sea  
264 ice shows reasonably good agreement with observations. Therefore, the SO sea-ice/ocean  
265 system simulated in CTRL is appropriate for investigating its responses to SW20.

266

#### 267 **b. Opening of the Weddell polynya**

268

269 Figures 5 and 6 show horizontal distributions of winter-mean sea ice concentration  
270 and annual mean age of water (AOW) at 4000 m depth over the first 24 years of SW20  
271 integration, in which the AOW indicates how old the water masses are after sinking from the  
272 surface. Immediately after the SH westerlies are intensified by a factor of 1.2, sea ice  
273 concentration in the vicinity of 68°S, 38°W starts to decrease gradually. At year 5 the sea ice  
274 concentration suddenly drops at maximum to 32 % (Fig. 5), at year 6 the younger water mass  
275 begins to appear at 4000 m depth, and finally at year 7 one-year-old water mass is observed at  
276 depth (Fig. 6). This means that the surface water sinks to this depth in just two years after the  
277 drastic reduction of sea ice in the central Weddell Sea, which is clear evidence for open-ocean  
278 deep convection and is in a good agreement with the observed results of Gordon (1982). That  
279 is, the water column beneath the ice-reduced area is destabilized by the dense water newly  
280 formed by the extreme cooling and the ensuing sea ice formation releasing salt to the ocean,  
281 leading to open-ocean deep convection. Figure 7 shows time series of the maximum

282 barotropic streamfunction in the Weddell Sea (i.e. the intensity of Weddell gyre) and the  
283 AOW at 1000 m depth over the whole period of SW20 integration. At first both show gradual  
284 changes until year 4. The rate of change is slightly larger in year 4 than in year 3. Then, at  
285 year 5 when the sea ice in the central Weddell Sea is drastically reduced, the Weddell gyre is  
286 also drastically intensified, and open-ocean deep convection begins to occur, as indicated by  
287 the AOW getting younger at 1000 m depth (see the purple line of Fig. 7). In case of the  
288 1970s' Weddell polynya the sea ice concentration dropped below 15 % (Carsey 1980),  
289 whereas in the 5<sup>th</sup> year of the SW20 simulation it dropped only to 32 %. Although afterward  
290 the sea ice concentration continued to drop and at year 7 reached below 15%, in this paper the  
291 Weddell polynya is considered to occur first at year 5 because open-ocean deep convection,  
292 which is the most important event resulting from the Weddell polynya, is triggered at that  
293 year.

294         The ice-free area expands eastward south of Australia to the South Pacific Ocean,  
295 and becomes largest in the 8<sup>th</sup> year as can be seen in Fig. 5. The ice reduction outside of the  
296 Weddell Sea is not related with the Weddell polynya, but with the experimental setup, which  
297 is explained with the detailed mechanism of Weddell polynya in the following. At year 9 the  
298 ice-free area starts to shrink and disappears completely by year 15 when the SO sea ice is  
299 fully recovered. The surface water masses beneath the areas where the sea ice disappears  
300 keep sinking to the bottom during this period. At year 16 sea ice again starts to open gradually,  
301 but this time closer to the coast and just west of the Greenwich Meridian, thus closer to the  
302 site of the observed 1970's Weddell polynya, and on a much smaller scale than the first one.

303         The Weddell polynya occurs again in the 19<sup>th</sup> year, disappears in the next year, and  
304 never occurs again during the next 76 model years. As shown in Fig. 7, after the first  
305 occurrence of Weddell polynya, the intensity of Weddell gyre reaches its peak at years 7 and

306 8, thereafter oscillates, and shows a sudden increase at year 19. The AOW at 1000 m depth  
307 reaches its minimum at years 8, 9, and 10 when open-ocean deep convection is active, gets  
308 older from year 11 to year 18, indicating that the convection gets weakened, and suddenly  
309 gets younger at year 19, indicating that the convection is triggered again. At year 19 the sea  
310 ice concentration in the central Weddell Sea also drops below 20%, and thus the second  
311 Weddell polynya is considered to occur at this year.

312 In the aforementioned small area where the sea ice concentration is originally low,  
313 sea ice concentration slightly decreases from 82 % to 76 % after the second polynya event  
314 and maintains this condition to the end of SW20 experiment. It should be noted that, even  
315 after the Weddell polynyas are closed, the narrow chimney lasts until the end of the SW20  
316 experiment (not shown here), which is attributed to the slightly warmed SST in the spot that  
317 becomes the cause of additional salt rejection due to sea ice formation (discussed in the next  
318 subsection, with Fig. 11). We speculate that this salt rejection anomaly—and thus the weakly  
319 stratified water column—causes the narrow chimney to remain to the end of the SW20  
320 experiment. When the SH westerlies regain their original state in an additional experiment,  
321 this narrow chimney disappears in a few years (not shown here).

322

### 323 **c. Detailed mechanism to trigger open-ocean polynya and deep convection**

324

325 How does the application of SW20 trigger an open-ocean polynya and deep  
326 convection in the Weddell Sea? The sea-ice/ocean interactions when the first Weddell  
327 polynya starts to form are examined from various angles in the following. Figure 8 shows  
328 changes in the winter-mean SST and AOW at the second layer over the first 6 years of the  
329 SW20 integration when the Weddell polynya first occurs. The second layer's AOW is

330 selected because the first layer is always turned into new water, i.e., zero-age water. The new  
331 water, shaded by purple color, is indicative of sinking down from the surface, while the older  
332 water shaded by other colors is indicative of the upwelling of deep water. After the SH  
333 westerlies are intensified, SST in the central Weddell Sea rises very slowly until year 3,  
334 begins to show an obvious increase at year 4, and reaches at most  $-0.9\text{ }^{\circ}\text{C}$  at year 5, which is  
335 consistent with the location and period where the first Weddell polynya appears. Changes in  
336 the SST are very similar to changes in the second layer's AOW, which indicate a strong  
337 upwelling of deep water at year 4. This confirms that the surface warming in the Weddell Sea  
338 is attributed to upwelling of the relatively warm WSDW. Note that upwelled warm deep  
339 waters are older than the surrounding ones at the observed depth. Meanwhile, the  
340 aforementioned ice-reduced area outside of the Weddell Sea is also attributed to the relatively  
341 warm deep water upwelled at the location, which is associated with the experimental setup  
342 that intensifies the zonal wind uniformly between  $66^{\circ}\text{S}$  and  $32^{\circ}\text{S}$  and thus gives rise to  
343 upwelling of deep water outside of the Weddell Sea.

344 Figure 9 shows a detailed representation of this upwelling with zonal mean, winter-  
345 mean potential temperature and zonally-integrated winter-mean meridional stream function  
346 between  $45^{\circ}\text{W}$  and  $30^{\circ}\text{W}$  where the first polynya occurs. In CTRL one sees the coldest layer  
347 above a black dotted line ( $\leq -1.2\text{ }^{\circ}\text{C}$ ) preventing the relatively warm WSDW entraining into  
348 the mixed layer. With the application of SW20, the enhanced wind stress curl over the SO  
349 intensifies not only upwelling of the CDW but also the Weddell gyre. Although upwelling at  
350 year 1 appears to be weaker than that averaged over the last 20 years of CTRL (see Figs 9(a)  
351 and 9(b)), it is stronger than that at the last year of CTRL (not shown here), implying that  
352 upwelling begins to intensify simultaneously with the application of SW20. As discussed  
353 with Fig. 7 in the above, the Weddell gyre is, regardless of northward Ekman transport



354 outside of it, gradually intensified until year 4 and is drastically intensified at year 5, as  
355 illustrated in Fig. 10a. Likewise, in the vicinity of 70°S the upward motion of the WSDW  
356 shows gradual change until year 4, and so does the thickness of the coldest layer (see Fig. 9).  
357 The rates of change in the upward motion and the thickness of the coldest layer at year 4 are  
358 larger than those by year 3. Then at year 5, the upward motion is drastically intensified, and  
359 thus the upwelled WSDW destroys the coldest layer completely. This whole thermodynamic  
360 process is in a good agreement with the theory suggested by previous studies (Martinson et al.  
361 1981; Gordon 1982; Gordon and Huber 1984; Martin et al. 2012). Note that the upward  
362 motion is dominant in the narrow longitudinal range between 45°W and 30°W, but in other  
363 areas of the Weddell Sea the downward motion due to near-boundary convection generally  
364 prevails and is gradually intensified with the application of SW20 (not shown here).  
365 Meanwhile, from years 1 to 4 the cold surface water gradually sinks down near 67°S, and its  
366 sinking becomes intense from year 5 in association with open-ocean deep convection, which  
367 is consistent with the inference from the AOW at 1000 m depth in Fig. 7. Moreover, from  
368 year 6 the downward motion in the vicinity of 66°S is so intense that the area where the  
369 upward motion prevails is pushed poleward and thus becomes small. That is, the Weddell  
370 polynya is generated by the upwelling of warm deep waters, which is, however, suppressed  
371 by the ensuing event of open-ocean deep convection. In summary, by year 4 the upward  
372 motion is mainly due to the Weddell gyre, at year 5 is drastically intensified by the density  
373 overturning triggered by the Weddell polynya, and from year 6 begins to be rather suppressed  
374 by the intense open-ocean deep convection.

375         The next issue is the possibility that the dynamic process associated with the  
376 wind/current-driven divergent sea ice drift plays a role in generating preconditions for the  
377 Weddell polynya. As shown in Fig. 10a, immediately after the SH westerlies are intensified,

378 surface water north of 66°S is strongly advected northward by Ekman transport, and more  
379 importantly the cyclonic Weddell gyre begins to intensify gradually. While the northward  
380 Ekman transport between 60°S and 50°S maintains its increase at year 1 until year 6, the  
381 Weddell gyre is, as previously discussed, drastically intensified at year 5 and reaches its peak  
382 at years 7 and 8 (see Fig. 7) along with baroclinic intensification of the ACC. These oceanic  
383 changes lead to the anomalous cyclonic drift of sea ice but not to its uniform divergence (Fig.  
384 10b). This indicates that the simulated Weddell polynya is not triggered by ocean-to-ice  
385 momentum stress from the cyclonic gyre anomaly.

386 Figure 11 show changes in the winter-mean sea ice bottom surface melting energy  
387 and ice-to-ocean salt flux for the same initial six years of SW20, whose patterns are pretty  
388 similar. The upwelled relatively warm water plays a role in melting sea ice (Figs. 11(a-1) –  
389 11(a-4)) and preventing sea ice formation, leading to increasingly negative ice-to-ocean salt  
390 flux during the 1<sup>st</sup> to 4<sup>th</sup> winter periods of SW20. Shortly thereafter, relatively warm surface  
391 water is exposed to extremely cold air through the Weddell polynya, which leads to sea ice  
392 formation and a corresponding increase in salt release to the ocean (Figs. 11(b-5) and 11(b-6)).  
393 Sea ice bottom melting energy is thus reduced in the region during this period (Figs. 11(a-5)  
394 and 11(a-6)). These results confirm that surface warming due to upwelling of the WSDW  
395 plays a major role in triggering the open-ocean polynya. There are increases in the ice-to-  
396 ocean salt flux along the Weddell Sea coastline (Figs. 10(b-3)-10(b-6)) which are due to an  
397 increase in the formation of coastal polynyas. While coastal polynyas are in general  
398 controlled by local offshore katabatic winds that push newly formed sea ice constantly away  
399 from the coastline, in this experiment the offshore sea ice drift anomalies play a role, though  
400 they are much weaker than the sea ice drift anomalies in the central Weddell Sea. Although  
401 important in increasing dense water formation and thus to enhancing near-boundary

402 convection, these events are not the focus of our study.

403

#### 404 **d. Differences between the 1<sup>st</sup> and 2<sup>nd</sup> polynya**

405

406 Together with Fig. 7, sea-ice/ocean interactions occurring in the Weddell Sea for the  
407 whole integration period of SW20 are summarized in Fig. 12, showing time series of the areal  
408 mean, winter-mean SST, AOW at the second layer (15 m depth), and sea ice concentration in  
409 the region where the simulated Weddell polynyas occur, and Fig. 13 showing vertical profiles  
410 of winter-mean potential temperature and salinity averaged over the same area for selected  
411 years. The processes associated with the first-occurring Weddell polynya are those described  
412 above: 1) cold water at the surface layer is replaced with relatively warm water from the  
413 deeper layer via upwelling enhanced by SW20, 2) surface water under the sea ice becomes  
414 warm enough to melt sea ice or to prevent its new formation, and 3) sea ice concentration  
415 suddenly drops, generating the Weddell polynya and triggering oceanic deep convection. The  
416 surface water becomes warmer in association with the entrained warm deep water and  
417 becomes saltier in association with the increased new sea ice formation, while the deep water  
418 becomes colder and fresher because the relatively warm and salty deep water masses are  
419 mixed with the cold and fresh surface water masses, eventually enhancing instability of the  
420 whole water column.

421 The second-occurring Weddell polynya is, as illustrated in Fig. 5 and Fig. 12, much  
422 smaller and persists shorter than the first polynya. The intensity of upwelling is also much  
423 smaller than before, and so is the SST increase rate. The processes associated with the second  
424 event are slightly different from those of the first event described above. The upwelling  
425 ceases between years 8 and 10, gets its strength back very gradually until year 14, in earnest

426 restarts from year 15, and reaches its second peak at year 18. As previously discussed with  
427 Fig. 9, for the first Weddell polynya, upwelling is gradually intensified until year 4 along with  
428 the Weddell gyre beginning to spin up, reaches its peak at year 5 when the open-ocean  
429 polynya triggers the oceanic deep convection, and begins to get weakened from year 6 with  
430 the intensification of convection. Similar processes operate for the generation of the second  
431 Weddell polynya. The Weddell gyre gets weakened between years 8 and 10, oscillates until  
432 year 14, and begins to be intensified from year 15 (see Fig. 7). Between years 15 and 18,  
433 surface water sinking is weakened (black line with triangle of Fig. 7), and the upwelling starts  
434 to recover its strength (red line with triangle of Fig. 12). As indicated by comparison between  
435 vertical profiles of potential temperature of the 14<sup>th</sup> and 18<sup>th</sup> year in Fig. 13, during this  
436 period the surface water again becomes warmer due to the recovered upwelling, and the deep  
437 water also becomes warmer due to reduced sinking of the cold surface water. At year 19,  
438 which is one year after the upwelling reaches its second peak, the gyre shows a substantial  
439 spin-up (black line with circle of Fig. 7), and the SST in the central Weddell Sea reaches its  
440 second peak (black line with circle of Fig. 12), triggering the second polynya near 68°S,  
441 15°W (Fig. 5 and green line with square of Fig. 12). Consequently, the convection regains its  
442 strength (black line with triangle of Fig. 7) and begins to suppress the upwelling (red line  
443 with triangle of Fig. 12). In comparison with the first event, the deep water is much colder  
444 (see the vertical profile of potential temperature of the 14<sup>th</sup> year (Fig. 13) just before the  
445 second upwelling in earnest restarts) because extremely cold surface water keeps sinking to  
446 the bottom via open-ocean deep convection until this time. This explains why the second  
447 peak of SST is smaller than the first and why the second-occurring Weddell polynya is much  
448 smaller and persists shorter than the first. At year 22, the second polynya is entirely closed  
449 (Fig. 5), leading to weakening of open-ocean deep convection (Fig. 7).

450 Vertical profiles of potential temperature in the 14<sup>th</sup>, 18<sup>th</sup>, 20<sup>th</sup>, and 24<sup>th</sup> years (Fig.  
451 13) reveal an oscillatory mode associated with open-ocean polynya formation and decay,  
452 which is in line with the study of Goosse and Fichefet (2001). Although this oscillatory mode  
453 significantly decreases in magnitude after the second Weddell polynya event ceases, it weakly  
454 continues until about the 70<sup>th</sup> year of SW20 (not shown here). The vertical profile of salinity  
455 reveals a similar pattern, too. At the end of the SW20 model integration, the WSDW reaches  
456 its equilibrium state (black dashed lines in Fig. 13).

457

#### 458 **4. Summary and Conclusions**

459

460 A small step-up in intensity of the SH westerlies produces a realistic simulation of  
461 the Weddell polynya observed between 1974 and 1976. During the first quarter of the one-  
462 hundred-year SW20 simulation, a polynya occurs twice in the central Weddell Sea, leading to  
463 open-ocean deep convection, while during the remaining period it never occurs again.  
464 Intensification of the SH westerlies increases not only upwelling of CDW but also the  
465 Weddell gyre, causing relatively warm WSDW to rise up to the surface in the central Weddell  
466 Sea. This appears to play a crucial role in triggering these open-ocean polynya and  
467 convection events. The two Weddell polynya events occur in slightly different locations: the  
468 first in the vicinity of 68°S, 38°W, which is slightly southwest of the observed polynya during  
469 the 1970s, and the second near the observed one. The second Weddell polynya is smaller and  
470 persists for less time than the first one, because upwelling is weaker and the underlying  
471 WSDW is colder than when the first occurs.

472 As discussed in section 3, the relatively low sea ice concentration in the simulated  
473 central Weddell Sea does not have a significant influence on the discussion hitherto, because

474 the simulated open-ocean polynyas are triggered mainly by thermodynamic processes  
475 associated with surface warming that affects sea ice regardless of its concentration and  
476 thickness, not by dynamics associated with anomalous divergent drift of sea ice that mainly  
477 affects less concentrated and thin sea ice. We expect the result would be unchanged even if  
478 the simulated sea ice in the central Weddell Sea was highly concentrated and thick. What  
479 determines the location where an open-ocean polynya occurs is dependent on the location  
480 where the WSDW mass rises up to the surface, which in turn depends on the inherent  
481 capability of the ocean GCM used in the study, such as how accurately the Weddell gyre is  
482 reproduced and how well the bottom topography is resolved. Moreover, in order to reproduce  
483 the 1970s' Weddell polynya by use of the model, we should consider how much the effective  
484 atmosphere-to-ocean salt flux increases during the prolonged negative phase of the SAM will  
485 be important and how the SO winds actually change at the period. The role of Maud Rise also  
486 helps focus the polynya's location (Ou 1991; Alverson and Owens 1996; Holland 2001).

487         Even in a relatively short integration time, major ocean flows in the SO reveal their  
488 trends clearly. SO overturning is intensified in association with convection events occurring  
489 in the SO, leading to an increase in AABW formation, and Deacon overturning is  
490 significantly intensified in association with the enhanced northward Ekman transport below  
491 the SH westerlies. Due to the activated SO sea-ice/ocean interactions, deep water south of the  
492 ACC becomes much denser than that north of the ACC (not shown here), significantly  
493 increasing the Drake Passage through-flow, i.e. the volume transport of ACC, by about 20 %  
494 to 223.7 Sv, in the latter half of the SW20 experiment. When open-ocean polynyas exist and  
495 open-ocean convection is most pronounced, the strength of the ACC reaches a maximum of  
496 245.5 Sv. Since the 100-year integration time of SW20 is too short to evaluate changes  
497 associated with the Atlantic MOC, we do not discuss it in this study.

498           The slight intensification of SH westerlies in the SW20 experiment appeared to play  
499 a critical role in triggering the Weddell polynya and open-ocean deep convection. It should be  
500 accompanied with the Weddell Sea adjusting to the relatively weak SH westerlies during the  
501 prolonged negative phase of the SAM between 1954 and 1974. As previously discussed in  
502 connection with Fig. 1, the effective atmosphere-to-ocean salt flux due to drier-than-normal  
503 atmospheric conditions, proposed by Gordon et al. (2007), will also play an important role in  
504 generating preconditions for Weddell polynyas during the prolonged negative SAM period.  
505 The results of SW20 discussed in this study not only satisfy the hypothesis of Gordon et al.  
506 (2007) but also provide another clue explaining why a persisting Weddell polynya has not  
507 occurred since the 1970s: there has not been a period to satisfy the prolonged negative phase  
508 of SAM followed by a sharp increase in SH westerlies since that time. The long-term  
509 response of the global ocean circulation to SW20 will be investigated in detail in a future  
510 paper. Moreover, further studies are necessary to assess the response of the SO sea-ice/ocean  
511 system to a more realistic change in the SH westerlies, e.g., SH westerlies gradually  
512 oscillating between strengthening and weakening and between poleward and equatorward  
513 shifts, or to actual wind stress data from a data assimilation model.

514

515

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517

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522



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668

669

670 **Figure captions**

671

672 **Fig.1** SAM time series based on SLP indices for various sectors of the SO. Yearly values are  
673 shown as the black line connecting annual values. The thicker gray line and gray patten  
674 denote the 5-yr low-pass-filtered data. This figure is quoted from Fig.4 of Gordon et al.  
675 (2007). The red character “A” is indicative of 1972 when the negative phase of the SAM  
676 reached its peak, and the blue character “B” is indicative of 1974 when the Weddell  
677 polynya first occurred.

678

679 **Fig.2** Mean zonal wind stress for CTRL (control case; solid) and SW20 (intensified SH  
680 westerlies’ case; short dashed lines).

681

682 **Fig.3** Zonal mean potential temperature and salinity in the Atlantic (60°W-10°W) for CTRL  
683 (20-year mean over 481 and 500) and observation (WOA 2006, Levitus).

684

685 **Fig.4** Horizontal distributions of the winter mean sea ice (a) concentration, (b) thickness, (c)  
686 sea surface height with sea ice drift, and (d) upper-ocean temperature ( $\geq 50$  m) for CTRL  
687 over the period of the last 20 years (481-500). Only the sea ice whose concentration is  
688 higher than 20 % is presented.

689

690 **Fig.5** Horizontal distributions of the winter mean (June, July, and August) sea ice  
691 concentration over the first 24 years of the SW20 integration.

692

693 **Fig.6** Horizontal distributions of the annual mean age of water at 4000 m depth over the first  
694 24 years of the SW20 integration.

695

696 **Fig.7** Time series of the maximum of winter-mean horizontal barotropic streamfunction in  
697 the Weddell Sea (black line with circle) and of the winter-mean AOW at 1000 m depth  
698 in the central Weddell Sea (black line with triangle). The former is indicative of the  
699 intensity of Weddell gyre and is averaged between 60°W and 20°E and between 80°S  
700 and 60°S, and the latter is averaged between 40°W and 10°W and between 75°S and  
701 65°S. The purple (blue) line is indicative of the time when the first (second) Weddell  
702 polynya occurs.

703

704 **Fig.8** Changes in the winter-mean (a) sea surface temperature, and (b) age of water at the 2<sup>nd</sup>  
705 model layer (15 m depth) over the first 6 years of the SW20 integration when the open-  
706 ocean polynya event occurs in the Weddell Sea. Note that age of water in the 2<sup>nd</sup> layer is  
707 shown because it is always set to 0 in the 1<sup>st</sup> layer.

708

709 **Fig.9** Meridional sections of zonal mean, winter-mean potential temperature (color shading)  
710 and zonally-integrated winter-mean meridional overturning (contours) between 45°W  
711 and 30°W for CTRL and the first 6 years of the SW20 integration. Positive lines are  
712 indicative of clockwise circulation, and their units are Sv. The black dotted line is  
713 indicative of the isotherm of -1.2°C.

714

715 **Fig.10** Changes in (a) winter-mean horizontal barotropic stream function and surface current,  
716 and (b) winter mean sea ice drift and its divergence over the same time period as Fig. 8.



717 A positive (negative) value in the sea ice divergence is indicative of a divergent  
718 (convergent) flow.

719

720 **Fig.11** Changes in the winter-mean (a) sea-ice-bottom surface melting energy, and (b) ice-to-  
721 ocean salt flux over the same time period as Fig. 8.

722

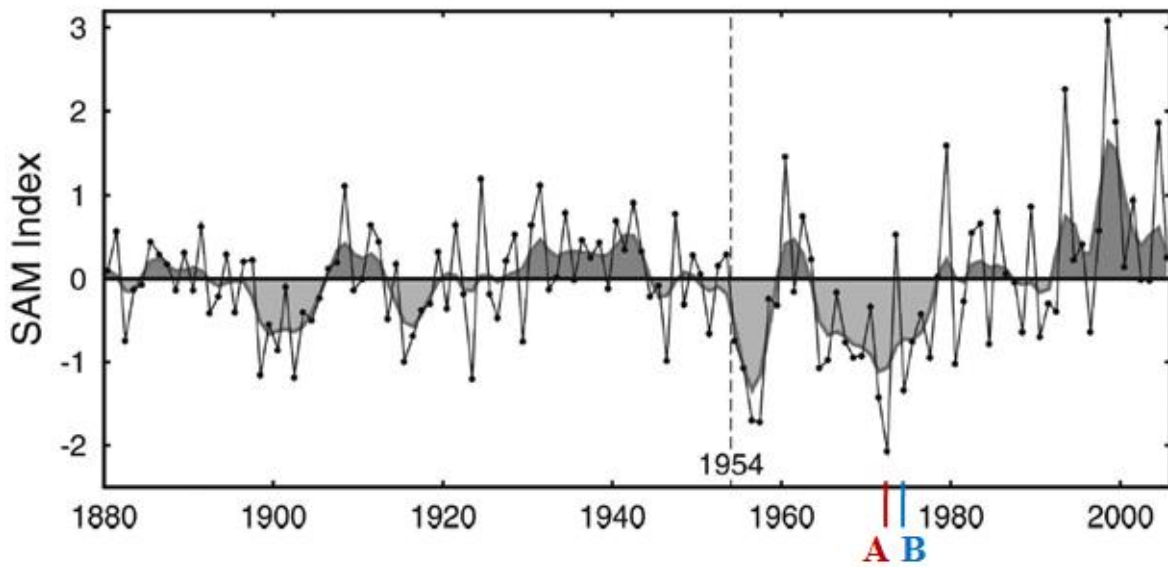
723 **Fig.12** Time series of winter-mean (a) sea surface temperature anomaly (black line with  
724 circle), (b) age of water at the 2<sup>nd</sup> layer (red line with triangle), and (c) sea ice  
725 concentration (green line with square), averaged between 40°W and 10°W and between  
726 75°S and 65°S, during the whole period of the SW20 integration. The purple (blue) line  
727 is indicative of the time when the first (second) Weddell polynya occurs.

728

729 **Fig. 13** Vertical profiles of winter-mean (a) potential temperature and (b) salinity, averaged  
730 between 40°W and 10°W and between 75°S and 65°S for the designated years. The black  
731 dashed lines are indicative of those averaged over the 81<sup>st</sup> to 100<sup>th</sup> years of the SW20  
732 simulation

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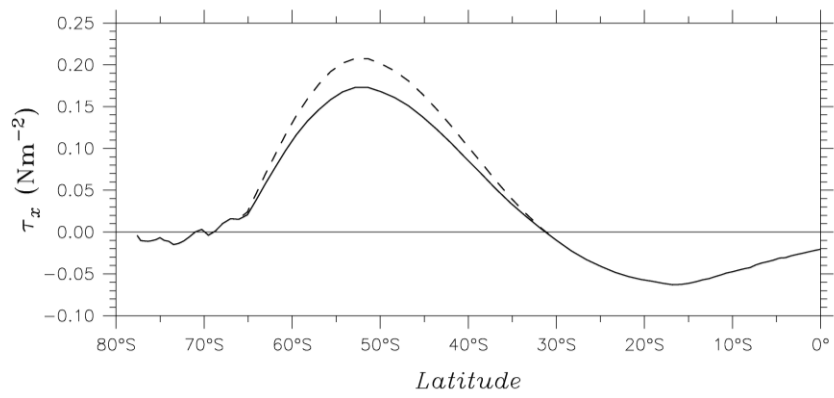


735

736 **Fig. 1** SAM time series based on SLP indices for various sectors of the SO. Yearly values are  
737 shown as black dots (connected by black lines). The thicker gray line and gray pattern  
738 denote the 5-yr low-pass-filtered data. This figure is reproduced from Fig.4 of Gordon et  
739 al. (2007). The red character “A” indicates 1972 when the negative phase of the SAM  
740 reached its peak, and the blue character “B” indicates 1974 when the Weddell polynya  
741 first occurred.

742

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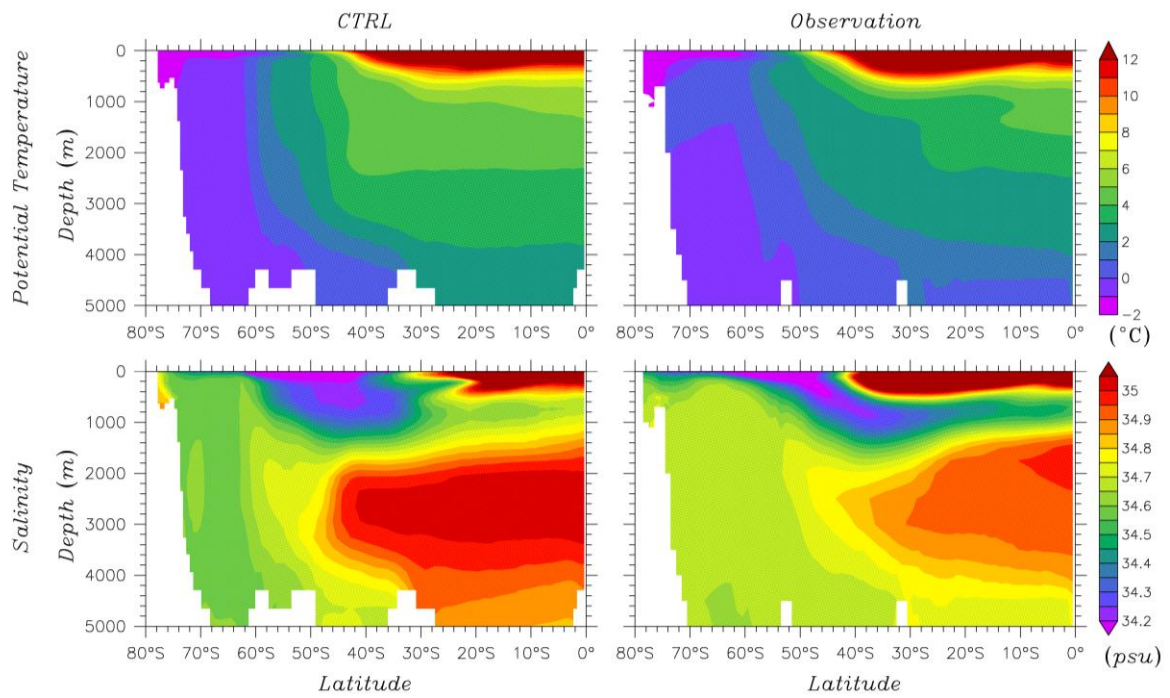


744

745 **Fig. 2** Mean zonal wind stress for CTRL (control case; solid) and SW20 (intensified SH  
746 westerlies' case; short dashed lines).

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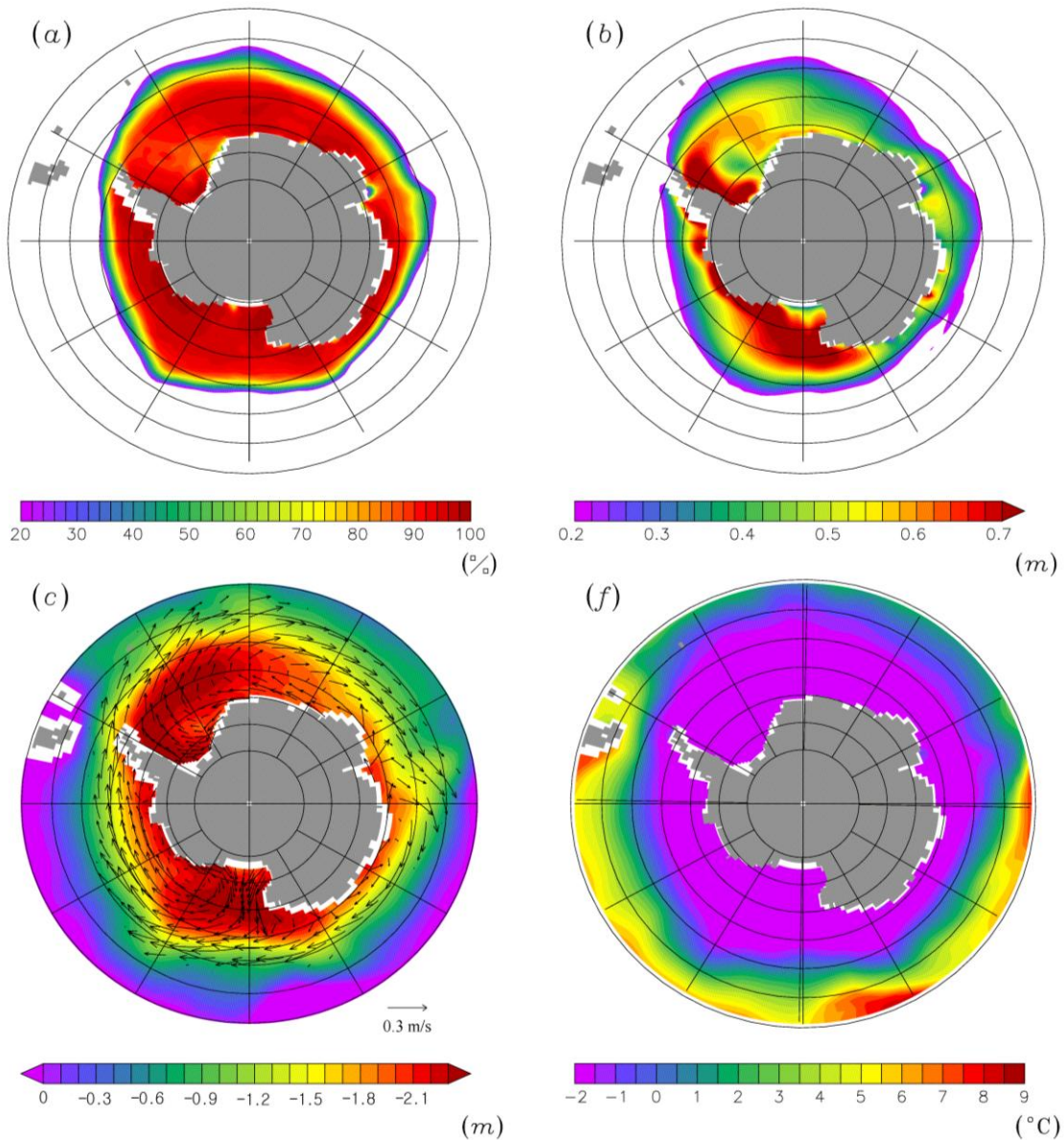
748



749

750 **Fig. 3** Zonal mean potential temperature and salinity in the Atlantic (60°W-10°W) for CTRL  
751 (20-year mean over years 481 to 500) and observations (Locarnini et al. 2006; Antonov  
752 et al. 2006).

753

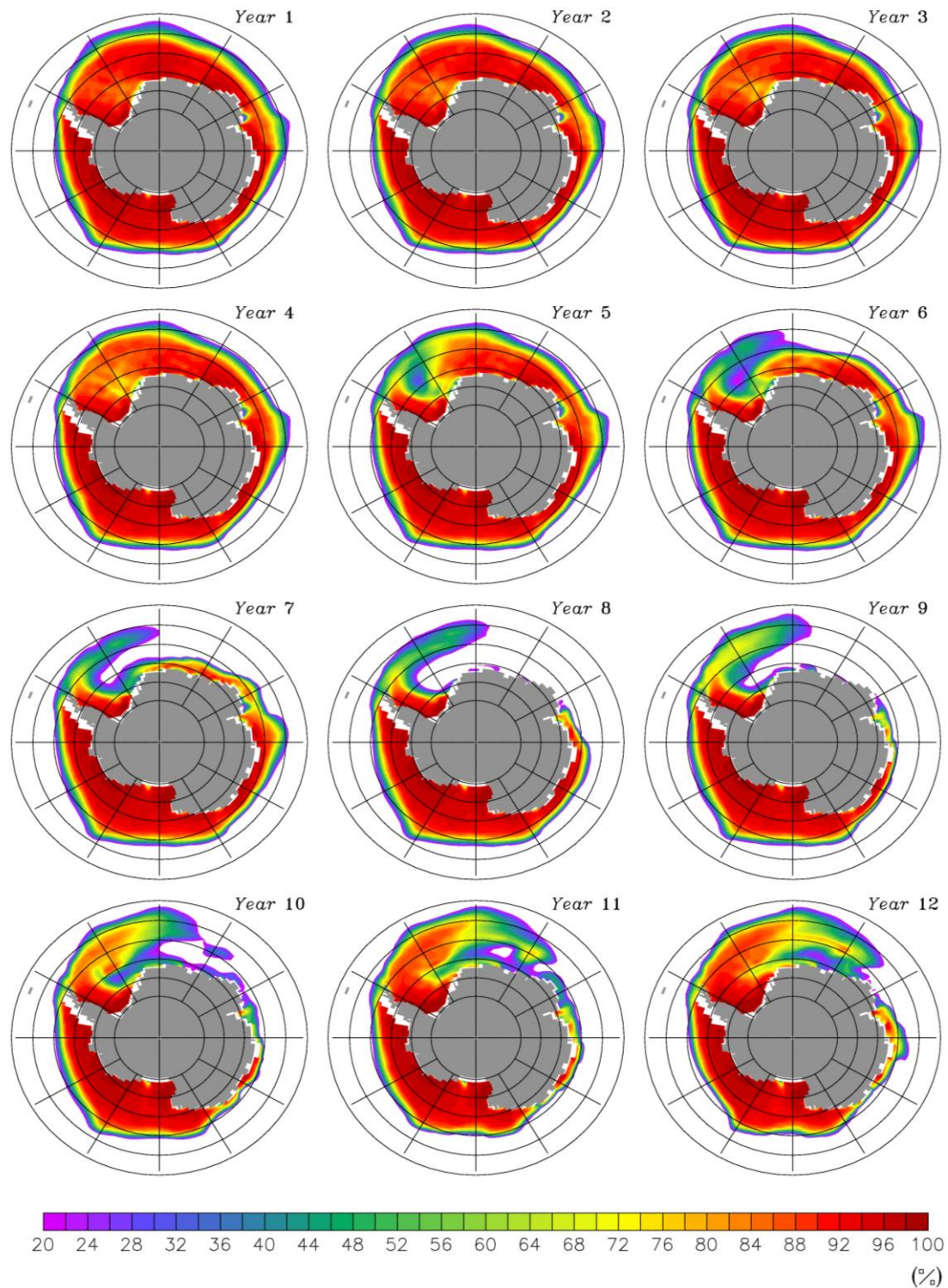


755

756 **Fig. 4** Horizontal distributions of the winter mean sea ice (a) concentration, (b) thickness, (c)  
 757 sea surface height with sea ice drift, and (d) upper-ocean temperature ( $\geq 50$  m) for CTRL  
 758 over the period of the last 20 years (481-500). Only the sea ice whose concentration is  
 759 higher than 20 % is presented.

760

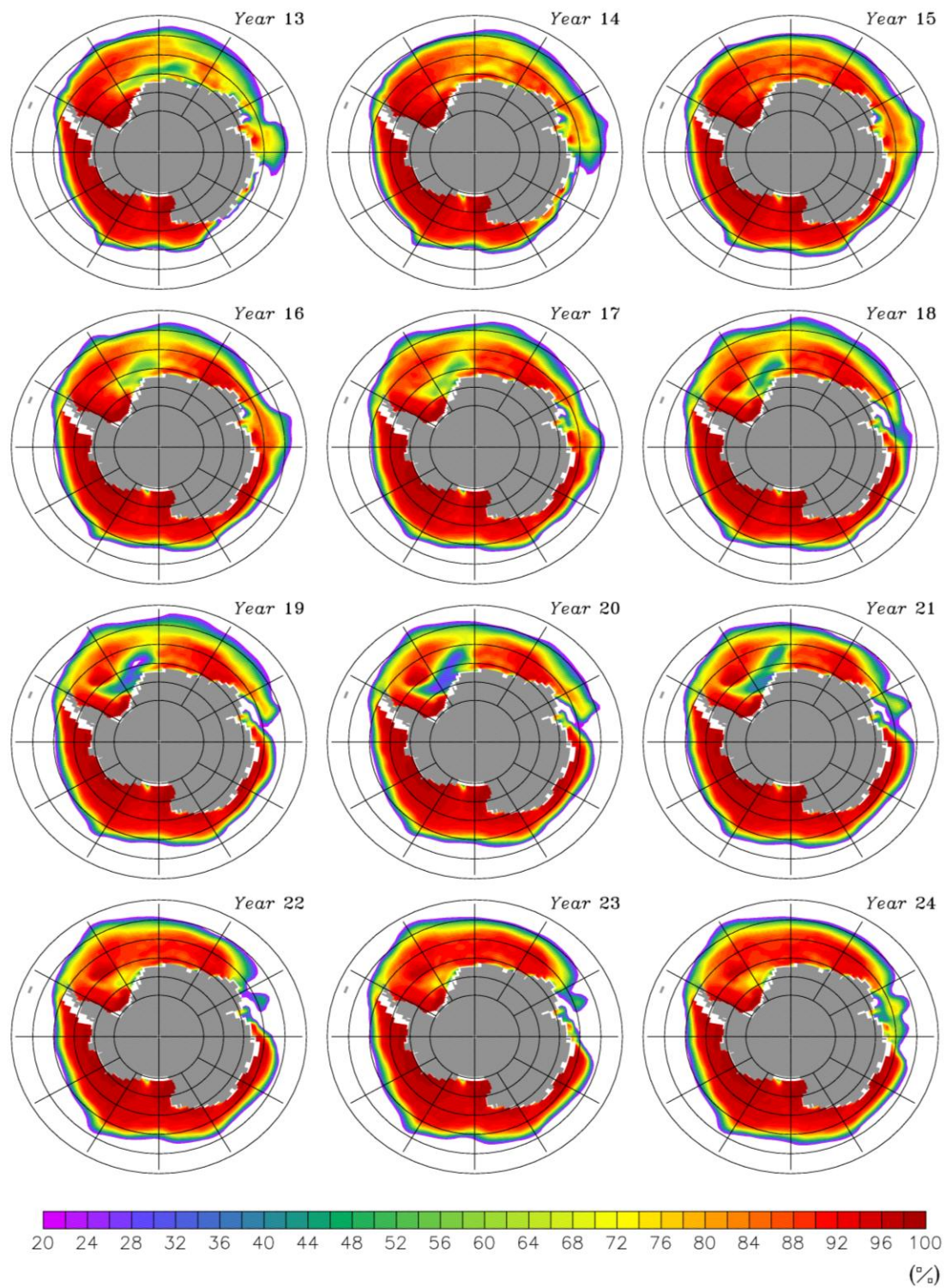




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763 **Fig. 5** Horizontal distributions of the winter mean (June, July, and August) sea ice  
 764 concentration over the first 24 years of the SW20 integration.

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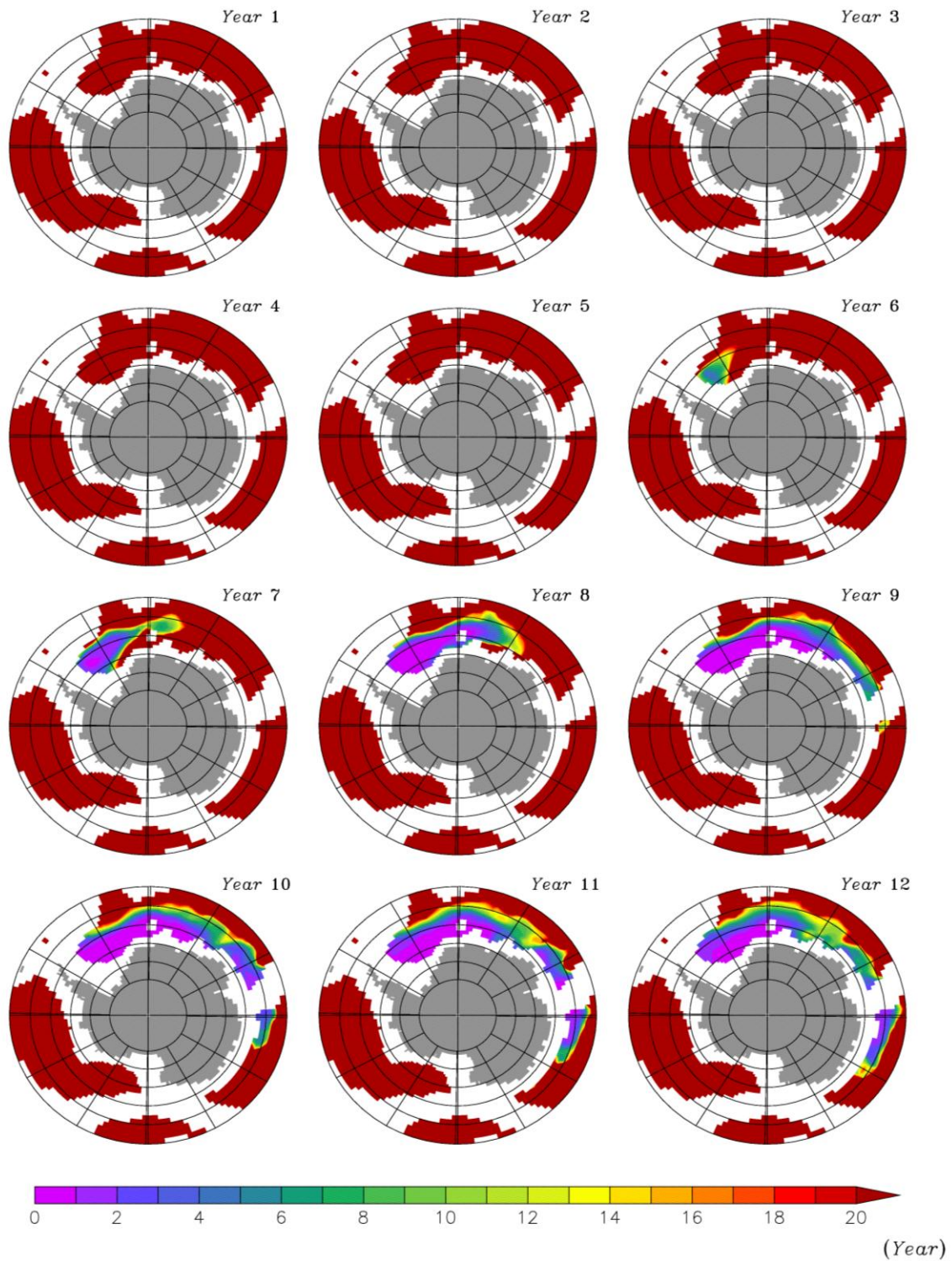


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**Fig. 5 Continued.**

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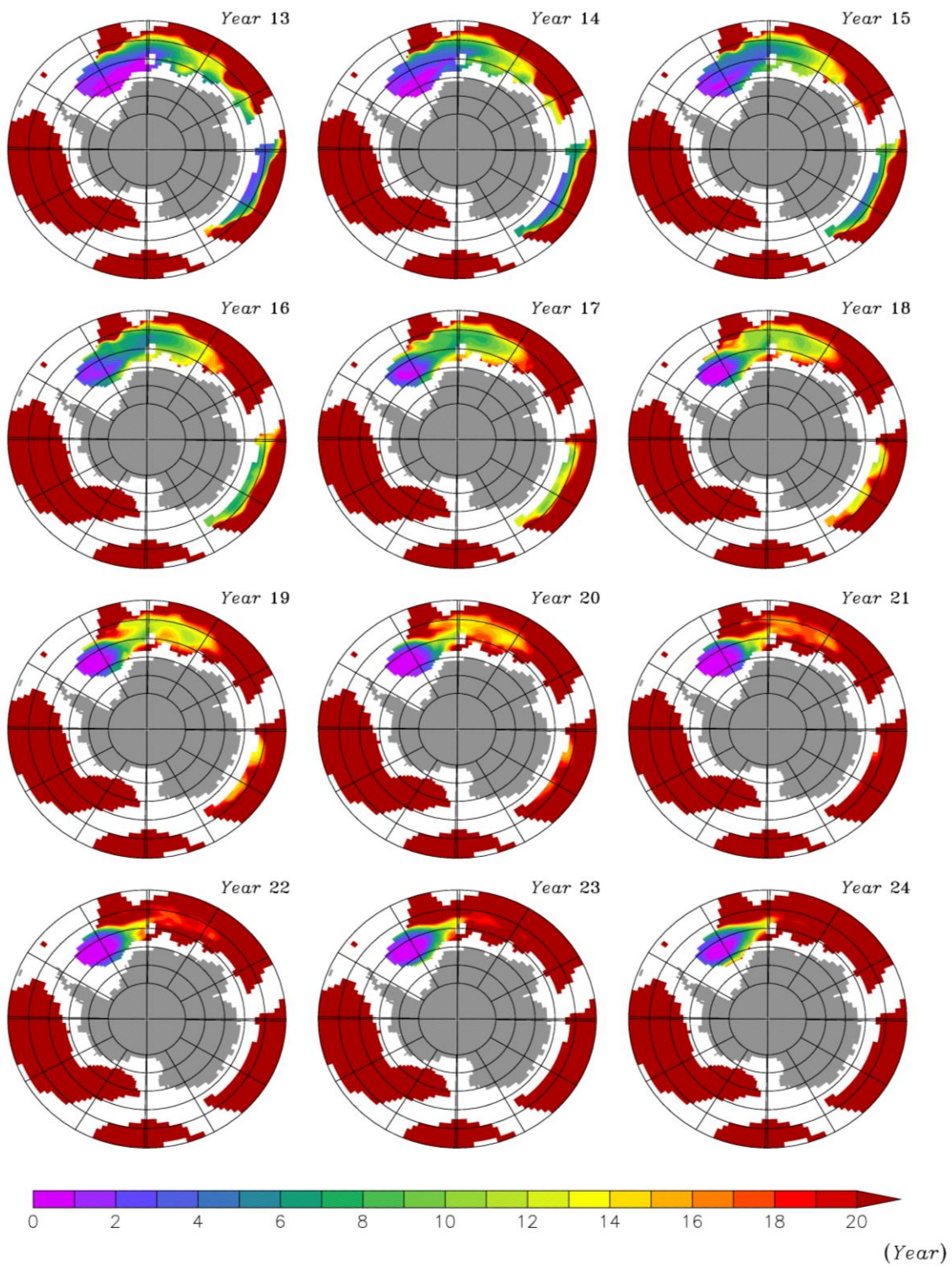
772 **Fig. 6** Horizontal distributions of the annual mean age of water at 4000 m depth over the first

773

24 years of the SW20 integration.

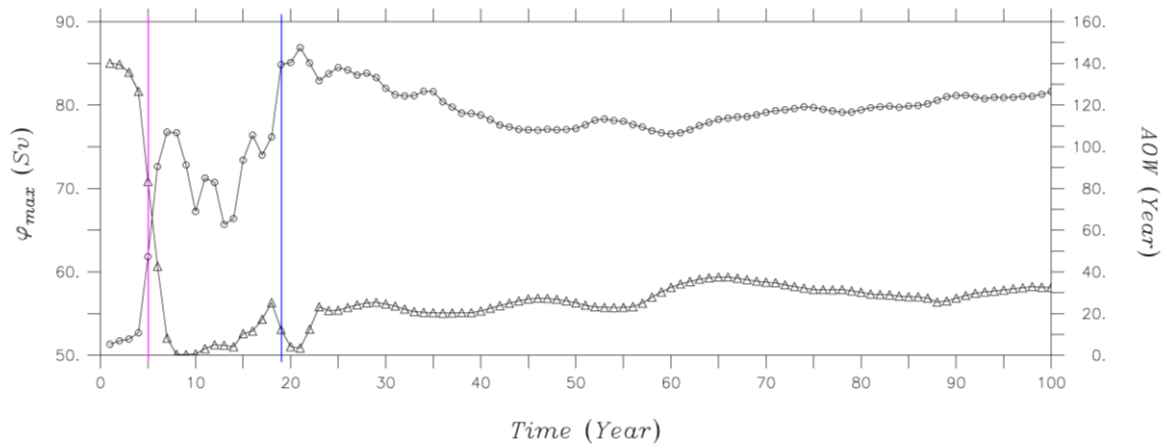
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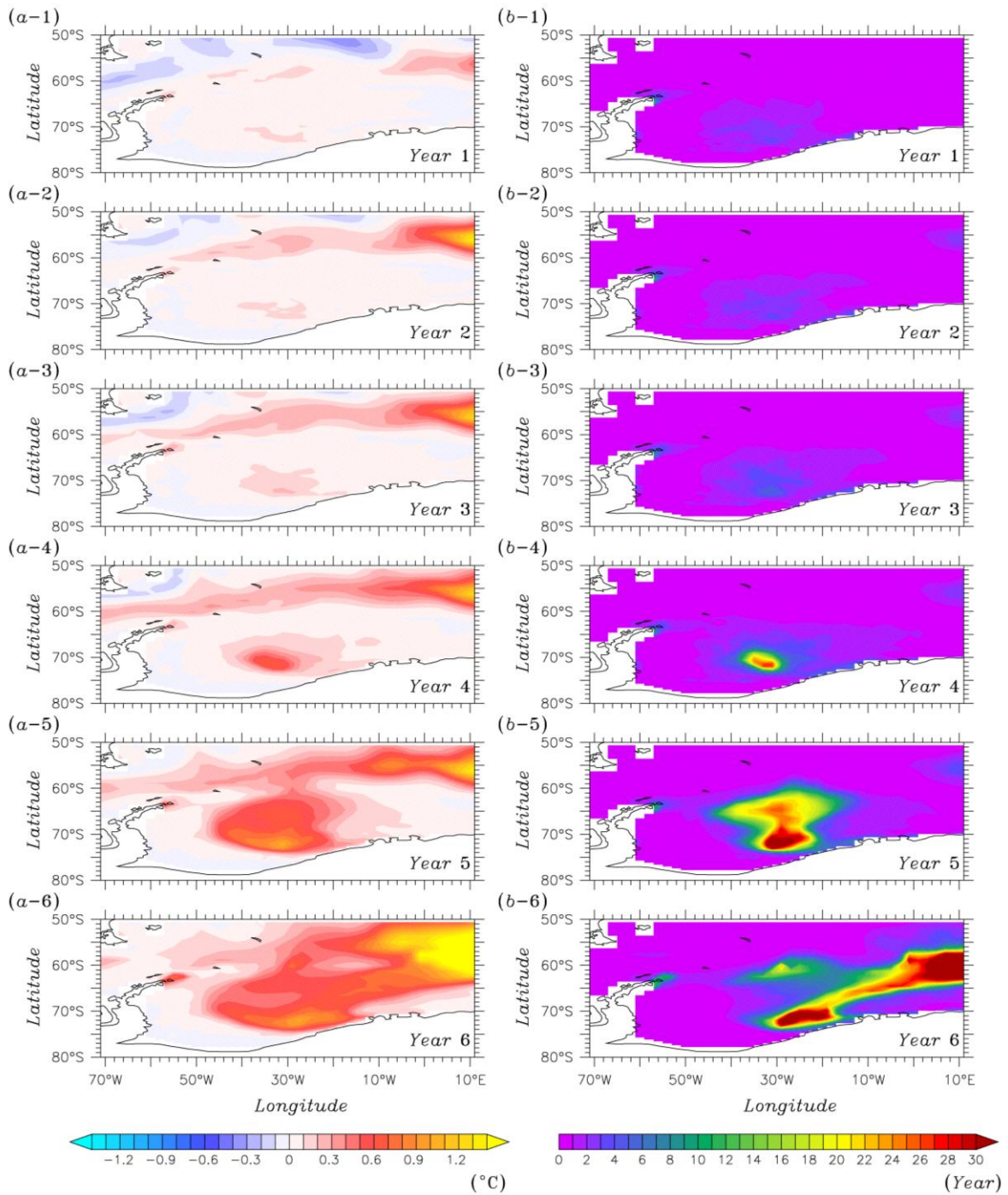
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**Fig.6** Continued



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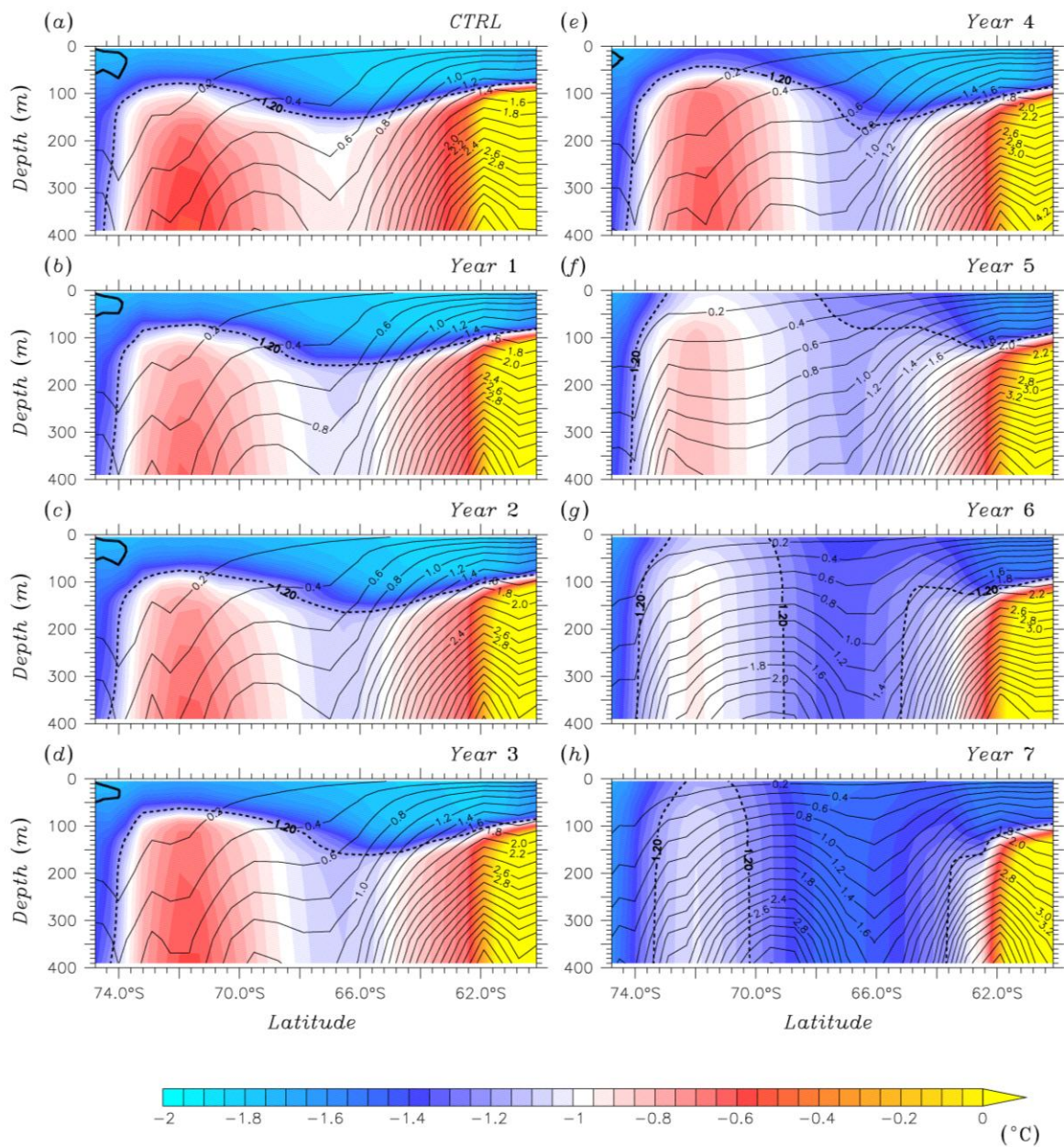
780 **Fig. 7** Time series of the maximum of winter-mean horizontal barotropic streamfunction in  
 781 the Weddell Sea (black line with circle) and of the winter-mean AOW at 1000 m depth in the  
 782 central Weddell Sea (black line with triangle). The former is indicative of the intensity of  
 783 Weddell gyre and is averaged between 60°W and 20°E and between 80°S and 60°S, and the  
 784 latter is averaged between 40°W and 10°W and between 75°S and 65°S. The purple (blue)  
 785 line is indicative of the time when the first (second) Weddell polynya occurs.



787

788 **Fig. 8** Changes in the winter-mean (a) sea surface temperature, and (b) age of water at the 2<sup>nd</sup>  
 789 model layer (15 m depth) over the first 6 years of the SW20 integration when the open-  
 790 ocean polynya event occurs in the Weddell Sea. Note that age of water in the 2<sup>nd</sup> layer is  
 791 shown because it is always set to 0 in the 1<sup>st</sup> layer.





793

794 **Fig. 9** Meridional sections of zonal mean, winter-mean potential temperature (color shading)

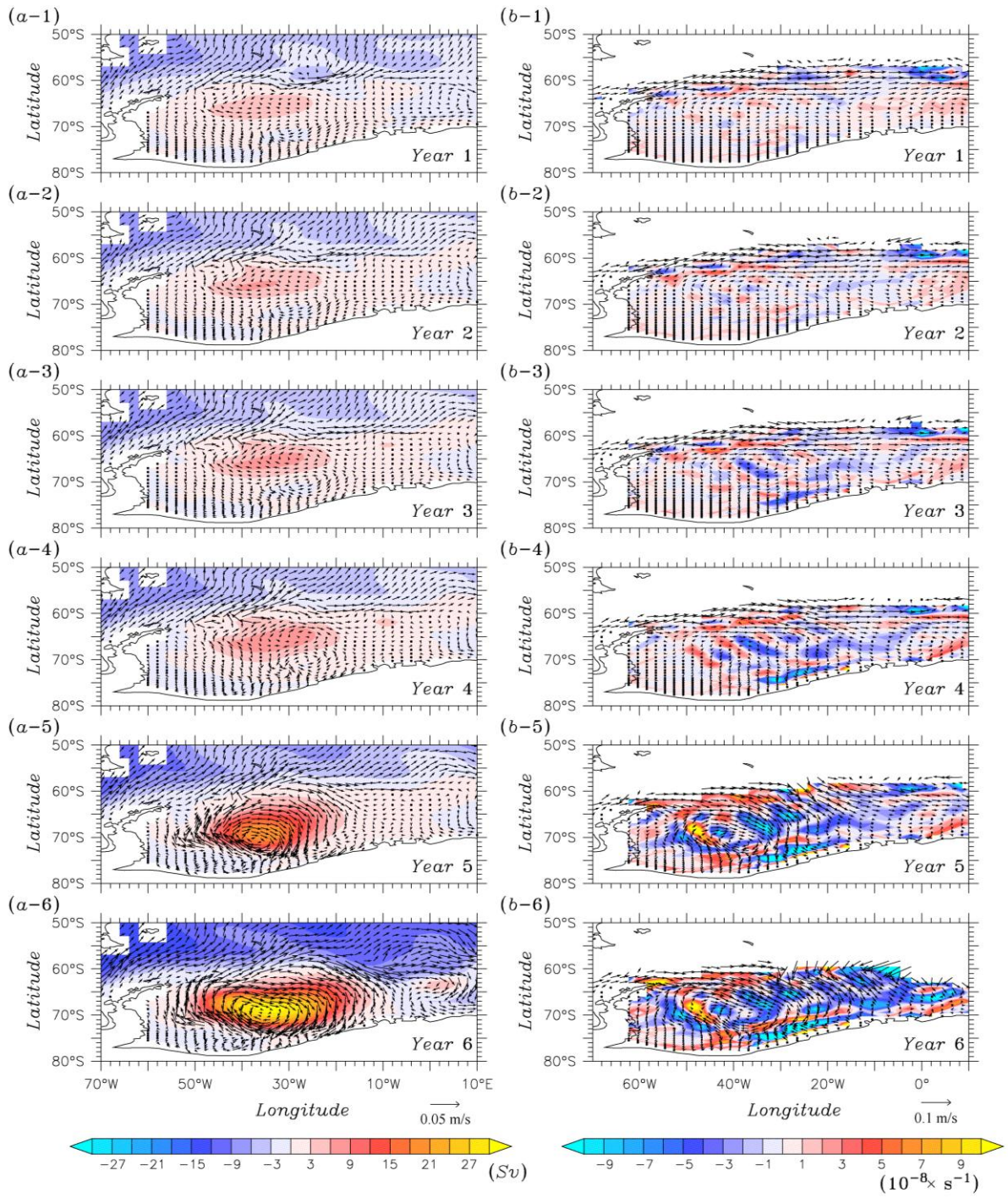
795 and zonally-integrated winter-mean meridional overturning (contours) between 45°W

796 and 30°W for CTRL and the first 6 years of the SW20 integration. Positive lines are

797 indicative of clockwise circulation, and their units are Sv. The black dotted line is

798 indicative of the isotherm of -1.2°C.

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**Fig. 10** Changes in (a) winter-mean horizontal barotropic stream function and surface current, and (b) winter mean sea ice drift and its divergence over the same time period as Fig. 8.

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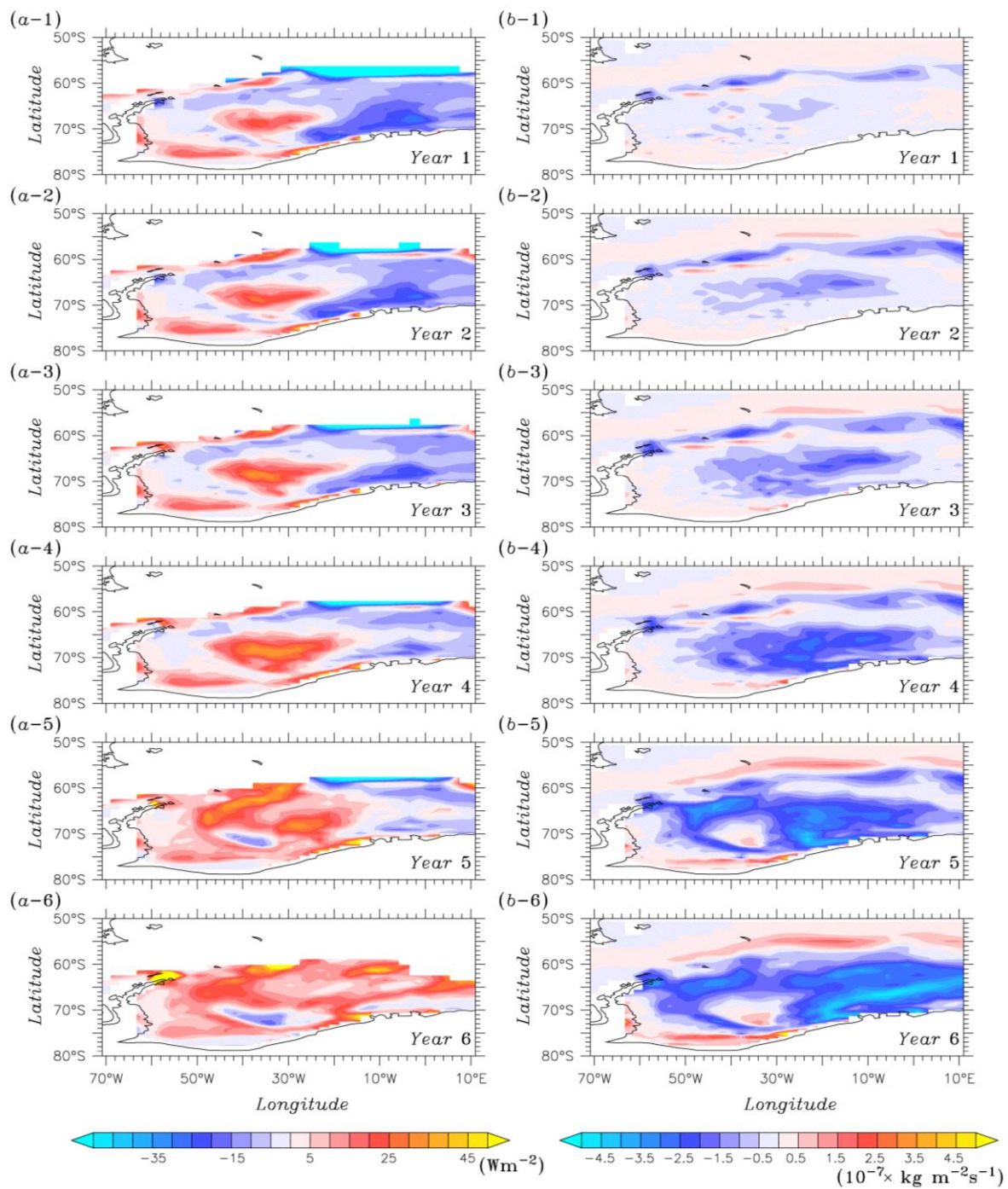
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A positive (negative) value in the sea ice divergence is indicative of a divergent

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(convergent) flow.



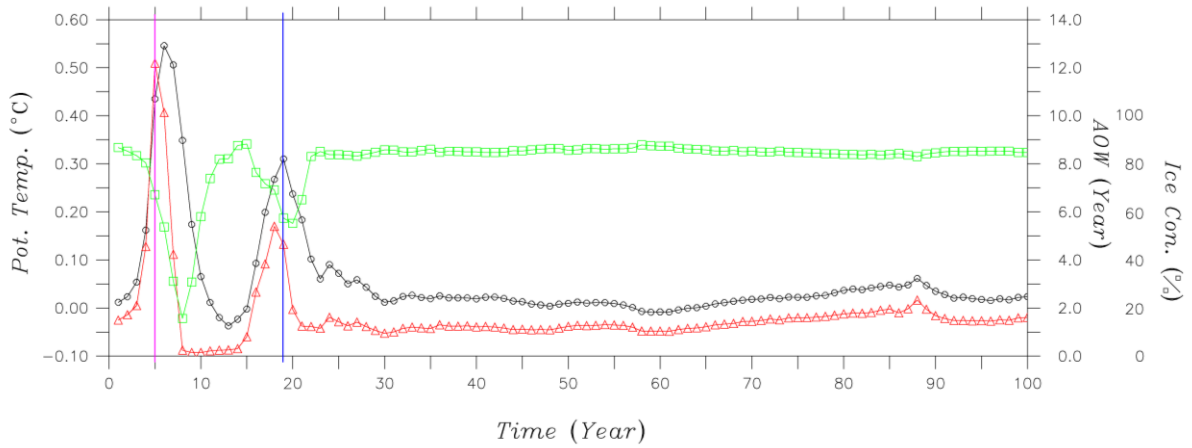


807

808 **Fig. 11** Changes in the winter-mean (a) sea-ice-bottom surface melting energy, and (b) ice-to-  
 809 ocean salt flux over the same time period as Fig. 8.

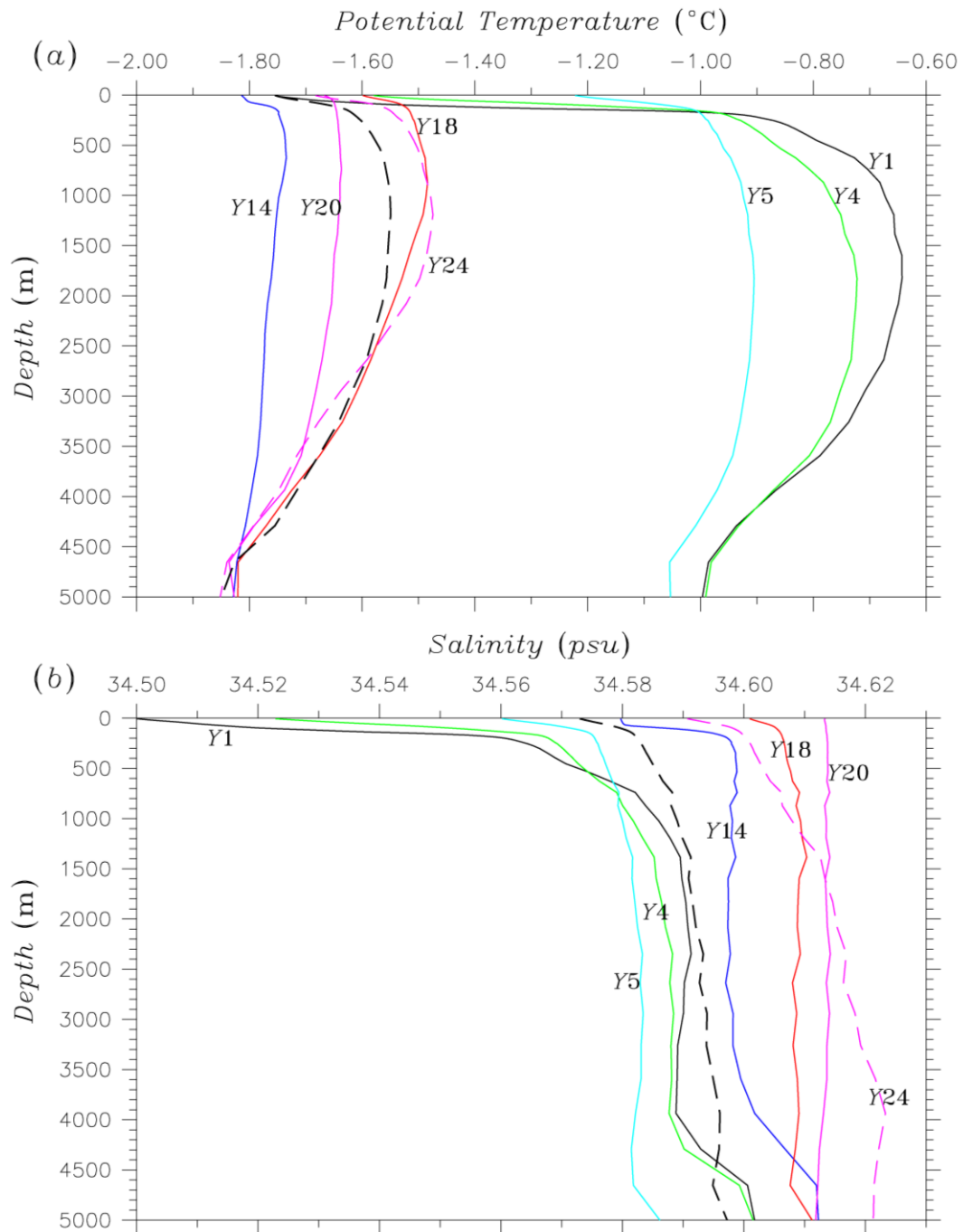
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812

813 **Fig. 12** Time series of winter-mean (a) sea surface temperature anomaly (black line with  
814 circle), (b) age of water at the 2<sup>nd</sup> layer (red line with triangle), and (c) sea ice  
815 concentration (green line with square), averaged between 40°W and 10°W and between  
816 75°S and 65°S, during the whole period of the SW20 integration. The purple (blue) line  
817 is indicative of the time when the first (second) Weddell polynya occurs.



819

820 **Fig. 13** Vertical profiles of winter-mean (a) potential temperature and (b) salinity, averaged  
 821 between  $40^{\circ}\text{W}$  and  $10^{\circ}\text{W}$  and between  $75^{\circ}\text{S}$  and  $65^{\circ}\text{S}$  for the designated years. The black  
 822 dashed lines are indicative of those averaged over the 81<sup>st</sup> to 100<sup>th</sup> years of the SW20  
 823 simulation