Interactive 3-D visual analysis of ~~ERA 5~~ ERA5 data: improving diagnostic indices for marine cold air outbreaks and polar lows

Marcel Meyer[1,3], Iuliia Polkova[2,3], Kameswar Rao Modali[1], Laura Schaffer[2], Johanna Baehr[2,3], Stephan Olbrich[1,3], and Marc Rautenhaus[1,3]

[1]Regional Computing Centre, Visual Data Analysis Group, Universität Hamburg, Germany
[2]Institute of Oceanography, Universität Hamburg, Germany
[3]Center for Earth System Research and Sustainability (CEN), Universität Hamburg, Germany

Correspondence: Marcel Meyer (marcel.meyer@uni-hamburg.de)

Abstract. ~~We inspect the~~ Recent advances in visual data analysis are well suited to gain insights into dynamical processes in the atmosphere. We apply novel methods for three-dimensional (3-D~~structure of~~) interactive visual data analysis to investigate Marine Cold Air Outbreaks (MCAOs) and Polar Lows (PLs) in the recently released ERA5 ~~data with the aim of improving~~ reanalysis data. Our study aims at revealing 3-D perspectives on MCAOs and PLs in ERA5 and at improving the diagnostic indices to capture these weather events in long-term assessments on seasonal and climatological time-scales. ~~For this study, we designed a workflow that starts with the interactive 3-D visual exploration of single MCAO and PL events, using~~ Using an extended version of the open-source visualization framework *Met.3D*, ~~followed by the design and statistical testing of new diagnostic indices in long-term assessments. Results from the interactive visual data exploration provide insights into the complex~~ we explore 3-D ~~shape~~ perspectives on the structure and dynamics of MCAOs and PLs ~~in ERA5 data~~ and relate these to previously used diagnostic indices. Motivated by the 3-D visual analysis of ~~single~~ selected MCAO and PL cases, we ~~extend widely-used diagnostics by conceptualizing a simple index to~~ conceptualize alternative index variants that capture the vertical extent of the lower-level instability induced by MCAOs and its distance to the dynamical tropopause. The new index variants are evaluated, along with previously used indices, with a focus on their skill as a proxy for the occurrence of PLs. Testing the association of diagnostic indices with observed PLs in the Barents and the Nordic Seas ~~(STARS data) shows that , the new MCAO index introduced here has an important advantage: it is a more skillful indicator for~~ for years 2002-2011 shows that the new index variants based on the vertical structure of cold air masses are more skillful in distinguishing the times and locations of PLs, compared with ~~previously used indices~~ conventional indices based on sea-air temperature difference only. We thus propose ~~the new index~~ using the new diagnostics for further analyses in ~~seasonal~~ climate predictions and climatological studies. The methods for ~~interactive 3-D~~ visual data analysis ~~presented~~ applied here are available as ~~a generic~~ an open-source tool ~~for investigating~~ and can be used generically for interactive 3-D visual analysis of atmospheric processes in ERA5 and other gridded meteorological data.

1 Introduction

Marine Cold Air Outbreaks (MCAOs) are transport events of cold air from sea-ice or snow-covered regions towards relatively warmer oceans ~~(Rasmussen, 1983; Kolstad and Bracegirdle, 2008; Gryschka, 2018; Polkova et al., 2021)~~(Rasmussen, 1983; Kolstad and B... Understanding MCAOs is relevant because they represent conditions favourable for extreme weather phenomena known as Polar Lows ~~(PLs) (Rasmussen, 1983; Ese et al., 1988; Kolstad, 2011; Michel et al., 2018).~~(PLs; Rasmussen, 1983; Ese et al., 1988; Kolstad, 2... PLs are intense mesoscale cyclones, which have been called "Arctic hurricanes" (Nordeng, 1992; Føre et al., 2012; Bracegirdle, 2012) ~~, because some of them exhibit similarities to tropical hurricanes, such as~~ due to similarities with tropical hurricanes including symmetric vortex-like cloud patterns. PLs in the Northern Hemisphere usually occur during winter and are characterized by strong winds, heavy precipitation and severe marine icing, which pose substantial risks to marine activities and ~~infrastructure (Aarnes et al., 2018).~~ infrastructures (Aarnes et al., 2018). Improving the understanding of MCAOs and their relation to PLs could improve marine services in the polar regions. In addition to representing ~~conducive conditions~~ conditions conducive for extreme weather, MCAOs are also important in the context of deep water formation as they contribute to cooling of the ocean surface (Papritz and Spengler, 2017). ~~In this study, we designed a workflow starting with interactive 3-D visual analysis of the ERA5 atmospheric reanalysis data for improving our understanding of MCAOs and PLs and the diagnostics used to capture these events in long-term studies.~~

~~Recent advances in meteorological modelling, visualization techniques and computational performance provide new means for the interactive exploration of 3-D features of weather phenomena in gridded meteorological data (Rautenhaus et al., 2018). The global reanalysis dataset ERA5 (in what follows referred to as ERA5), which has recently been released by the European Centre for Medium-Range Weather Forecast (ECMWF), is considered to be the most detailed and highest quality global climatological reanalysis data available (Hersbach et al., 2020; Copernicus Climate Change Service (C3S), 2017). The increased spatial and temporal resolution of ERA5, compared with its predecessors, allows for resolving many 3-D features of meteorological phenomena with a level of detail that was previously unattainable. Recent advances in techniques for visual data exploration, leveraging the increased computational power of GPUs, enable the interactive visual analysis (IVA) of 3-D atmospheric features in gridded meteorological data. Open-source visualization frameworks suited for meteorological applications include ParaView (Ayachit, 2015), Vapor (Clyne et al., 2007) and Met.3D (Rautenhaus et al., 2015b,a). In this study, we apply Met.3D, which offers the key advantage of enabling quick interactive 3-D data exploration, powered by GPU implementations of core visualization algorithms. In contrast to standard 2-D visualisations, interactive 3-D data exploration provides more realistic impressions, for example by sliding horizontal or vertical cross-sections through data volumes or by computing, on-the-fly, various 3-D isosurfaces that can be adapted interactively. Interactive exploration of meteorological data can help improving our understanding of meteorological phenomena as it allows analysing known data features in three dimensions, quickly investigating system dependencies, and, importantly, exploring unknown features for formulating new hypotheses in areas of active research.~~

55 ~~Characterizing MCAOs by simple diagnostic indices~~ To facilitate statistical statements about atmospheric processes in, e.g., climatological or in climate prediction studies, weather phenomena are commonly characterized by means of diagnostic indices that abstract a complex atmospheric structure into a simple numerical value. To define such indices for MCAOs and PLs, various interdependent factors need to be considered, and understanding the link between MCAOs and PLs ~~is~~ remains an area of active research ~~with relevance for improving seasonal predictions and climatological analyses. Various interdependent factors play a~~

60 ~~role in the genesis of MCAOs and PLs (Claud et al., 2007; Kolstad and Bracegirdle, 2008; Kolstad, 2011; Terpstra et al., 2016; Afargan-Ge~~ ~~MCAOs have been reported to be a necessary, but not a sufficient condition for the occurrence of PLs (Kolstad, 2011). However, a recent climatological study has not found a robust link between conventional cold air outbreak indices and the occurrence of polar mesoscale cyclones (Michel et al., 2018).~~ (Claud et al., 2007; Kolstad and Bracegirdle, 2008; Kolstad, 2011; Terpstra et al., 2016; Af... To diagnose MCAOs, most previous studies used an index that represents a simplified version of the Brunt-Väisälä frequency

65 for quantifying static stability, by considering only the sign of the vertical temperature gradient between potential skin temperature of the ocean and potential air temperature aloft (e.g., Papritz et al., 2015; Kolstad, 2017). The temperature gradient is termed MCAO index, where positive potential temperature difference between the ocean surface and the air aloft indicates vertical instability. ~~Conventional MCAO indices (Papritz et al., 2015; Kolstad, 2017; Polkova et al., 2019, 2021)~~ Previously used MCAO indices (Papritz et al., 2015; Kolstad, 2017) have the form

70 $$m_\theta = \theta_{\mathrm{skin}} - \theta_{850\mathrm{hPa}}, \tag{1}$$

or variations thereof (Kolstad et al., 2009; Fletcher et al., 2016; Papritz and Sodemann, 2018; Landgren et al., 2019), where θ_{skin} is the potential skin temperature (which is the sea surface potential temperature over the ocean), and $\theta_{850\mathrm{hPa}}$ is the potential air temperature at 850 hPa. Other related indices use the difference between the temperature at a certain height and the sea surface temperature (e.g., Zappa et al., 2014). In what follows, we will summarize the different variants of ~~previously-used~~ previously

75 used MCAO indices using the term ~~"conventional MCAO index"~~*conventional MCAO index* (to distinguish these from other metrics considered here). The vertical level at which air aloft is considered for calculation of the conventional MCAO index (850 hPa in Eq. 1) will be referred to as the *characteristic pressure level*.

The choice of the characteristic pressure level used for computing the conventional MCAO index varies substantially amongst
80 previous studies - from 500 hPa (Landgren et al., 2019), to 700 hPa (Kolstad et al., 2009), 800 hPa (Fletcher et al., 2016), 850 hPa ~~(Papritz et al. (2015); Kolstad (2017); Polkova et al. (2019, 2021)) and~~ (Papritz et al., 2015; Kolstad, 2017; Polkova et al., 2019, 2021) to 900 hPa (Papritz and Sodemann, 2018). Consequently, the magnitude of the MCAO index values, as well as the geographical extent of areas with positive ~~MCAO index values , differs~~ MCOA index values differ between studies, and a classification into weak, moderate and strong MCAO events requires adjustment accordingly. ~~The lack of consistency in the MCAO diagnostic,~~
85 ~~and the subjective choice of the characteristic pressure level at which the~~ For small variations of the characteristic pressure level, the effect on index values can be small if the pressure level is located inside of a particularly well-mixed layer with a fairly uniform vertical profile of potential air temperature~~aloft is considered , complicates comparison~~. However, large variations of the characteristic pressure level can have a substantial effect on index values. On the one hand, the variety of different

pressure levels considered in different previously used MCAO indices provide a diverse and valuable knowledge base, but on

90 the other hand it also complicates comparison and interpretation of results from different studies~~and poses questions about the robustness and the mechanistic interpretation of the index. For example, which~~. Open questions remain on the appropriate choice of a characteristic pressure level ~~is most appropriate in which geographical region and time of the year? Is there a link between areas with high index values and the occurrence of PLs? Is the projected~~ and the sensitivity of results to this choice (e.g., the frequency of occurrence of MCAOs in climatological assessments~~sensitive to details in the definition of the~~

95 ~~diagnostics used to measure MCAOs (such as , the choice of the characteristic pressure level)?~~). Since MCAOs have been reported to be a necessary, but not a sufficient condition for the occurrence of PLs (Kolstad, 2011), an open question is whether a diagnosed presence of MCAOs can be useful as a proxy for the occurrence of PLs. A recent climatological study finds a weak relation between MCAOs and the occurrence of polar mesoscale cyclones, including PLs (Michel et al., 2018). In this study, we investigate the effect of the choice of the characteristic pressure level for the MCAO index and the vertical structure

100 of MCAOs in relation to PLs. We develop and test alternative ~~diagnostic indices for MCAOs and PLs, which~~ indices that do not rely on ~~the subjective~~ a subjective element in the choice of a characteristic pressure level, but instead ~~measure key aspects of~~ take into account the vertical structure of MCAOs and PLs. We quantify the link between ~~these~~ MCAO indices and the time and location of observed PLs and propose a simple method for determining the characteristic pressure level that maximizes the link to observed PLs.

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~~The following key questions are adressed: how can we interactively explore~~ For our analyses we make use of recently released reanalysis data and innovative methods for 3-dimensional (3-D~~features of meteorological phenomena, such as MCAOs and PLs, in~~) interactive visual analysis (IVA). The global reanalysis dataset ERA5 ~~data? Is the 3-D structure of MCAOs and PLs resolved in~~ (in the following referred to as ERA5~~? Can~~), recently released by the European Centre for Medium-Range Weather

110 Forecast (ECMWF), is considered to be the most detailed and highest quality global reanalysis data available (Hersbach et al., 2020; Copern The increased spatial and temporal resolution of ERA5, compared to its predecessors, along with its large temporal coverage, allows for both, 3-D analysis of mesoscale atmospheric phenomena during single weather events and statistical analysis over multiple decades. Recent advances in graphics hardware along with innovative methods for visual data analysis facilitate the interactive 3-D visual ~~data exploration help improving widely-used conventional MCAO indices, by motivating adaptations,~~

115 ~~new perspectives and options for improvements? In the first part of~~ exploration of ERA5 and other gridded meteorological data. Rautenhaus et al. (2018) provide a comprehensive overview of methods and potential benefits. Examples of 3-D IVA include supercell tornados (Orf et al., 2017), jet-stream core lines (Kern et al., 2018), and synoptic-scale fronts (Kern et al., 2019). 3-D IVA provides more comprehensive impressions and can help improving our understanding of meteorological phenomena, for example by rapid visual investigation of dynamical processes and by exploration of unknown features for formulating new

120 hypotheses. Despite novel 3-D visualization being available in several frameworks (open-source examples include *ParaView* (Ayachit, 2015), *Vapor* (Li et al., 2019) and *Met.3D* (Rautenhaus et al., 2015b,a)), meteorological studies are still mainly conducted by means of visualizing static 2-D slices. Rautenhaus et al. (2018) discuss reasons for the slow uptake of modern visualization methods in the atmospheric sciences, including usability aspects as well as too few studies in the atmospheric community

that demonstrate the potential benefits to be gained from, e.g., 3-D IVA. In this study, we extend and apply the open-source interactive visualization framework *Met.3D* (Rautenhaus et al., 2015b,a) ~~, a tool for interactive 3-dimensional visual analysis of gridded meteorological data, for case-studies~~ for interactive 3-D investigation of the structure of MCAOs and PLs ~~. Based on insights from our interactive visual data analysis, we develop new diagnostic indices for~~ as represented in ERA5. We investigate to which level of detail the 3-D structure of MCAOs and PLs ~~. In the second part of this study, we test these new indices by comparison with empirical data~~ is resolved in ERA5, demonstrate the potential of 3-D IVA as a tool to understand atmospheric processes, and use insights from 3-D IVA as inspiration for conceptualizing improvements to existing MCAO and PL indices.

The objectives for this study are (a) to obtain a 3-D perspective on the structure and dynamics of MCAOs and PLs, (b) to relate the 3-D structure to previously used diagnostic indices for representing these weather events on seasonal and climatological time-scales, and (c) to evaluate diagnostic indices in the context of observed PLs ~~during years 2002-2011 in the Barents and the Nordic Seas from the STARS data set (Noer et al., 2011; STARS - data, 2013).~~ for the main purpose of testing if these indices could serve as proxies for PLs. The article is structured as follows. Sect. 2 describes the data, the visual analysis setup, the candidates for improved indices and the methodology to evaluate these. In Sect. 3 we illustrate insights gained from the 3-D visual analysis and describe the evaluation of diagnostic indices. The article is concluded in Sect. 4.

2 Data and Methods

~~We designed a workflow starting with interactive 3-dimensional~~ Our analysis starts with the interactive 3-D visual exploration of selected cases of MCAOs and PLs ~~, followed by the development and testing of new diagnostic indices for characterizing MCAOs and PLs (see Fig. ?? for a summary of our workflow). The study was conducted in three steps: (1) develop and apply new methods for IVA of~~ in ERA5 ~~to explore single cases of MCAOs and PLs~~ (Sect. ~~2.2 and Sect. ??); (2)use insights from IVA of MCAOs and PLs for conceptualizing improved diagnostic indices for MCAOs~~ 2.1 and 2.2). Subsequently, we conceptualize alternative diagnostic indices (Sect. 2.3) ~~; (3) evaluate the~~ using insights from the 3-D IVA as inspiration. The performance of the new indices ~~,~~ is tested in comparison with conventional ~~indices,~~ MCAO indices by assessing associations with observed PLs (Sect. 2.4).

~~**Summary of the workflow**. We include 3-D interactive visual data analysis (IVA) into a workflow that bridges the gap between single case analyses and long-term assessments on seasonal to climatological time-scales. The following steps of analysis were conducted: (1) develop and apply new methods for IVA of ERA5 data to explore single cases of MCAOs and PLs (see Sect. 2.2 and Sect. ??); (2) use insights from IVA of MCAOs and PLs for conceptualizing improved diagnostic indices for MCAOs and PLs (see Sect. 2.3); (3) evaluate performance of diagnostic indices by comparison with observed PLs (see Sect. 2.4).~~

2.1 ~~Develop new methods for IVA of~~ ERA5 data

155 ~~Our case-studies involving the development and application of methods for interactive visual analysis of MCAOs and PLs~~ ~~in ERA5 data confirm the usefulness of the visualization tool~~ *~~Met.3D~~* ~~(Rautenhaus et al., 2015b,a) for 3-D IVA of ERA5. The~~ ~~current release (v1.7)of~~ *~~Met.3D~~*~~, along with a set of sample scripts for download and post-processing of ERA5 data to the format~~ ~~required by~~ *~~Met.3D~~* ~~provide a toolset that can be used generically for 3-dimensional IVA of atmospheric phenomena in~~ Our analyses are based on the recently released ECMWF ERA5 ~~(Met.3D - Homepage, 2021; Met.3D - Documentation, 2021; Met.3D - Docum~~

160 *~~Met.3D~~* ~~is a visualization tool with a graphical user interface~~ reanalysis, with a spatial resolution of approximately 31 km horizontally, 137 vertical model levels, 37 pressure levels, and hourly temporal resolution (Hersbach et al., 2020; Copernicus Climate Chang We analyse data covering the time-interval 2002-2011, which is chosen to cover the times of observed PLs in the STARS data (Sect. 2.4). For use with Met.3D, data is regridded to a regular longitude-latitude grid as well as to a polar stereographic projection. In the vertical, all model levels are retained.

165 ## 2.2 Interactive visual analysis of ERA5 with Met.3D

Met.3D is a meteorology-specific 3-D visualization framework that provides the user with various methods for ~~interactive~~ ~~visual analysis~~ IVA of gridded meteorological ~~simulation~~ data (Rautenhaus et al., 2015b,a). ~~Examples of available interactive~~ ~~visualization methods include sliding horizontal and~~ The framework focuses on interactive rapid exploration of the 3-D atmosphere and on uncertainty represented by ensemble simulations. It is designed to bridge the gap between 2-D visualizations

170 (including horizontal maps, vertical cross-sections~~through data volumes, on-the-fly computation of 3-D isosurfaces~~, ~~flow~~ ~~visualization techniques (streamlines and pathlines) , as well as methods for ensemble-analyses.~~ *~~Met.3D~~* ~~is implemented in~~ ~~C++ and OpenGL with a focus on interactive useability, i.e.it has the capacity for user-defined, flexible and quick visual~~ ~~data exploration~~vertical profiles), 3-D visualizations (including isosurfaces, direct volume rendering, 3-D streamlines and trajectories) and novel feature-based displays (Kern et al., 2018, 2019). All visualization techniques can be combined in an

175 interactive setup, so that benefit can be gained from augmenting, e.g., traditional 2-D map views by corresponding 3-D perspectives. As part of this study, we ~~extend~~ *~~Met.3D~~* ~~by implementing~~ update Met.3D by extending it with implementations of two new features ~~, of~~ with relevance to the ~~IVA of ERA5 with particular focus on~~ analysis of MCAOs and PLs in ERA5 data: (i) support for ~~processing~~ visualizing polar stereographic data, as well as other common map projections; (ii) on-the-fly compu-tation of ~~widely-used~~ MCAO indices on user-defined vertical levels for visual assessment of the sensitivity to the choice of the

180 characteristic pressure level in conventional MCAO indices. The current release (v1.7) of Met.3D can be used generically for 3-D IVA of atmospheric phenomena in ERA5 (Met.3D - Homepage, 2021; Met.3D - Documentation, 2021; Met.3D - Documentation ERA other gridded meteorological datasets.

2.3 ~~Apply methods for IVA of ERA5 to MCAOs and PLs~~

185 ~~Case-studies involving interactive~~ We apply Met.3D to investigate 3-D ~~visual data analysis using~~ *~~Met.3D~~* ~~were conducted~~ ~~for investigating~~ features of MCAOs and PLs in ERA5. ~~During the initial phase of our workflow, we selected~~ For the initial explorative phase of the investigation, a set of ~~different exemplar cases for interactive 3-D visual analysis,~~ exemplary cases were

selected based on previous ~~reports~~ studies (Kolstad, 2011; Føre et al., 2012; Bracegirdle, 2012) about strong MCAO events and symmetric PLs (e.g., the case on Dec. 18, 2002 in Fig. 1 and 2). After the ~~climatological analysis~~statistical evaluation of

190 new index variants (Sect. 2.4), we conducted additional interactive visual analyses ~~in selected cases, for which the location~~ for one exemplar event characterized by an overlap of PL occurrence ~~overlaps with the location of the highest MCAO index values (e.g.~~ with high values of the new MCAO index (the case on Mar. 24, 2011 in Fig. 1 and 2). The following ~~methods for explorative interactive visual analysis~~ exploratory visualization methods were used to study the ERA5 ~~during the times of selected MCAO and PL events: sliding~~ atmosphere: interactive sliding of 2-D horizontal and vertical cross-sections through

195 ~~data volumes~~the 3-D atmosphere, exploration of the shape and location of 3-D isosurfaces of ~~various data variables~~ selected variables including potential temperature and wind speed, direct volume rendering ~~for inspecting cloud water and ice~~ to inspect cloud liquid and ice water, computation of ~~vector glyphs and~~ 3-D streamlines of wind fields.

~~Our analyses are based on the recently released ECMWF's ERA5 reanalysis data with a spatial resolution of approximately 31 km horizontally, 137 vertical model levels, 37 pressure levels, and a hourly temporal resolution (Hersbach et al., 2020; Copernicus Clima~~

200 ~~We analyse data covering the time-interval 2002-2011, which is chosen to cover the times of observed PLs in the STARS data (Sect. 2.4). For the main part of our analyses, we use data from the ERA5 archive hosted at the German Climate Computing Center (copy of the original ERA5 archive; a total of 1.3 petabyte (DKRZ, 2020)). Additionally, we downloaded samples of data directly from the ECMWF for comparison and test of workflows (Copernicus Climate Change Service (C3S), 2017). The ERA5 data is remapped to a regular latitude-longitude grid using the Climate Data Operators (CDO) (Schulzweida, 2020), as~~

205 *~~Met.3D~~* ~~requires a regularly spaced horizontal grid. The remapping of ERA5 was conducted on~~ *~~Mistral~~*~~, the super-computer at the DKRZ. The remapped data was transferred to the regional computing center for visual data analysis of single cases.~~ ~~During the first~~ During the initial phase of the visual case-analyses, we explored >10 ERA5 variables on a large geographical ~~sub-domain~~ domain (all longitudes; northern latitudes in the interval 25-90°; grid-dimension in lat-lon-height: 261×1441×137) for several cases of MCAOs and PLs to ~~gain a first understanding, including~~ obtain a picture of the large-scale ~~phenomena~~atmospheric

210 situation. During the second phase, we visually analysed single cases of MCAOs and PLs in more detail by inspecting ERA5 ~~data~~ variables (*t, pv, u, v, w, z, q, cc, ciwc, clwc*) on a smaller grid (440×440×137) with polar stereographic projection covering the Barents and the Nordic Seas. ~~A total of around 3 TB of ERA5 data was probed by means of manual selection and visual data exploration. For interactive visual analysis in~~ *~~Met.3D~~* ~~all data that is rendered into a 3-D scene has to fit into the memory of a single GPU. New data is loaded on demand, when selecting new variables or manually~~

215 ~~stepping through time. For the visual data analysis, we used a NVIDIDA Tesla T4 GPU in a vGPU setup with a global memory of 8 GB. Sample scripts for download and post-processing of ERA5 to the format required by~~ *~~Met.3D~~* ~~are available (Met.3D - Documentation, 2021; Met.3D - Documentation ERA5, 2021).~~ More technical details are given in Appendix A.

2.3 ~~**Use insights from IVA of MCAOs and PLs for conceptualizing improved diagnostic indices**~~

2.3 **New indices for MCAOs and PLs**

Conventional MCAO indices have been calculated with a variety of different characteristic pressure levels, ranging from 500 to 900 hPa, at which air aloft is considered for calculation of the MCAO index (Landgren et al., 2019; Kolstad et al., 2009; Fletcher et al., 2016). For understanding the 3-D structure of MCAOs and the sensitivity of conventional MCAO indices to the choice of the characteristic pressure level, we have implemented a functionality in Met.3D that allows for IVA of the effect of varying the characteristic pressure level. For this purpose, we introduce a simple 3-D extension of conventional MCAO indices. We compute the temperature difference between the surface and each vertical pressure level, p, instead of considering only one particular characteristic pressure level, as was usually done in previous studies on MCAOs. That is, instead of the conventional MCAO index (Eq. 1), we compute its 3-D variant,

$$m_\theta^p = \theta_{\text{skin}} - \theta_p, \tag{2}$$

and use methods for interactive visual data exploration for its analysis (e.g. sliding a horizontal cross-section through all vertical levels, p, of m_θ^p). In a similar way, we implement in Met.3D the conventional MCAO index variants described in Kolstad and Bracegirdle (2008), Landgren et al. (2019), and Fletcher et al. (2016). Insights from the ~~visual data exploration are interpreted and~~ 3-D IVA (Sect. 3.1 and 3.2) are used as inspiration for ~~developing~~ conceptualizing improved diagnostic indices for ~~characterizing~~ capturing MCAOs and PLs. We summarize the definition of indices here and describe the results from the IVA in the results section. All indices used in this study are summarized in Table 1.

Two new diagnostic indices are introduced and tested: (i) the new MCAO index, and (ii) the new PL index. Put simply, the new MCAO index approximates the vertical extent (in what follows also termed "height") of MCAOs, and the new PL index measures the vertical distance between the upper boundary of MCAOs and the dynamical tropopause. These metrics are designed to address shortcomings in conventional indices (e.g., a subjective choice of pressure level and weak relation between MCAOs and PLs) by taking into account 3-D features of the atmospheric circulation, while remaining simple and computationally cheap, and hence feasible for use in further climatological studies that rely on processing of large amounts of data.

(i) The new MCAO index approximates the vertical extent of the lower-level instability induced by MCAOs (expressed as a pressure difference). It is calculated for each horizontal grid-cell and time-step (hourly in ERA5) as the pressure difference between the surface and the upper boundary of the lower-level instability caused by a MCAO,

$$m_p = p_0 - p^*, \tag{3}$$

where p_0 is defined here as the standard constant surface pressure 1013.25 hPa. For the computation of the upper boundary of the MCAO, p^*, we determine the pressure level at which the potential air temperature equals the potential skin temperature. The new MCAO index, m_p, is set to 0 in ~~seasonal and climatological assessments based on widely available global meteorological datasets. The formulation of a new index is one of the objectives of this study and will be presented in Section 3.2. Newly introduced indices are tested in comparison with the conventional MCAO index with respect to their performance in distinguishing~~

Name	Definition	Unit	Required dimension of input data
Conventional MCAO index	$m_\theta = \theta_{\text{skin}} - \theta_{850\text{hPa}}$	K	2-Dimensional
3-D variant of the conventional MCAO index	$m_\theta^p = \theta_{\text{skin}} - \theta_p$	K	3-Dimensional
Region-specific variant of the conventional MCAO index	$m_\theta^{\text{crit}} = \theta_{\text{skin}} - \theta_{p_{\text{crit}}}$	K	2-Dimensional
New MCAO index	$m_p = p_0 - p^*$	hPa	3-Dimensional
New Polar Low index	$m_{tr} = p^* - p_{tr}$	hPa	3-Dimensional

Table 1. Diagnostic indices for measuring MCAOs. The term "conventional MCAO index" summarizes previously used diagnostics that are based on the difference in potential temperature between the ocean surface and a fixed characteristic pressure level aloft, as, e.g., 850 hPa (Papritz et al., 2015; Kolstad, 2017; Polkova et al., 2021), or other levels (Kolstad et al., 2009; Fletcher et al., 2016; Papritz and Sodemann, 2018; Landgren et al., 2019). Details of the indices are given in the text (see Eq. 1, 2, and 7 for the conventional MCAO index, its 3-D variant and a region-specific variant obtained by fitting to data about observed PLs; see Eq. 3 and Eq. 4, for the new MCAO and Polar Low indices, respectively).

times and locations of PLsgrid-cells without lower-level instability. High index values of m_p correspond to high vertical extents of the instability region caused by MCAOs.

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(ii) The new polar low index measures the vertical distance between the lower-level instability induced by a MCAO and the dynamical tropopause. It is calculated for each horizontal grid-cell and time-step within the area of MCAOs ($m_p > 0$) as the pressure difference

$$m_{tr} = p^* - p_{tr}, \tag{4}$$

260 where p_{tr} (in hPa) is the pressure at the dynamical tropopause, which is defined by the 2 Potential Vorticity Unit (PVU) surface, and p^* is the pressure at the upper boundary of the MCAO. The new PL index decreases with decreasing distance between the dynamical tropopause and the lower-level instability and turns negative if the dynamical tropopause extends downwards into the lower-level instability induced by a MCAO.

2.4 ~~Evaluate performance of diagnostic~~ Evaluating the link between indices ~~by comparison with~~ and observed PLs

265 The conventional and the new ~~MCAO index were tested~~ indices are evaluated by comparison with observed PLs, as reported in the STARS dataset ~~(polar low tracks north) (STARS - data, 2013; Noer et al., 2011)~~(polar low tracks north, STARS - data, 2013; Noer et al The STARS dataset (~~in what follows~~ hereafter also referred to as STARS) contains 140 PLs observed during years 2002-2011 for the geographical region of the Barents and the Nordic ~~Sea~~Seas, including data about the times of PLs, the PL track and the approximate PL radius. For ~~each PL , we rasterize the data about the observed track and radius to obtain a~~ comparing

270 diagnostic indicators with observed PL data, we use a 2-D gridded representation of the ~~area of past PLs in the form of a 2-D binary grid covering the geographical domain of interest~~ STARS data. This is obtained by defining a geographical domain that covers the tracks of PLs (latitudes: 57°N - 83°N, longitudes: 20°E - 66°E~~; chosen to cover the track of all PLs in STARS)~~

where each grid-cell) and setting all grid-cells inside the area of observed PLs (track location plus radius) is set to one to 1 and all other grid-cells are set to zero. The binary data grid is compared with diagnostic index values to 0. Diagnostic index values are calculated for each grid-cell in the same geographical domain. For 8 PLs in STARS, the approximate radius is not reported. As we require the empirically observed radius for defining the empirically observed area of past observed PLs, we sort out these 8 entries to ensure a consistent empirical dataset with 132 reported PLs.

In addition to the 132 PL events, we also compute To investigate if the diagnostic indices for may be used to distinguish times and locations at risk for PL occurrence, it is important to not only analyse index values at times and locations when PLs have occurred, but also when no PLs have occurred. For that purpose, we calculate all diagnostics during a set of randomly selected "random pseudo-events", defined here as a time-interval of the same duration than . Pseudo-events are defined as hypothetical PL events with the same frequency, and the same temporal and spatial scale as the actual PL events observed in STARS. This provides an experimental setup for testing if diagnostic indices are able to distinguish actual from hypothetical PL events. The pseudo-events are defined as follows: (i) we compute the average duration of observed PLs , but during times when no PL was reported in STARS, track length and radius of all PLs reported in STARS; (ii) we randomly select times during October-March of all years 2002-2011 when no PLs occurred (according to STARS); (iii) we randomly define the genesis location of a pseudo-event somewhere in the geographical domain of interest over open waters; (iv) we compute the track of the pseudo-event by randomized directional increments until the average observed track length is reached; (v) we use the average radius of observed PLs to define the area of a pseudo-event around the randomly generated track. The diagnostic indices are calculated during these randomly chosen control times, for all random pseudo-events, which serve here as a control set for investigating the robustness of the relationship between diagnostic indices and PLs not only during times of Polar Lows but also observed PLs during "normal" weather conditions (randomly chosen days). We define 132 control events, the same number as observed PLs, by randomly selecting times during October-March of years 2002-2011, when no PLs occurred Two examples of randomly generated pseudo-events are illustrated in Appendix B, Fig. B1.

The performance of diagnostic indices for in distinguishing the time and location of occurrence of PLs is assessed by (i) visual analysis and comparison of index maps with maps of empirically observed tracks of PLs; (ii) automated counting of the number of matches between areas with high index values and locations of past PLs; and (iii) a Receiver Operating Characteristic (ROC) curve and accuracy score. scores - both widely used metrics for binary classification problems (Fawcett, 2006; Tharwat, 2021). ROC curves summarize sensitivity and specificity values for different classifiers and the accuracy score is used to measure how good a model (in this case: diagnostic indices) predicts the desired classes (in this case: PL or non-PL event).

For comparison of diagnostic indices with observed PLs, we compute for each grid-cell a temporal average, M_i, of the hourly index values (m_θ, m_p, m_{tr} ; as defined in Eqs. 1, 3 and 4 and in what follows also denoted in summary as m_i, with $i \in \{\theta, p, tr\}$). The temporal average is computed over a time-interval that covers the reported time-interval of each PL in STARS. For the conventional and the new MCAO index, we compute the simple temporal average $M_i = \frac{1}{T}\sum_{t_0}^{t_{\text{end}}} m_i(t)$,

where $, t_0 = t^*_{\text{start}} - 12\text{h}$ and $t_{\text{end}} = t^*_{\text{stop}} + 12\text{h}$ are the start and end times of the time-interval around each PL (t_{start}, t_{stop} are the reported start and stop dates in STARS~~and we~~). We compute the index values for $\pm$ 12 hours to capture also environ-

310   mental conditions around the genesis and end of PLs (comparable approach regarding the genesis time-interval also used in Terpstra et al. (2016)). For the new PL index we compute the temporal average~~over times with a lower-level instability as $M_{tr} = \frac{1}{T_{tr}} \sum_{t_0}^{t_{\text{end}}} \Theta(m_p(t)) \cdot m_{tr}(t)$, where t_0 and t_{end} as above, but T_{tr} is the number of hours with a lower-level instability and we only include in the temporal average~~, M_{tr}, by considering only the hourly index values, m_{tr}, for hours with lower-level instability ($m_p > 0$), and ~~set~~ setting the index to zero for all other hours~~(denoted here by the Heaviside-Theta function, $\Theta(m_p(t))$,~~

315   ~~which is 1 for all non-zero arguments ($m_p > 0$) and zero for all others)~~. The different temporal average for the PL index, as compared with the MCAO indices, is chosen because a lower-level instability (as indicated by a non-zero MCAO index) is assumed to be a necessary condition for the occurrence of PLs ~~(following (Kolstad, 2011))~~ (following Kolstad, 2011) and we wanted to test if additional information about the upper level anomaly in the areas of MCAOs, as captured in m_{tr}, improves the performance of the index compared with the simpler new MCAO index.

320

~~The remapping of ERA5 data and the computation of the diagnostic indices for the 132 PL events and the 132 random pseudo-events were conducted on *Mistral* at the DKRZ. After selection of the required geographical sub-domain (Barents and Nordic Seas), time-intervals (covering all events) and remapping to regular grids, a total of approximately 1 TB ERA5 data were processed for computing the diagnostic indices.~~

325 ## 3   Results and discussion

3.1   Interactive ~~3-dimensional~~ 3-D visual analyses of MCAOs and PLs in ERA5

In this ~~Section we provide~~ section we summarize selected examples from ~~our interactive visual analyses in order to~~ the interactive 3-D visual data analyses. The aim is twofold: (i) illustrate 3-D ~~visualizations of~~ perspectives on MCAOs and PLs, as represented in ERA5, for contributing to the understanding of these phenomena (Fig. 1, Fig. 2~~; Movies 1-2). We demonstrate~~

330   ~~a workflow starting with explorative interactive visual analyses~~), and (ii) show examples of the application of novel methods for interactive visual exploration of complex meteorological data (Movies 1-2). The high resolution and consistency of ERA5 allows for both, detailed 3-D visual analyses of single cases of MCAOs and PLs (as reported in this ~~Section~~section), as well as long-term assessments of diagnostic indices used to capture these events (see subsequent ~~Sections).~~ sections). The methods for 3-D IVA that we show here can be applied generically for analyses and visualization of a variety of meteorological phenomena

335   in ERA5 and other gridded meteorological data.

~~Our analyses show that~~ We analyse in 3-D ~~features of~~ the transport of cold air from ~~sea-ice regions over the~~ regions covered by sea-ice toward the ice-free ocean during MCAOs ~~are resolved~~ in ERA5 ~~and can be visually analysed~~by assessing, for example, ~~by assessing~~ the dynamics of the 3-D isosurface of potential ~~air~~ temperature, illustrated here for two MCAO events in the

340   Barents and the Nordic ~~Sea~~ Seas (Fig. 1, Movie 1). During the MCAO event in December 2002 (Fig. 1~~a-c~~c-e), the volume of
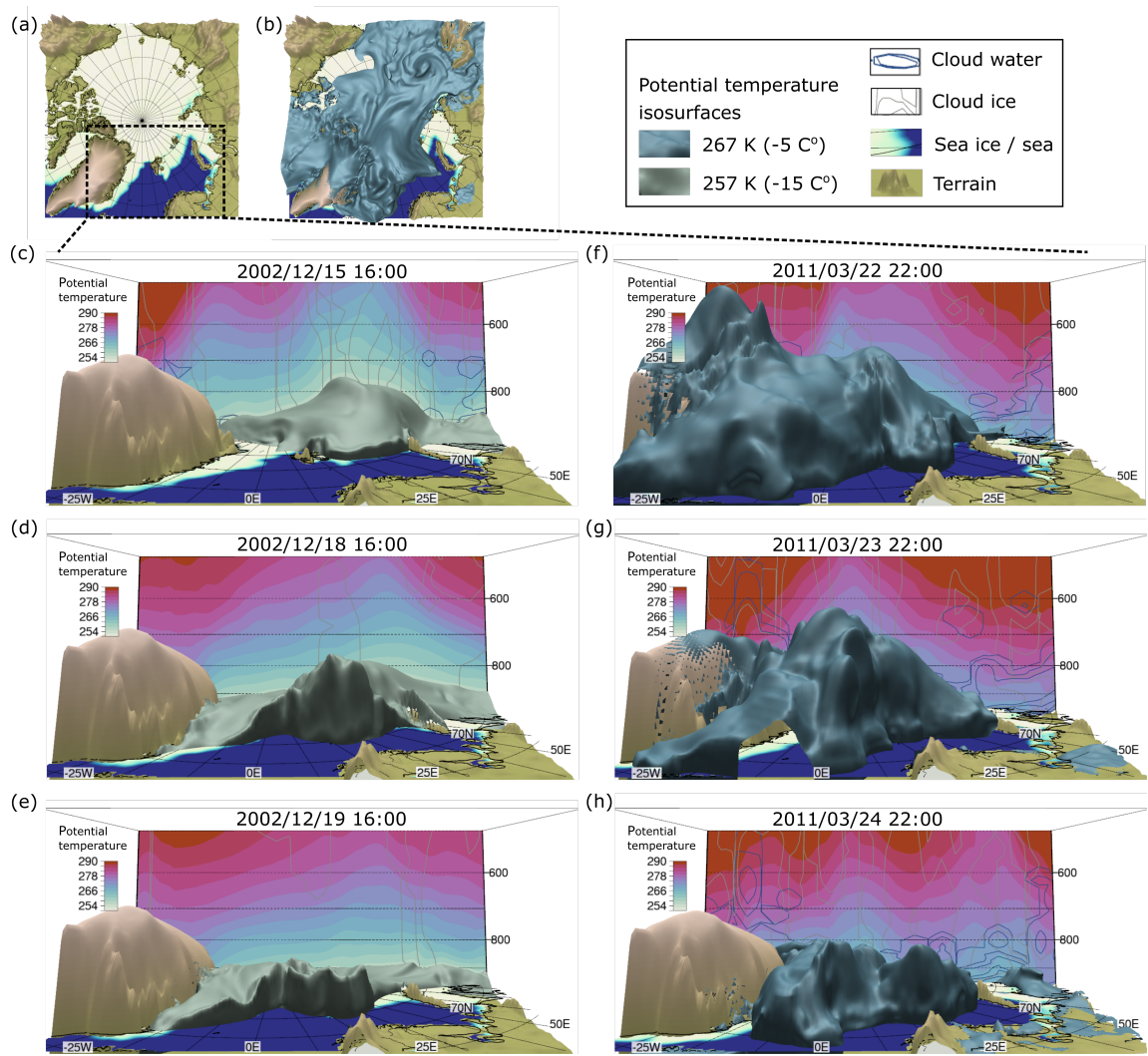
Figure 1. Three-dimensional interactive visual analysis of MCAOs in ERA5 data. Cold air is delineated by isosurfaces of potential temperature. The air below the isosurfaces has lower potential temperatures and the air above has higher potential temperatures. **(a - b)** show a top-view for locating the geographical domain of interest (Barents and Nordic Seas). Temporal snapshots illustrate the transport of cold air during two MCAOs~~-~~: **(c - e)** Case 1~~:~~ 2002/12/15-19 (257 K isentrope); **(f - h)** Case 2~~:~~ 2011/03/22-24 ~~. Before the start of the MCAO in case 1 (c), the cold air is located above the sea-ice; it is then transported southward over the edge of the sea-ice onto open waters, forming a steep boundary at the edge of the convective region induced by the cold air moving over warmer oceans (d - e). Case 2: (f) the cold air is partly transported over the top of Greenland and then (g-h) moves east into the Nordic Sea~~(267 K isentrope). Contour lines of cloud water and cloud ice are drawn at ~~$10^{-5}, 10^{-6}, 10^{-8}$~~ [kg/kg~~$10^{-5}, 10^{-6}, 10^{-8}$] kg/kg. Movie 1 demonstrates the interactive 3-D data exploration of MCAO case 1 using *Met.3D*. Fig. 2 illustrates winds during the PLs that formed within the ~~MCAOs~~ MCAO depicted ~~here~~in panels **c - e**.

cold-air grows in vertical extent before moving southward over the sea-ice into the Barents Sea. Complex spatio-temporal structures with great variation in shape and dynamics between different MCAO cases can be observed (e.g. Fig. 1d-f). Comparison with conceptual models and previous examples of standard 2-D depictions of MCAOs ~~(see e.g. Gryschka (2018)) underline~~ (e.g., Gryschka, 2018) underlines that advanced methods for 3-D visual analysis provide ~~valuable additional perspectives and~~

345   more realistic insights and can be used for quick and flexible, interactive exploration of data volumes (Movies 1-2). While the visual inspection of cloud cover does partly resemble typical thick cloud bands at the boundary of the outbreak, as described, e.g. in ~~Gryschka (2018)~~Gryschka (2018), the details of the characteristic 3-D structure of convective cloud bands ~~,~~ are not resolved in ERA5 for the cases that we inspected (not shown).

350   A PL that was described as an "Arctic hurricane" (Bracegirdle, 2012) formed ~~east~~ west of the coast of Novaya Zemlya, during the 19-20th of December 2002, towards the end of the MCAO illustrated in Fig. 1. The capacity for quickly analysing various data variables from different angles using different visualization methods is a key advantage of ~~interactive~~ 3-D ~~visual data analysis~~IVA, because it makes it easier to explore new perspectives and discover potentially interesting features. One such example emerging from our case-studies is a "slow wind perspective" on PLs (Fig. 2, Movie 2). During some of the PL events

355   we analysed, there is a coherent tube-like volume of air with slow wind speeds at the center of the PL which extends from the surface up into the stratosphere (e.g. winds < 4 m/s in Fig. 2a). This coherent 3-D feature of the wind field is consistent with the 2-D vertical profile of winds during reverse shear PLs ~~(Michel et al., 2018)~~(Fig. 8, Michel et al., 2018; Terpstra et al., 2016), but here it is illustrated in 3-D and for a much larger vertical extent. Inspection of isosurfaces at different wind-speeds reveal complex wind flows during PLs, with strong near-surface winds (Fig. 2, Movie 2). Visual analysis of wind-barbs show vortex-

360   like wind fields around the slow-wind eye. Interactive sliding of cross-sections through different vertical levels helps locating altitudes with strong winds as well as regions with strong wind shear (Movie 2). Resolved dynamics of cloud cover during the PL on the 19-20th of December 2002 hint at the observed symmetrical vortex of clouds during this PL (Bracegirdle, 2012), but details are not resolved in ERA5 (not shown).

365 **3.2 ~~Development~~ Interactive 3-D visual analysis of ~~improved~~ diagnostic indices ~~for~~ and vertical structure of MCAOs and PLs**

~~We implemented a new feature into *Met.3D* to compute widely-used conventional MCAO indices on-the-fly for analysing these indices during single MCAO events. Subsequently, we extended the formulation of the conventional 2-D MCAO index (Eq. 1) to 3-D. Inspecting its~~ Inspecting the 3-D ~~structure,~~ variant of conventional MCAO indicators (m_θ^p, Eq. 2) unravels the sensitivity

370   to changes in the characteristic pressure level (Sect. 3.2.1). Aiming at ~~improving diagnostic indices by avoiding the high sensitivity to the subjective choice of the characteristic pressure level, we focus on~~ avoiding this sensitivity by conceptualizing new diagnostics, we analysed the vertical extent of MCAOs (Sect. 3.2.2) and the vertical distance to the dynamical tropopause ~~(3.2.3) when formulating~~ Sect. 3.2.3). Results described in this section served as motivation for the definition of new diagnostic indices (~~??~~as summarized in Sect. 2.3).

3.2.1 Sensitivity of conventional MCAO indices to the choice of the characteristic pressure level

~~Conventional MCAO indices have been calculated with a variety of different characteristic pressure levels - ranging from 500 hPa to 900 hPa - at which air aloft is considered for calculation of the MCAO index (Landgren et al., 2019; Kolstad et al., 2009; Fletcher et al. For understanding the 3-D structure of MCAOs and the sensitivity of conventional MCAO indices to the choice of the characteristic pressure level, we have implemented a functionality in *Met.3D* that allows for the interactive visual analysis of the effect of varying the characteristic pressure level. For this purpose, we introduce a simple 3-D extension of conventional MCAO indices. We compute the temperature difference between the surface and each vertical pressure level, p, instead of considering only one particular characteristic pressure level. That is, instead of the conventional MCAO index, $m_\theta = \theta_{\mathrm{skin}} - \theta_{850\mathrm{hPa}}$ (Papritz et al., 2015; we compute its 3-D variant~~

$$m_\theta^p = \theta_{\mathrm{skin}} - \theta_p$$

~~and use methods for interactive visual analysis, such as sliding a horizontal cross-section through all vertical levels, p, of~~ Visual analyses of changes in m_θ^p ~~(Fig. 3, Movie 3). In a similar approach, we implement in *Met.3D* other variants of the conventional MCAO index (Kolstad and Bracegirdle, 2008; Landgren et al., 2019; Fletcher et al., 2016).~~

~~Visual analyses of changes in m_θ^p~~ Eq. 2), the 3-D variant of conventional MCAO indices, at different locations when varying the characteristic pressure level show that the magnitude of MCAO index values as well as the geographical area with positive MCAO index values ~~decreases~~ decrease with increasing altitude (Fig. 3, Movie 3). At low altitudes, close to the ocean surface, potential air temperature is lower than potential skin temperature, leading to positive MCAO indices. At higher altitudes, potential air temperature increases, leading to negative MCAO indices (set to zero in Fig. 3a-c, Movie 3). Note that areas with extreme values of the conventional MCAO index, i.e. maximum temperature difference between the sea surface and a certain pressure level, do not necessarily coincide with areas where the conventional MCAO index is positive also at high altitudes (i.e. $m_\theta^p > 0$ at high vertical levels ~~p~~p; see Fig. 3, Movie 3). The ~~magnitude of the MCAO index changes substantially with~~ MCAO index values change substantially depending on the choice of the characteristic pressure level, ~~suggesting to reconsider the thresholds on~~ which suggests reconsidering the thresholds for distinguishing between weak, moderate and extreme MCAOs depending on the choice of the pressure level.

The sensitivity of conventional MCAO indices to the choice of the characteristic pressure level can be expected, considering standard vertical profiles of potential temperature along with a dynamic 3-D shape of the volume of cold air and its complex mixing with air masses above the ocean. With the aim of formulating a diagnostic index that is not sensitive to the choice of a characteristic pressure level, we consider in more detail the 3-D structure of potential air temperature.

3.2.2 The upper boundary of MCAOs

The interactive visual analyses of the 3-D MCAO index, along with standard vertical profiles of potential air temperature, suggests that the vertical profile of potential air temperature in the column of air above each location inside of a MCAO may be

sketched as follows: in the lower troposphere, there is an unstable layer of air, in which the potential air temperature decreases with altitude, followed by a layer with approximately constant potential air temperature, and then a stable layer of air in which potential temperature increases with altitude. Fig. 3d-f shows the vertical profile of potential temperature at some exemplar

410 locations. This implies that, in the column of air above each location (grid-cell) within the area of a MCAO, there should be at least one pressure level at which the 3-D MCAO index, m_θ^p, changes its sign. The critical pressure level, p^*, at which m_θ^p changes its sign is the altitude at which potential temperature aloft equals potential ~~sea~~ skin temperature,

$$\theta_{p^*} = \theta_{\text{skin}}. \tag{5}$$

The column of air below p^* is unstable and the air column above it is stable - with respect to the simple static stability criterion

415 based on the difference in potential temperature aloft and at the surface, as used in in conventional MCAO indices (Landgren et al., 2019; Kolstad et al., 2009; Fletcher et al., 2016; Papritz et al., 2015; Kolstad, 2017; Papritz and Sodemann, 2018; Polkova et al., 2019). We therefore define the critical pressure level, p^*, as a simple measure of the upper boundary of MCAOs.

The upper boundary of the lower-level instability caused by MCAOs can be visualized by computing the zero-isosurface of

420 m_θ^p. Visual analyses of the dynamics of the zero-isosurface reveal interesting spatio-temporal dynamics in the upper boundary of MCAOs (Fig. 4, Movies 4-6). Investigation of several MCAO cases indicates a trend for the upper boundary of the lower-level instability to increase with distance from the sea-ice edge~~, which is~~. This in accordance with conceptual descriptions ~~(Gryschka, 2018)~~about strong organized convective processes and convective overturning that cause a vertical increase of the MCAO depth with increasing distance from the sea-ice (e.g., Gryschka, 2018). However, there are substantial spatio-temporal

425 variations during the course of single MCAOs and particularly between different MCAOs. Interestingly, visual comparison of the upper boundary of MCAOs and the position of observed PLs during several of our use-cases shows that geographical areas with the highest vertical extent of MCAOs coincide with geographical areas of PLs. ~~We therefore consider the upper boundary of the lower-level instability when deriving new diagnostic indices for characterizing MCAOs and PLs (Sect. ??).~~

3.2.3 The vertical distance between lower-level instability and upper level anomaly during PLs

430 Both a lower-level instability and an upper-level forcing of the dynamical tropopause are required for PL genesis (Kolstad, 2011; Grønås and Kvamstø, 1995). Along these lines, Grønås and Kvamstø (1995) showed that, for 2 out of 4 PLs, the distance between the surface and the top of the atmospheric boundary layer was smaller than 2500 m. In related previous work Kolstad (2011) advocated that there was an association between PLs and the co-occurrence of two factors: a positive MCAO index and an upper-level ~~potential-vorticity~~ potential vorticity anomaly. Kolstad (2011) used these factors to define a binary PL index.

435 Motivated by these studies, we visually explore in ~~Met.3D~~ Met.3D the spatio-temporal variations of the upper boundary of MCAOs (p^*, Eq. ~~Sect. 3.2.2~~5) in combination with spatio-temporal variations of the dynamical tropopause~~(~~, defined here at 2 ~~PVU, i.e. Potential Vorticity~~Potential Vorticity Units (PVU = ~~$2 \cdot 10^{-6}$ Km^{2}kg^{-1}s^{-1}) (~~10^{-6} Km^{2}kg^{-1}s^{-1}; see Fig. 4, Movie 5).

440   Interactive 3-D visual analysis of single cases indicates that the distance between the dynamical tropopause and the upper
      boundary of MCAOs (Sect. 3.2.2) is smaller in geographic proximity to areas where PLs occur. During some of the PL cases,
      the dynamical tropopause extends downward into the lower-level instability region induced by MCAOs (Fig. 4e, crossing the
      zero-isosurface of m_θ^p with the dynamical tropopause; Movie 5). ~~The distance between the dynamical tropopause and the
      lower-level instability region is therefore considered when formulating diagnostic indices for MCAOs and PLs (Sect. **??**).~~

445   **3.2.4   ~~Characterizing MCAO and PLs with new diagnostic indices~~**

      ~~Based on the insights from the 3-D IVA of selected cases, we introduce and test two new diagnostic indices: (i) the new
      MCAO index, and (ii) the new PL index. Put simply, the new MCAO index measures the vertical extent (in what follows also
      termed "height") of MCAOs, and the new PL index measures the vertical distance between the upper boundary of MCAOs and
      the dynamical tropopause. These metrics are designed to address shortcomings in conventional indices (subjective choice of~~
450   ~~pressure level and unclear relation of MCAOs to PLs) by taking into account 3-D features of the atmospheric circulation, while
      remaining computationally cheap and hence feasible for use in climatological studies that rely on processing of large amounts
      of data (for details, see Sect. 3.3.4).~~

      ~~Name Definition Unit Required dimension of input data Conventional MCAO index $m_\theta = \theta_{\text{skin}} - \theta_{850\text{hPa}}$ K2-Dimensional
      3-D variant of the conventional MCAO index $m_\theta^p = \theta_{\text{skin}} - \theta_p$ K3-Dimensional Region-specific variant of the conventional~~
455   ~~MCAO index $m_\theta^{\text{crit}} = \theta_{\text{skin}} - \theta_{p_{\text{crit}}}$ K2-DimensionalNew MCAO index $m_p = p_0 - p^*$ hPa3-Dimensional New Polar Low index
      $m_{tr} = p^* - p_{tr}$ hPa3-Dimensional~~ **~~Diagnostic indices for measuring MCAOs.~~** ~~The term "conventional MCAO index" summarizes
      previously-used diagnostics that are based on the difference in potential temperature between the ocean surface and a fixed
      characteristic pressure level aloft, as e.g. 850 hPa (Papritz et al., 2015; Kolstad, 2017; Polkova et al., 2019, 2021), or others
      (Kolstad et al., 2009; Fletcher et al., 2016; Papritz and Sodemann, 2018; Landgren et al., 2019). The variants of the conventional~~
460   ~~MCAO index and the new indices are introduced and evaluated here for avoiding the subjective element in the choice of the
      characteristic pressure level and for capturing the vertical structure of MCAOs. Details of the indices are given in the text (see
      Eq. 1, 2, and 7 for the conventional MCAO index, its 3-D variant and a region-specific variant obtained by fitting to data about
      observed PLs; see 3 and 4, for the New MCAO, and New Polar Low index, respectively).~~

      ~~(i) New MCAO index: the index measures the vertical extent of the lower-level instability induced by MCAOs (expressed as~~
465   ~~a pressure difference). It is calculated for each horizontal grid-cell and time-step (hourly in ERA5) as the pressure difference
      between the ocean surface and the upper boundary of the lower-level instability caused by a MCAO,~~

$$m_p = p_0 - p^*,$$

      ~~where p_0 is the constant surface pressure 1013.15 hPa. For the computation of the upper boundary of the MCAO, p^*, we
      determine the pressure level at which the potential air temperature equals the potential skin temperature. The new MCAO index~~
470   ~~m_p is set to 0 in grid-cells without lower-level instability. High index values of m_p correspond to high vertical extents of the
      instability region caused by MCAOs.~~

~~(ii) New polar low index: the index measures the "vertical distance" between the lower-level instability region induced by a MCAO and the dynamical tropopause. It is calculated for each horizontal grid-cell and time-step within the area of MCAOs ($m_p > 0$) as the pressure difference~~

$$m_{tr} = p^* - p_{tr},$$

~~where p_{tr} (in hPa) is the pressure at the dynamical tropopause, which is defined at 2 PVU, and p^* is the pressure at the upper boundary of the MCAO. The new PL index decreases with decreasing distance between the dynamical tropopause and the lower-level instability and turns negative if the dynamical tropopause extends downwards into the lower-level instability induced by a MCAO.~~

~~The new indices suggested here and evaluated in subsequent Sections are summarized in Table 1, along with the conventional MCAO index and its variants.~~

3.3 Evaluating diagnostic indices by comparison with observed PLs

In previous ~~Sections~~ sections, we summarized our case-studies of MCAOs and PLs ~~, followed by the conceptualization of improved~~ along with the definition and motivation for new diagnostic indices. Further on, we ~~test the new metrics in comparison~~ evaluate these new indices, along with the conventional MCAO index, ~~for~~ by comparison with all PL events observed during years 2002-2011 ~~occurring~~ in the Barents and Nordic Seas ~~(STARS data, (Noer et al., 2011; STARS - data, 2013)). In subsequent Sections, we show~~ (as reported in Noer et al., 2011; STARS - data, 2013). We investigate the distribution of index values in different geographical domains during all PLs (Sect. 3.3.1), the number of matches between areas with high index values and areas, where PLs have been observed (Sect. 3.3.2), and the performance of indices in distinguishing times and locations of observed PLs from times and locations without PLs (Sect. 3.3.3).

3.3.1 ~~Diagnostic indices~~ Distribution of diagnostic index values in areas within and outside of observed PLs

Analysing the distribution of index values in all grid-cells during all years 2002-2011, within and outside of the areas of ~~all observed PLs , shows:~~ observed PLs (defined via the track and radius of PLs reported in STARS), shows that (i) high values of the conventional MCAO index occur only slightly more often in areas, where PLs were observed ~~,~~ compared with all other areas in the domain (Fig. 5~~e~~b); (ii) the new indices differ substantially between the two geographical domains - within and outside of observed PLs (Fig. 5~~b~~e,h); (iii) high values of the new MCAO index and low values of the new PL index occur more often in geographical areas of the observed PLs compared with the rest of the domain (Fig. 5~~b~~e,h).

The mean vertical extent of MCAOs within the area of all observed PLs during years 2002-2011, as captured by m_p (Eq. 3), is 289 hPa. Substantially higher vertical extents were observed (Fig. 5e), with a maximum at 607 hPa. In comparison, a mean vertical extent of 161 hPa is observed in areas outside of PLs. The mean vertical extent of MCAOs (289 hPa) corresponds to an upper boundary of the MCAO at ~~1013.15 − 289 ≈ 724~~ 1013.25 − 289 ≈ 724 hPa and the maximum vertical extent corresponds

to an upper boundary of the MCAO at approximately 406 hPa.

505 The mean distance between the upper boundary of the lower-level instability and the dynamical tropopause, as captured by m_{tr}, during all PL events is approximately 345 hPa, but substantially smaller distances are also observed (Fig. 5-h). Interestingly, in 41 % ~~percent~~ of all PLs, there is a short time of at least one hour, during which the dynamical tropopause extends downward into the lower-level instability $(p_{tr}(t) > p^*(t))$ within the area of observed PLs (~~$p_{tr}(t) > p^*(t)$~~separate analysis not shown in the Figure). In comparison, a larger mean distance of approximately 510 hPa ~~was~~ is observed in the areas outside of

510 observed PLs (Fig. 5).

Investigating diagnostic indices during "pseudo-events", defined as randomly selected times ~~and locations~~ when no PL occurred with an area that matches in scale the area of actual PL events (see Sect. 2.4), shows that low values for the new MCAO index ("shallow" MCAOs) and larger values of the new PL index (low or absent forcing from the dynamical tropopause) occur more

515 often during normal weather conditions than during PLs (gray bars in Fig. 5e-f and h-i). This suggests that the new indices capture features that are useful for distinguishing meteorological conditions during PLs from meteorological conditions during a randomly selected set of days in the Nordic winter.

3.3.2 Association between diagnostic indices and locations of observed PLs

The locations with high values of the new indices, m_p and m_{tr}, resemble the ~~location~~ locations of observed PLs for selected

520 cases. For example, the area with high values of the new MCAO index during the MCAO case that we previously illustrated (Fig. 1, 3, and 4) matches the area of the observed PL ~~remarkably~~ rather well (Fig. 5), considering that it is a very simple index computed without using knowledge about the location of the PL or any fitting procedures. However, as can be expected considering the simplicity of the diagnostics and the complexity of PL genesis, the indices also miss various observed PLs (see Appendix C, Fig. C1, for two such examples).

525

We assessed for how many of all the PLs during years 2002-2011 in the Barents and Nordic Seas (as reported in the STARS data) there is an overlap between geographical areas with high values of the new MCAO index and geographical areas of observed PLs (Fig. 5). The association is also analysed for the new PL index and the conventional MCAO index. We compute one time-averaged diagnostic, M_i, for each PL event (~~time-average~~ averaged over all hours of the event; see Sect. 2.4), and ~~use~~

530 ~~the 95-th percentile as a critical threshold for delineating~~ define areas with "high" index values as the 95-th percentile of all index values in the geographical domain. We count the number of events with overlap of at least one grid-cell between areas with high index values and the area of observed PLs. Results for the new MCAO and PL indices show that, for ~~approximataly~~ approximately 100 out of the total 132 observed PLs during years 2002-2011 (i.e., in approximately 76% of all cases), the area with high index values overlaps with the area of observed PLs (Fig. 5). This suggests a ~~strong~~ notable association between

535 diagnostic indices and locations of PLs. In contrast, for the conventional MCAO index, areas with high index values only overlap with areas of observed PLs in around 33 out of 132 PLs. Clearly, the association between high index values and locations

of observed PLs is stronger for the new index values compared with the conventional MCAO index. PLs occurred more often in areas with high vertical extent of the lower-level instability rather than areas with strong instability at low altitudes. This is further supported by a composite analysis computing the long-term average of the conventional and the new MCAO index for all observed PLs (Fig. 6a-b).

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The number of matches between areas with high index values and areas of observed PLs is sensitive to the choice of the threshold for delineating "high" index values. We focus on testing the association between areas with particularly high index values ($\geq$95-th percentile), because these are confined to a fairly small area compared with the total geographical domain of the Nordic Seas, which is a useful characteristic for an index that aims at narrowing down the likely location of PLs. Recall that MCAOs are relatively large-scale phenomena as compared to PLs. Thus as is, the conventional MCAO index is not a useful PL proxy in predictability studies or for marine services as it indicates too large areas, where PLs potentially could occur.

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To assess if the number of matches that we obtain is substantially different to the number of matches one would expect by random choice of high index values somewhere in the geographical region of interest, we ~~conduct the following test: We define a set of PL "pseudo-events" at times when no PL occurred and~~ count the number of overlaps between ~~these randomly selected areas with~~ the areas of randomly selected "pseudo-events" (Sect. 2.4) and the areas of high index values. ~~Pseudo-event are defined by selecting at random an area that matches the average scale of observed PLs (average track length and average radius; for details, see Sect. 2.4 for details). The~~ This shows that the number of matches between high index values and observed PLs is substantially higher than the number of matches between high index values and randomly chosen pseudo-events (Fig. 5), which provides additional supportive evidence for the robustness of the new diagnostics.

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Results in this ~~Section~~ section suggest that the new diagnostic indices are useful and informative for distinguishing the location of PLs, given knowledge about the time of occurrence of PLs. ~~For these new indices to be used~~ However, for the diagnostics to be useful in predictability studies or marine services as PL proxies, it is necessary to demonstrate that they are able not only to identify locations with higher risk for PLs, conditional on knowledge about the time of occurrence, but that they are able to distinguish times and locations of PLs without any prior knowledge from observations~~(as used in this and the last Section by analysing index values in detail for the times of observed PLs). This is tested in the next Section.~~. This is tested in the next section.

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3.3.3 Performance of diagnostic indices in distinguishing the time and location of PLs

~~For assessing~~ For distinguishing times and locations with higher risk for PL occurrence from times and locations with lower risk for PL occurrence based on the simple diagnostic indices, it is necessary that these take on sufficiently different values during PL events compared with no-PL events. As a first step to test this, we analyse the difference between the long-term average of index values during PL events and non-PL events (random pseudo-events) and compare it visually with observed PL tracks (Fig. 6c-d). On average, the difference between the new MCAO index during PL events compared with non-PL

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events is particularly large in those areas where many PLs have been observed, whereas the difference is not as large in those areas for the conventional MCAO index (Fig. 6c-d). This indicates that the new MCAO index may serve as an approximate classifier to distinguish times and locations of PLs, whereas the conventional MCAO index is not well suited for this task.

For systematically testing the performance of ~~the new indices~~index values in distinguishing PL occurrence in the observational STARS data, we express the task of distinguishing the time and location of ~~PLs based on diagnostic indices~~ observed PLs as a binary classification problem and ~~assess ROC scores and accuracy . In a first step, we use the empirical STARS data to define an observed binary score of PL occurrence in all grid-cells (for details~~measure the skill of index values by means of ROC curves and accuracy scores (details below). For this purpose we introduce for each of the different indices, M_i (with $i \in \{\theta, p, tr\}$, see Sect. 2.4)~~. For comparison of the binary empirical data about PL occurrence with the new indices, we introduce a critical threshold value, M_i^{crit}, to obtain a binary index~~, $\hat{M}_i$, from the continuous index values ~~a set of critical threshold values, M_i (Sect. 2.4) , as follows~~

$$\hat{M}_i = \begin{cases} 1 & \text{if: } M_i > M_i^{\mathrm{crit}} \\ 0 & \text{if: } M_i \leq M_i^{\mathrm{crit}}. \end{cases}$$

~~The binary~~ M_i^{crit}. The thresholds are chosen to cover evenly distributed the entire range of index values with a constant step-size. For example, $M_p^{\mathrm{crit}} = \{0, 30, 60, ..., 600\}$, to cover the range of values of the new MCAO index (see Fig. 6-e) with a constant step-size of 30. Applying the critical thresholds to the index values, ~~$\hat{M}_i$, are computed~~ we obtain binary indices,

$$\hat{M}_i = \begin{cases} 1 & \text{if: } M_i > M_i^{\mathrm{crit}} \\ 0 & \text{if: } M_i \leq M_i^{\mathrm{crit}}. \end{cases} \tag{6}$$

for all grid-cells during all events ~~,~~ (i.e. for observed PLs and for randomly chosen pseudo-events when no PL was observed~~. The binary indices are then analysed on the ability for distinguishing the time and location of the observed PLs~~). We then test the performance in distinguishing PL occurrence based on these binary indices. In the following paragraphs, we first inspect the performance of indices in distinguishing the time of occurrence of PLs (task 1) and second the performance in distinguishing both the time and location of PLs ~~based on the set of different critical thresholds~~(task 2).

Task 1: Distinguish the time of PL occurrence

For distinguishing the time of occurrence of PLs, we use the following classification (summary in Appendix E, Table E1): (i) if the binary index values are positive (~~$\hat{M}_i > 0$~~$\hat{M}_i = 1$) anywhere in the geographical domain of interest ~~during a particular time~~ at the time of the event, we define this as a "prediction" that a PL occurs at ~~that~~ this time anywhere in the domain (true positives: a PL occurs during that time; false positives: a PL does not occur during that time); (ii) if the binary index, $\hat{M}_i$, is zero everywhere in the domain, we define this as a "prediction" that no PL occurs (true negatives: no PL occurs during that time; false negative: a PL occurs during that time). ~~Different threshold values (covering the interval of all observed index values; see Fig.~~

~~5) are tested by means of a ROC analysis, computing sensitivity and specificity for each threshold~~ By computing sensitivity and specificity values for the set of critical threshold values, we obtain one ROC curve for each index (see Fig. 7). The ratio of times that the new index correctly identifies PL events defines the true positive rate (sensitivity) and the ratio of times that the new index incorrectly identifies the PL events as the false positive rate ~~. The~~ (1 - specificity). For the ROC analysis, the two rates are then plotted against each other ~~. For being counted as a good proxy for PLs, in~~ (see e.g., Fawcett, 2006). In our experimental setup with 50% observed PL events and 50% non-events, it is necessary that the new index has an ~~AUC score (~~ area under the ROC curve (AUC score) that is higher than 0.5 ~~. Our analysis shows that, all~~ for performing better than random chance and being counted as a potentially useful proxy for PLs. All three diagnostic indices perform substantially better than random chance, suggesting that they could be useful for indicating the time of occurrence of PLs (AUC values of 0.78, 0.80 and 0.83, for the conventional MCAO index, the new PL index and the new MCAO index, respectively).

~~Additionally to the ROC analysis, we assess accuracy scores for the best threshold values determined in the ROC analysis.~~ From the set of threshold values, $\hat{M}_i$ M_i^{crit}, which are used in the ROC analysis for distinguishing the time of PLs, we select the one that maximizes ~~Youdens~~ Youden's Index (Youden, 1950), ~~determined by the sum of sensitivity and specificity~~ which is defined as sensitivity + specificity - 1, as the best threshold. The best threshold for the conventional MCAO index to distinguish times of occurrence of PLs is ~~8 K (temperature difference)~~ $M_\theta^{\mathrm{crit}} = 8$ K. For the new MCAO index, it is ~~390~~ $M_p^{\mathrm{crit}} = 390$ hPa, and for the PL index ~~it is 250~~, it is $M_{tr}^{\mathrm{crit}} = 250$ hPa (as shown in Fig. 7). Using these ~~thresholds to dichotomize the continuous index values~~, threshold values we compute the accuracy score ~~for distinguishing the time of occurrence of PLs in the STARS data~~, which is defined as the sum of true positives (TP) and true negatives (TN) divided by all events (see e.g., Tharwat, 2021), for measuring how well the diagnostic indices with the selected binary classifier performs in distinguishing the times of PLs. In our experimental setup, with the same number of PL events as non-PL "pseudo-events", an uninformed random classification would be expected to yield an accuracy score of 0.5. Using the conventional MCAO index with the threshold of 8 K, allows distinguishing the time of occurrence of PLs with an accuracy of 0.73. Using the new MCAO index with the threshold of 390 hPa achieves an accuracy of 0.77. For the new PL index with a threshold of 250 hPa, we obtain an accuracy of 0.75 ~~.~~ (all values summarized in Table 2)

Task 2: Distinguish the time and location of PL occurrence

For distinguishing the time and location of PLs, we use the following classification (summary in Appendix E, Table E2): (i) true positive, if there is an area with non-zero index values, ~~$\hat{M}_i > 0$~~ $\hat{M}_i = 1$ (i.e. $M_i > M_i^{\mathrm{crit}}$), ~~during a particular time~~ at the time of the event and a PL is observed ~~during~~ at that time in that area (overlap of at least 1 grid-cell with the empirical data in STARS); (ii) false positive, if there is an area with ~~non-zero index, $\hat{M}_i > 0$, during a particular time~~ positive binary index, $\hat{M}_i = 1$, at the time of the event, but no PL is observed in that area at that time; (iii) true negative, if index values are zero, $\hat{M}_i = 0$, everywhere in the geographical domain ~~during a particular time~~ at the time of the event and no PL is observed anywhere in the domain ~~during~~ at that time; (iv) false negative, if index values are zero everywhere in the geographical domain

Index name	task 1: distinguish time of PLs			task 2: distinguish time and location of PLs		
	AUC value	best classifier (M_i^{crit})	Accuracy	AUC value	best classifier (M_i^{crit})	Accuracy
Conventional MCAO index	0.73	8 K	0.73	0.52	4 K	0.56
New MCAO index	0.83	390 hPa	0.77	0.74	330 hPa	0.67
New PL index	0.80	250 hPa	0.75	0.67	250 hPa	0.64

Table 2. Performance metrics for distinguishing times and locations of PLs based on simple diagnostic indices. The AUC (area under the curve) values are computed for the ROC curves shown in Fig. 7. The accuracy scores are calculated for the best classifier for each index and task, defined as the classifier that maximizes Youden's index.

635 ~~during~~ at a particular time, but there is a PL observed somewhere in the domain ~~during~~ at that time.

Results of the ROC analyses show that the conventional MCAO index performs poorly (close to random chance) in distinguishing the time and location of PLs (AUC value of 0.52). This underlines that the magnitude of the conventional MCAO index is not useful for identifying times and locations at risk for PLs. In contrast, the newly introduced indices perform sub-

640 stantially better in distinguishing the time and location of PLs compared with the conventional MCAO index (AUC values of 0.67, and 0.74, for the new PL index and the new MCAO index, respectively). Interestingly, the new MCAO index performs better than the new PL index, despite being simpler and requiring less meteorological input data (the PL index requires the potential vorticity field as an additional 3-D data field).

The best threshold value for the new MCAO index that maximizes the sum of sensitivity and specificity in distinguishing

645 the times and locations of PLs in the ROC analysis is ~~$M^{\text{crit}} = 330$~~ $M_p^{\text{crit}} = 330$ hPa (thresholds for the other indices in Fig. 7). With this threshold, we obtain a sensitivity of 0.78, a specificity of 0.58, and an accuracy of 0.67. In light of the ~~complexitiy~~ complexity of PL genesis and the simplicity of the new diagnostic index, the ~~aformentioned performance (e.g. sensitivity of 0.78)is noteworthy~~ aforementioned performance is noteworthy (though still far from maximally attainable reference values of the respective performance metrics). The new MCAO index outperforms the conventional MCAO index and is better than

650 uninformed random choice ~~.~~ (all values summarized in Table 2)

In summary, results from testing the performance of the conventional MCAO index and the new MCAO and PL indices (Sect. 3.3.1, 3.3.2, and 3.3.3), suggest that the new MCAO index, m_p (Eq. 3), is a useful alternative to conventional MCAO indices~~for serving as a proxy for PLs~~, as it exhibits an association with the times and locations of observed PLs, and hence may serve as

655 a simple proxy for PL occurrence. The new index incorporates more information about the 3-D structure of cold air intrusions from the Arctic and is more skilful in identifying areas and timing favourable for PL development.

3.3.4 ~~Method for determining~~ Determining a region-specific characteristic pressure level ~~for the conventional MCAO index~~ from observational ~~data~~ data ~~about observed PLs~~

The new MCAO index ~~(Eq. 3) is designed as~~ was designed to be a simple metric that requires processing of only one 3-D input data field (air temperature) for allowing its use in computationally expensive, long-term assessments that require processing large amounts of data. ~~While it is relatively straightforward to compute, it requires more input data~~ However, compared with the 2-D conventional MCAO index, ~~which only requires 2-D~~ the new MCAO index has the disadvantage that it requires more input data. ~~The implementation in~~ This means that its use in, e.g., predictability studies that compare multiple data sets ~~might therefore be challenging, depending on the available computational resources. To address this challenge, we suggest a simple method that results in a computationally cheaper, region-specific variant of the conventional~~, might be computationally challenging. In this section, we address this disadvantage of the new MCAO index, ~~which maintains the same quantitative link to observed PLs as the new MCAO index . Instead of using a subjectively chosen~~ along with the disadvantage of the conventional MCAO index regarding the subjective element in the choice of a characteristic pressure level. Both of these challenges can be addressed by determining a characteristic pressure level for ~~calculating~~ the conventional MCAO index ~~(Kolstad et al., 2009; Papritz et al., 2015; Fletcher et al., 2016; Kolstad, 2017; Papritz and Sodemann, 2018; Landgren et al., 2019; Polkov we introduce~~ from observational data about PLs.

Determining the characteristic pressure level for the conventional MCAO index from observational data results in a region-specific MCAO index that has the same form as the conventional MCAO index,

$$m_\theta^{\mathrm{crit}} = \theta_{\mathrm{skin}} - \theta_{p_{\mathrm{crit}}}, \tag{7}$$

~~and determine the critical~~ but is based on the *critical* characteristic pressure level, p_{crit}, that maximizes the link to observed PLs ~~as follows: compute the new MCAO index (Eq. 3) for a sufficient number of observed PL events in a certain geographical domain of interest, as well as for a set of randomly selected days without PLs (in this study, all PLs reported for years 2002-2011 in the Barents and the Nordic Seas and the randomly selected pseudo-events); test different pressure levels as threshold values in a ROC analyses for distinguishing times and locations of observed PLs and select a threshold value, M_p^{crit} (Eq. 6) that maximizes a performance metric of choice (in this study, the threshold that maximizes the sum of sensitivity and specificity; Sect. 3.3.3). compute the critical characteristic pressure level as~~. The critical characteristic pressure level can be determined directly from the best classifier (M_p^{crit}) for the new MCAO index,

$$p_{\mathrm{crit}} = p_0 - M_p^{\mathrm{crit}}. \tag{8}$$

The region-specific MCAO index, m_θ^{crit}, has the advantage that it is computationally cheaper than the new MCAO index, m_p, as it can be calculated based only on 2-D meteorological data fields, at the ocean surface and at p_{crit}, while maintaining the same skill in distinguishing the times and locations of PLs as compared to the new MCAO index, ~~m_p (which requires processing the 3-D potential temperature field)~~. Table 1 summarizes key differences between the region-specifc MCAO index and the other

diagnostics considered in this study.

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The equivalence in skill to distinguish PLs from non-PLs of the region-specific index, m_θ^{crit}, and the new MCAO index, m_p, is evident from the definition of the indices. Similar to the conventional MCAO index, the region specific index has positive values if the potential skin temperature is larger than the potential temperature aloft. The region-specific MCAO index takes on positive values in all grid-cells, in which the new MCAO index, m_p, is higher than the threshold value, M_p^{crit}. Essentially, this is so because in these grid-cells the critical pressure level, p_{crit}, is vertically located below the upper boundary of the MCAO. The upper boundary of the MCAO, p^*, is defined as the vertical level, at which potential temperature aloft equals potential skin temperature. As potential temperature increases with height in the top vertical layers of the MCAO, the potential temperature at the critical pressure level below the upper boundary of the MCAO is lower than the potential temperature at the upper boundary, and hence also lower than the potential skin temperature, which means that the region-specific MCAO index is positive in these grid-cells (in summary: if $m_p > M_p^{\mathrm{crit}}$, then $p_{\mathrm{crit}} > p^*$, which implies that $\theta_{p_{\mathrm{crit}}} < \theta_{p^*} = \theta_{\mathrm{skin}}$, so that $m_\theta^{\mathrm{crit}} > 0$). This was confirmed by numerical analysis (see Appendix D, Fig. D1). As the skill for distinguishing PLs from non-PLs is based on the binary index values obtained via the critical thresholds (see Eq. 6), the skill based on $m_p > M_p^{\mathrm{crit}}$ is equivalent to the skill based on $m_\theta^{\mathrm{crit}} > 0$.

The region-specific MCAO index introduced in this section with a threshold of 0 can be used just as well as the new MCAO index with a threshold of M_p^{crit} for distinguishing the times and locations of observed PLs. While the procedure of determining the region-specific MCAO index requires processing of the 3-D potential temperature field, this procedure only has to be conducted once in a baseline study for a specific geographical region. The critical characteristic pressure level obtained here is $p_{\mathrm{crit}} = p_0 - M_p^{\mathrm{crit}} = 1013.25 - 330 = 683.25$ hPa for the geographical region of the Barents and the Nordic Seas. For other geographical regions and observational data about PLs, the calculation should be repeated to account for regional differences. The resulting region-specific MCAO index, with the parameter p_{crit} "fitted" to empirical data, is computationally cheap and thus feasible for use in climatological assessments and for quick operational risk assessments as part of marine services.

4 Conclusions

In the first part of the investigation, we conduct case-studies of MCAOs and PLs in ERA5 data by means of interactive 3-D visual exploration. In the second part, we conceptualize alternative diagnostic indices for MCAOs and PLs, based on insights from the 3-D IVA. In the third part, we evaluate the performance of the new diagnostics, in comparison with previously used metrics, in distinguishing the times and locations of observed PLs.

We provide a showcase for the potential of 3-D interactive visual data exploration as part of the scientific workflow for advancing the understanding on meteorological phenomena. We reveal complex 3-D shapes of MCAOs and PLs and provide insights into features as detailed as the slow-wind eye of a PL (Sect. 3.1, Movies 1-2). The interactive analysis with Met.3D underlines the sensitivity of the conventional MCAO index to the choice of the characteristic pressure level (Fig. 3, Movie 3). 3-D IVA improves our understanding of the involved processes and their interaction (e.g., the spatio-temporal dynamics of the upper boundary of MCAOs and its interplay with the dynamical tropopause, Movies 4-6). Results from the 3-D IVA are used as inspiration for the conceptualization of alternative diagnostic indices (Sect. 3.1). Exploratory visual analyses and climatological assessments underline that the vertical extent of the lower-level static instability caused by MCAOs, as well as the distance between the lower-level instability and the dynamical tropopause, can serve as improved indicators for PL tracks compared to a widely used 2-D MCAO index.

We investigate the link between MCAOs and PLs by assessing the performance of MCAO indices in distinguishing times and locations of observed PLs (Sect. 3.3). The quantitative association between MCAO height and PLs shown here could be a first step towards improving marine services. For instance, Polkova et al. (2021) report a prediction skill for MCAOs in the Nordic Sea for as long as 20 days ahead, whereas PLs can only be predicted up to a day ahead. If it were possible to obtain information about e.g. the frequency of PLs from characteristics of MCAOs, this could improve marine services accordingly. Previous studies demonstrated that MCAOs are a necessary condition for PL development (Ese et al., 1988; Noer et al., 2011; Kolstad, 2011; Mallet et al., 2013). However, what it is exactly about MCAOs that is decisive for PL occurrence and how often PLs accompany MCAOs is still debated. Terpstra et al. (2020) suggested that neither the duration nor the maturity of MCAOs has a distinct relation to PL initiation. Our results might appear at odds with studies suggesting that PLs mostly happen outside of MCAOs (e.g., Terpstra et al., 2016).

However, other authors (Rasmussen, 1983; Kolstad, 2011) have pointed out that PLs happen also within MCAOs, especially those with warm-core thermal instability typically develop deep inside the polar air mass. ~~Contradicting views in the literature~~

760 ~~might be related to defining subjectively the characteristic pressure level at which~~ The new MCAO index introduced here allows narrowing down the areas at risk for PLs, overcoming one of the disadvantages of the conventional MCAO index~~is computed, as this implies a subjective element in the definition of the area~~, which tends to identify too large areas at risk. Recently, and independently from our study, Terpstra et al. (2021) as well identified the usefulness of considering the vertical extent of MCAOs. ~~We address the challenges associated with the choice of the characteristic presure level by formulating~~

765 ~~alternative diagnostic indices that capture key features of the 3-D MCAO structure~~The new MCAO index introduced here closely resembles a metric independently introduced in their study. Both studies underline the usefulness of considering the vertical extent of MCAOs.

Results here suggest that the new MCAO index (Eq. 3) is a promising candidate for use in long-term assessments on seasonal

770 and climatological time-scales as it requires less input data (3-D temperature field and 2-D fields of surface pressure and skin temperature) than the new PL index and shows a slightly better ~~skill~~ performance (Sect. 3.3). Alternatively, we also suggest a method to determine ~~the~~ a critical characteristic pressure level for the conventional MCAO index from empirical data about PL occurrence (Sect. 3.3.4). ~~The revised 2-D MCAO index~~ This results in a region-specific MCAO index that has the same form as the conventional index~~but avoids the subjective choice of the characteristic pressure level and~~, but provides a region-specific

775 quantitative link to observed PLs. It is a good alternative to the new MCAO index, as it is computationally cheaper and thus a more promising candidate for use in seasonal and climatological assessments, which usually compare the phenomena in multiple data sets over very long time-scales. An interesting ~~line of future work would~~ task for future studies is to compare the predictability of the conventional and the new indices in ~~a seasonal prediction system~~seasonal prediction systems.

780 ~~Our long-term~~ The assessment of the performance of conventional 2-D and new 3-D MCAO indices as proxies for PLs in the Barents and Nordic Seas (STARS data covering the time-period 2002-2011) shows that the new MCAO index performs better in distinguishing time and location of PLs compared with the conventional index (Sect. 3.3). While we show a statistical association between areas with high index values and PLs in a limited geographical and time-domain, our results (e.g. AUC and accuracy scores in Sect. 3.3) also clearly highlight that the complex genesis of PLs cannot be fully cap-

785 tured with the simple diagnostic indices analysed here (both conventional and new indices). This can be expected considering the interplay of various factors that lead to PL genesis. More complex classification schemes, such as self-organising maps, have been ~~reported very~~ also reported recently (Stoll et al., 2021).~~We focus on a simple diagnostic metric here for enabling its use in climatological assessments and seasonal forecasting systems. The association of areas with high values of the~~ The new MCAO index ~~with the location of observed PLs is promising. However, we~~ introduced here does not capture

790 sea-air sensible heat fluxes, which are captured by the conventional MCAO index (Papritz et al., 2015). We have not distinguished between reverse shear and forward shear PLs in this analysis. Whereas ~~front~~ forward shear PLs are the most common ones, the reverse shear PLs are more easily detectable due to strong static instability conditions in the lower troposphere

(Michel et al., 2018). ~~Here, we use the criterion of static instability that is measured by the conventional MCAO indices (Kolstad and Bracegirdle, 2008; Kolstad, 2017)~~Ultimately, the choice of an appropriate diagnostic depends on the objective of the study.

In our analysis, we consider a set of pseudo-events for analysing the behaviour of indices during randomly selected weather conditions. A broader climatological assessment, computing hourly indices for time-intervals of several decades is beyond the scope of this study. Considering that PLs are rare events, the association between areas and times with high index values with areas and times of observed PLs might be overestimated. Future studies could build on this analysis, for example, by analysing longer PL data sets, such as provided in ~~Rojo et al. (2019)~~Rojo et al. (2019), taking into account different geographical areas and considering alternative performance metrics, such as the extremal ~~dependance index (EDI) (Wulff and Domeisen, 2019)~~dependence index (EDI, Wulff and Domeisen, 2019). If the performance of diagnostic indices shown in this study for a limited time-interval (2002-2011) and geographical region proof to be robust in other times and regions, then the new indices might be a useful complement for marine services on PLs.

The methods for 3-D interactive visual analysis of ERA5 data introduced here (Sect. 2.2, Sect. 3.1) are publicly available (Met.3D - Homepage, 2021; Met.3D - Documentation, 2021; Met.3D - Documentation ERA5, 2021) and can be used generically, for interactive visual analysis of meteorological phenomena resolved in ERA5 data. We see great potential ~~for using the open-source software *Met.3D*~~ in using methods for interactive 3-D visual data exploration during the explorative ~~phase~~ phases of scientific workflows, as performed in this study, ~~as well as for more~~ for detailed meteorological case-analyses, diagnosis of model simulations and development of new hypotheses.

Code availability. The code of the open-source visualization framework *Met.3D* is available at: https://gitlab.com/wxmetvis/met.3d. Links to documentation and further resources are availabe at: https://met3d.wavestoweather.de and https://collaboration.cen.uni-hamburg.de/display/Met3D. The Python and bash scripts for pre- and post-processing, statistical analyses and visualizations are available upon request.

Video supplement. The following movies illustrate interactive visual data analysis using *Met.3D* and provide supplementary insights into the 3-D dynamics of MCAOs and PLs in ERA5:

– **Movie 1**: Interactive visual data analysis of a Marine Cold Air Outbreak in ERA5 data.

– **Movie 2**: Interactive visual data analysis of a Polar Low in ERA5 data.

– **Movie 3**: Interactive visual data analysis of the characteristic pressure level in the conventional MCAO index.

– **Movie 4**: Dynamics of the upper boundary of a MCAO (time of MCAO: March, 2011).

– **Movie 5**: Dynamics of the upper boundary of a MCAO and the dynamical tropopause (time of MCAO: March, 2011).

– **Movie 6**: Dynamics of the upper boundary of a MCAO (time of MCAO: December, 2002).

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Appendix A: **Summary technical workflow**

For the main part of our analyses, we use data from the ERA5 archive hosted at the German Climate Computing Center (DKRZ), which is a copy of the original ERA5 archive (a total of 1.3 petabyte; DKRZ, 2020). The ERA5 data is remapped to a regular latitude-longitude grid using the Climate Data Operators (CDO) (Schulzweida, 2020), as *Met.3D* requires a regularly spaced horizontal grid. The remapping of ERA5 was conducted on *Mistral*, the super-computer at the DKRZ. The remapped data was transferred to the regional computing center for visual data analysis of single cases. For interactive visual analysis in *Met.3D* all data that is rendered into a 3-D scene has to fit into the memory of a single GPU. New data is loaded on demand, when selecting new variables or manually stepping through time. For the visual data analysis, we used a NVIDIA Tesla T4 GPU in a vGPU setup with a global memory of 8 GB. A total of around 3 TB of ERA5 data was probed by means of manual selection and visual data exploration. The remapping of ERA5 data and the computation of the diagnostic indices for the 132 PL events and the 132 random pseudo-events were conducted on *Mistral* at the DKRZ. After selection of the required geographical sub-domain (Barents and Nordic Seas), time-intervals (covering all events) and remapping to regular grids, a total of approximately 1 TB ERA5 data were processed for computing the diagnostic indices.
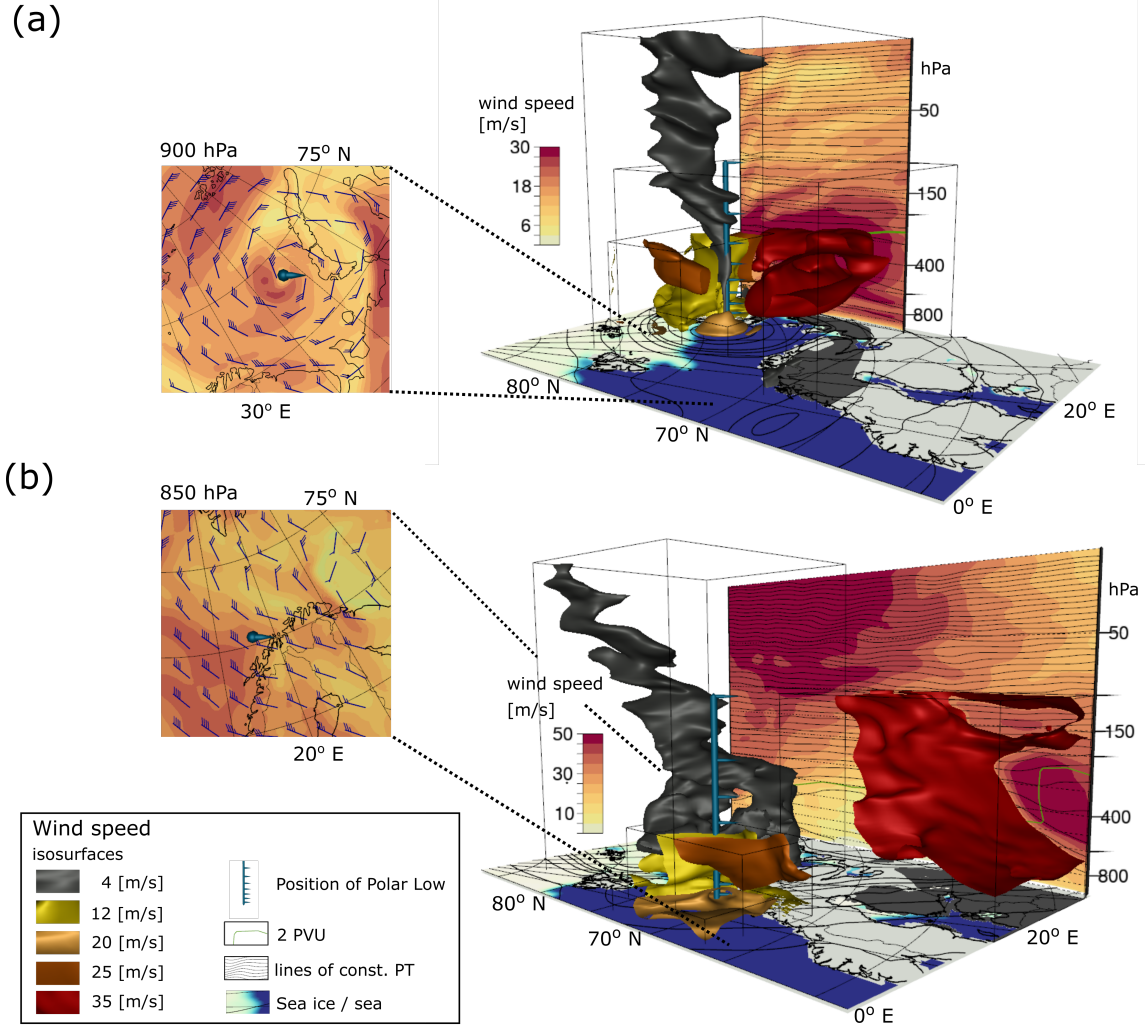
Figure 2. Three-dimensional interactive visual analysis of PLs in ERA5 data. Winds are visualized for the times of two PLs. **(a)** In case 1 2002/12/19, 16:00, a symmetric slow wind "eye" is observed (gray isosurface) in the area where a PL is reported (Brace-girdle, 2012; Føre et al., 2012), with a pronounced vortex in the wind field around it (see inlay ~~with wind barbs~~). The tube-like, co-herent volume of air with slow winds extends up into the stratosphere. As expected, fast winds are observed near the surface. Com-plex 3-D structures of the wind field in the lower troposphere are visualized by means of isosurfaces constrained to different bound-ing boxes for selective illustration of various wind speeds in different volumes of air in close proximity to the observed PL. The illus-trated aspects of the 3-D wind field show similarities to previously described, ~~typical 2-D~~ average wind-patterns during reverse shear PLs ~~(Michel et al., 2018)~~ (Fig. 8 in Michel et al., 2018; Terpstra et al., 2016). Movie 2 demonstrates the interactive 3-D data exploration of PL case 1 using *Met.3D*. **(b)** In case 2 2011/03/24, 11:00, no symmetric slow wind eye is observed in the lower troposphere in the area of the reported PL (Noer et al., 2011). The jet-stream is stronger and located further south.
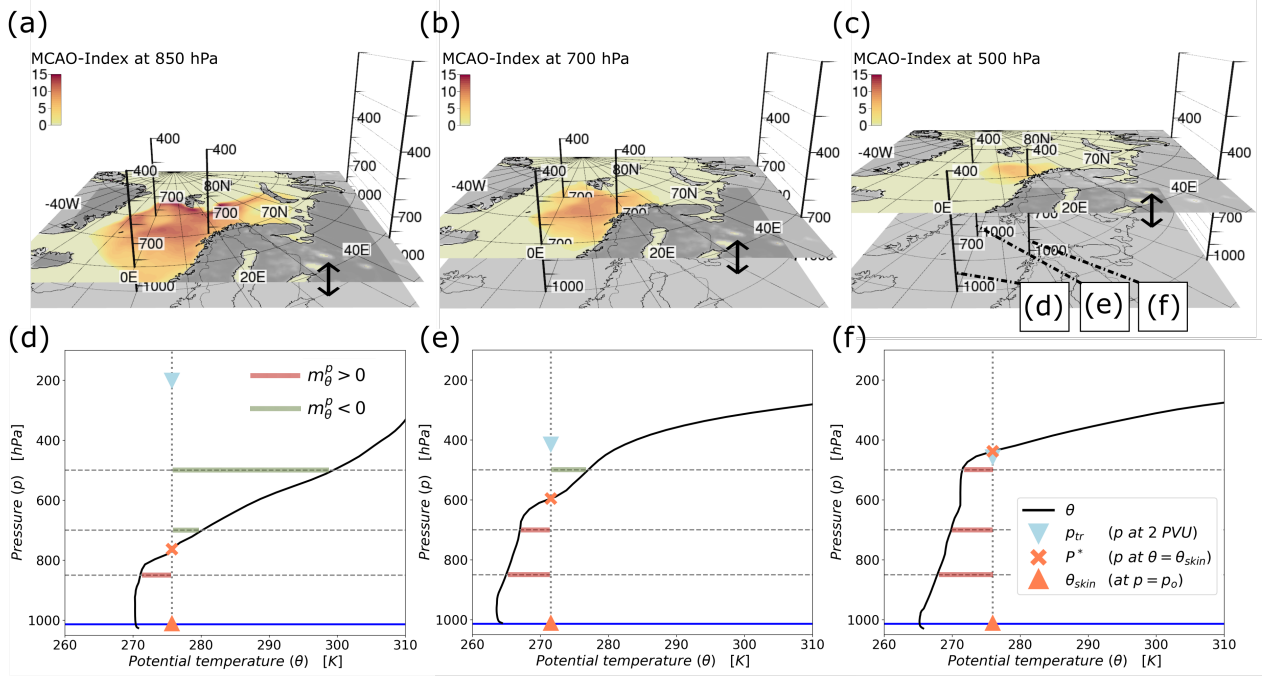
Figure 3. Extending the conventional MCAO index to 3-D. (a - c) Sensitivity of the conventional MCAO index to the choice of the characteristic pressure level. The MCAO index is calculated for the 24th of March 2011, 14:00, at different characteristic pressure levels (i.e. Eq. 2 with different values of θ_p): **(a)** 850 hPa; **(b)** 700 hPa; **(c)** 500 hPa. ~~(d -f)~~ **(d - f)** Vertical ~~profile~~ profiles of potential air temperature at selected locations within the MCAO (locations indicated by the poles in ~~(a-c)~~panels **a - c**). The 3-D variant of the conventional MCAO index is positive below and negative above the critical pressure level, p^* (illustrated as an orange cross), at which $\theta_{skin} = \theta_p$. The red and green lines illustrate the difference in potential temperature at the pressure levels shown in ~~(a - c)~~**a - c**. Movie 3 demonstrates the interactive visual analysis of the effect of varying the characteristic pressure level in the conventional MCAO index. Fig. 4 illustrates the 3-D structure of the MCAO shown here by visualizing the isosurface of p^* ~~, as shown here (d-f) for exemplar positions,~~ for the entire geographical domain.
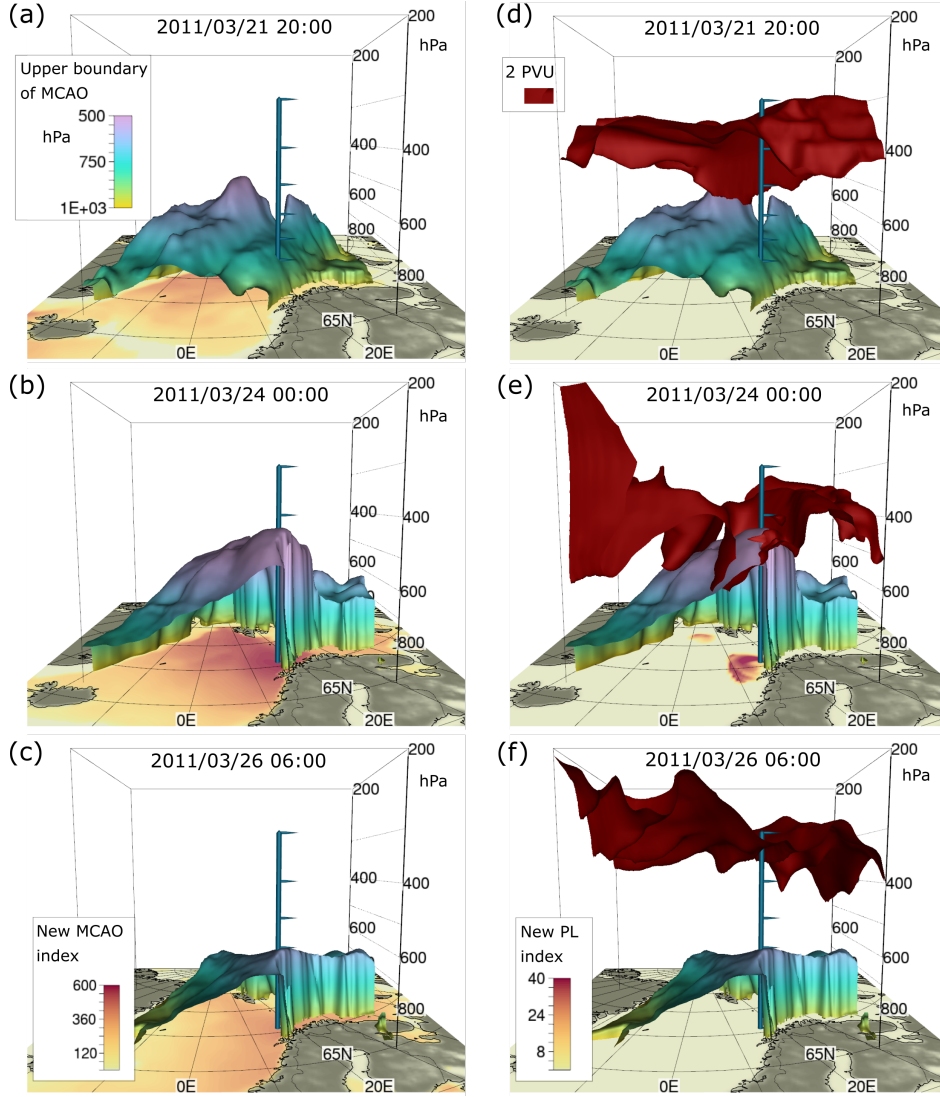
Figure 4. Upper boundary of a MCAO and its distance from the dynamical tropopause (a - c) Spatio-temporal variations in the upper boundary of a MCAO, defined here as the pressure level, p^*, at which ~~$\theta = \theta_{skin}$~~ $\theta = \theta_{\text{skin}}$. The new MCAO index, m_p (Eq. 3), which ~~measures the pressure difference between~~ approximates the ~~surface and p^*,~~ "height" of MCAOs is shown on the horizontal cross-section. **(d - f)** The dynamical tropopause extends downwards into the lower-level instability caused by the MCAO. Movies ~~4-5~~ 4-6 show a time-lapse of ~~3D~~ 3-D dynamics of the upper boundary and the dynamical tropopause for this case ~~. Movie 6 shows a time-lapse of 3D dynamics of the upper boundary of~~ and for the MCAO case depicted in Fig. 1. ~~We count the number of PLs in the STARS data for which the dynamical tropopause extends downward into~~ The vertical pole is plotted at a fixed location to indicate the ~~area~~ mean position of the ~~MCAO and assess associations between areas with high vertical extent of MCAOs and~~ observed ~~PLs (see Fig. 5 and 7)~~ PL in STARS.
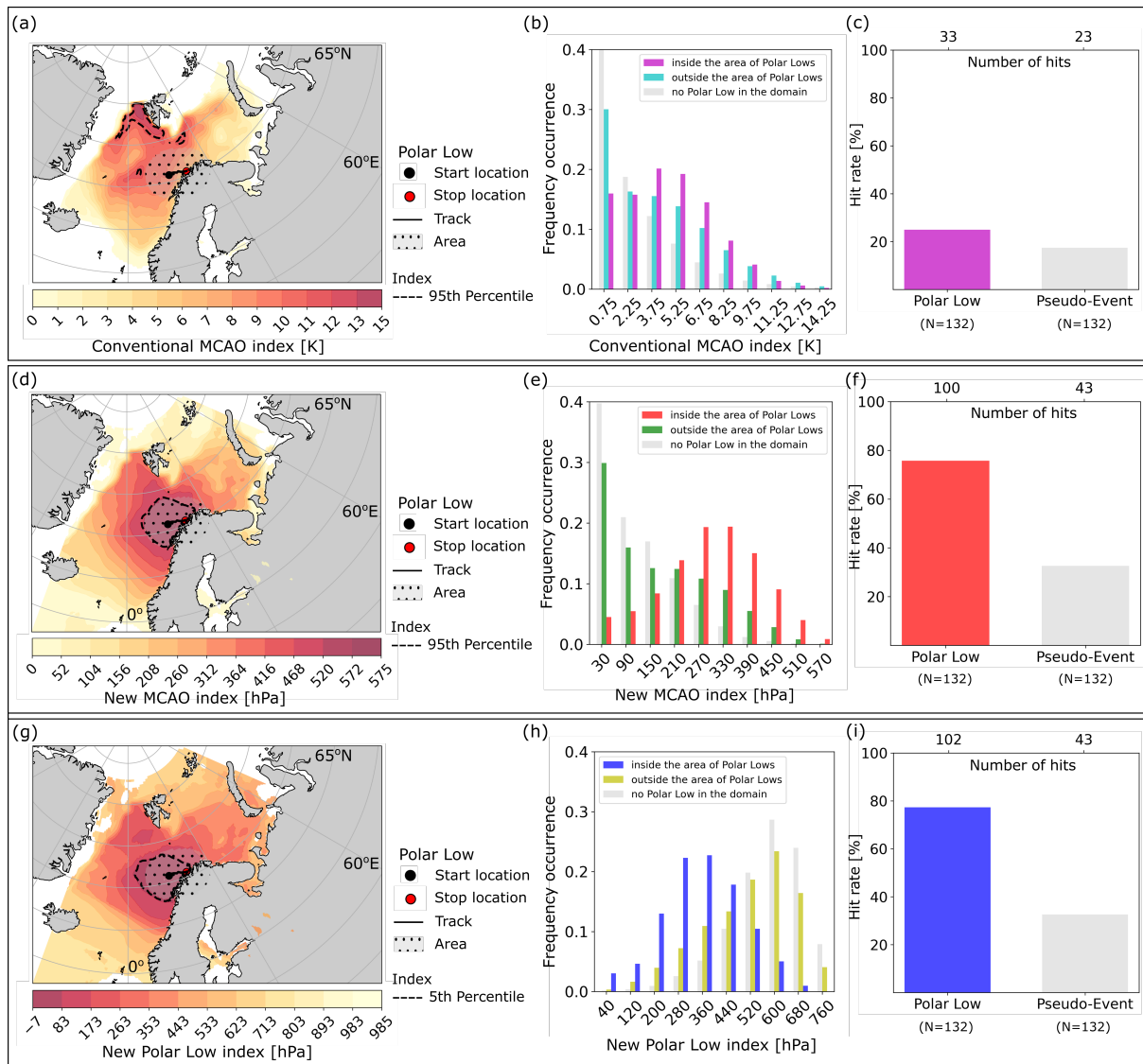
Figure 5. Association of diagnostic indices with locations of observed PLs. (a - c) Conventional MCAO index (Eq. 1); **(d - f)** new MCAO index (Eq. 3); **(g - i)** new PL index (Eq. 4). Maps **(a, d, g)**: Diagnostic indices for one selected example, the ~~time of the~~ PL on the 24th of March, ~~2011.~~ 2011 (index values are averaged over all time-steps of the event; see Sect. 2.4). PL track ~~data (Noer et al., 2011; STARS - data, 2013)~~ from the STARS dataset (Noer et al., 2011). Histograms **(b, e, h)**: distribution of index values in all grid-cells for all PLs during years 2002-2011 separated into areas within and outside of the area of observed PLs. Gray bars show index values in all grid-cells of the domain during a set of randomly selected times with no PL (pseudo-events defined as a proxy for "normal" weather conditions without PLs; ~~for details,~~ see Sect. 2.4). Bar-charts **(c, f, i)**: number of overlaps between areas with high index values (≥95-th percentile) and the area of observed PLs and random pseudo-events, respectively.
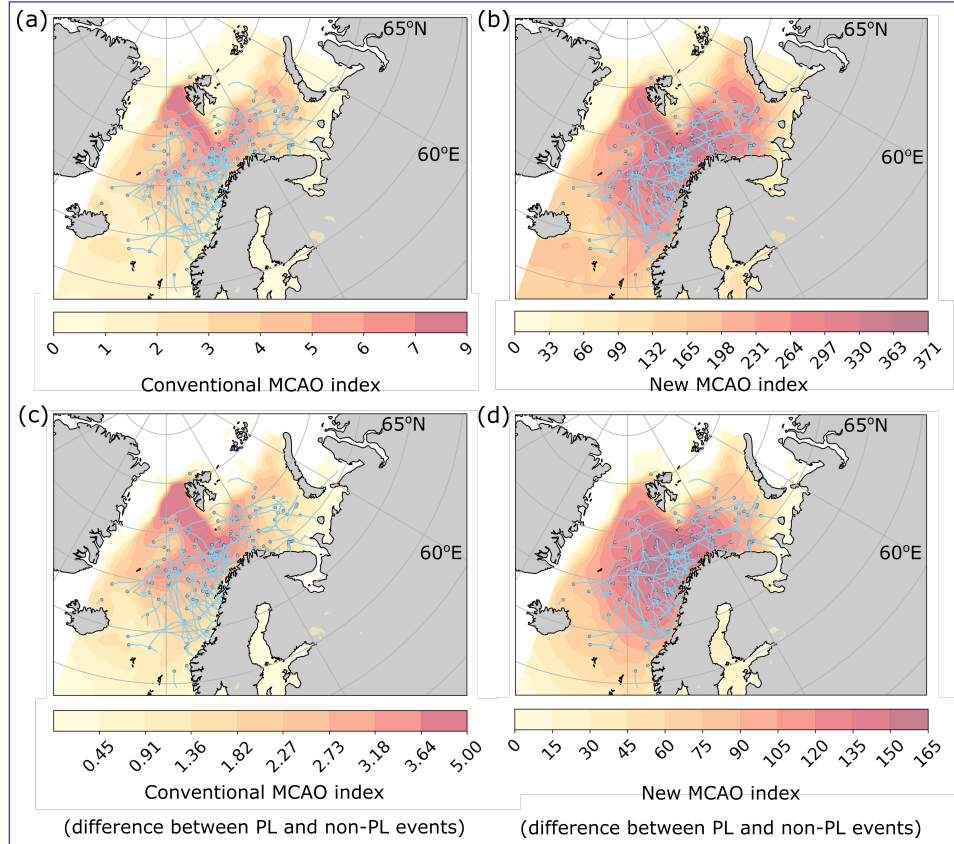
Figure 6. Composite analysis of the conventional and the new MCAO index. (a) Long-term average of the conventional MCAO index during all PL events. **(b)** Long-term average of the new MCAO index during all PL events. **(c)** Difference between long-term average of the conventional MCAO index during PL events and pseudo-events. **(d)** Difference between long-term average of the new MCAO index during PL events and pseudo-events. PL tracks are plotted as blue lines with the circle at the genesis location reported in STARS.
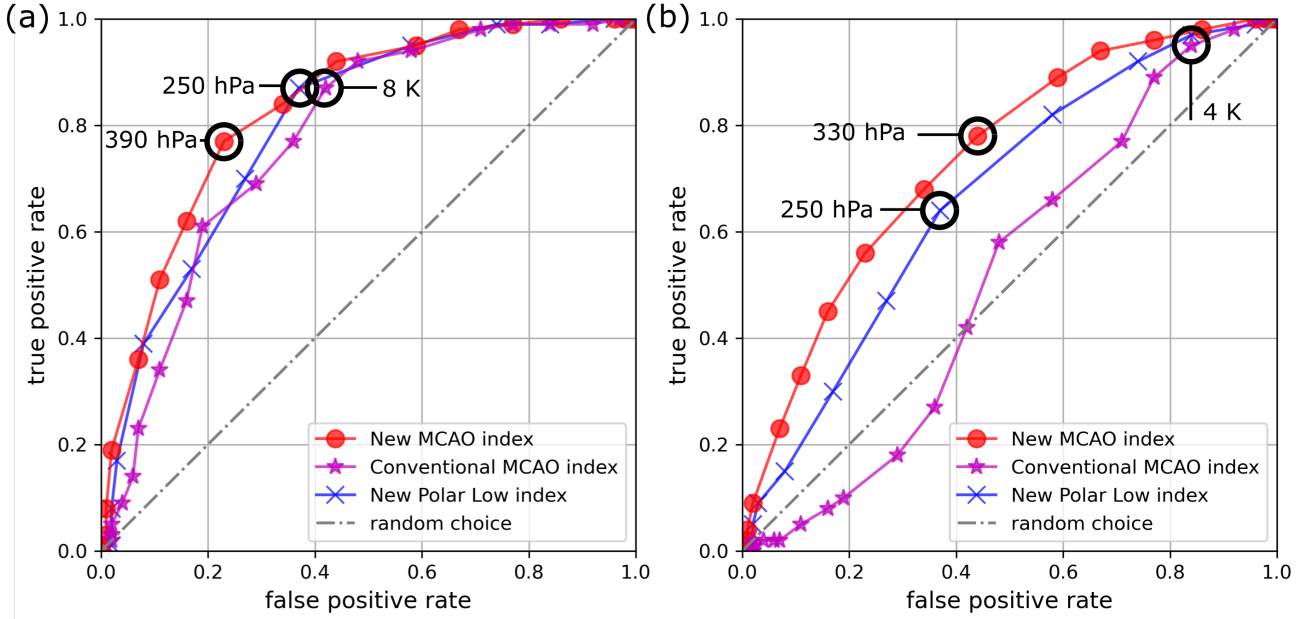
Figure 7. ROC curves for distinguishing times and locations of PLs based on conventional and new diagnostic indices. Panels: ~~(a)~~ (a) task 1: distinguish the time of PL events and ~~(b)~~ (b) task 2: distinguish the time and location of PL events. Index scores are compared with the times and locations of observed ~~Polar Lows~~PLs, as reported in the STARS data (Noer et al., 2011; STARS - data, 2013), by testing a set of critical thresholds (Eq. 6), for distinguishing areas and times at risk for Polar Lows. Diagnostic indices: the conventional MCAO index (Eq. 1), the new MCAO index (Eq. 3), and the new Polar Low index (Eq. 4). The critical thresholds highlighted in black are the best classifiers, defined as the thresholds $\hat{M}_i$ M_i^{crit} (Eq. 6) ~~which~~ that maximize ~~Youdens~~ Youden's index (Youden, 1950). These are used for calculating the accuracy of indices in distinguishing times and areas of PLs (see text and Table 2).

Appendix B: Examples of randomly generated pseudo-events
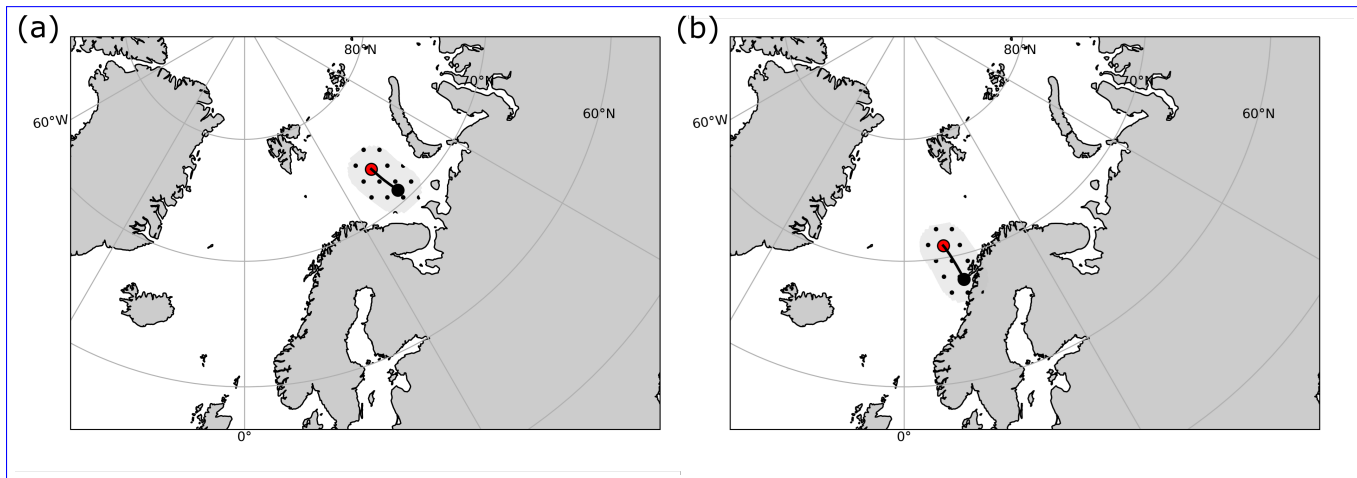
Figure B1. Examples of randomly generated pseudo-events to test performance of diagnostic indices. (a) one of the pseudo-events generated in winter 2003 (b) one of the pseudo-events generated in winter 2007. Pseudo-events are defined at randomly selected times and locations when no PL was observed to test if diagnostic indices are useful for distinguishing ocurrence and non-occurence of PLs.

 Appendix C: Examples of PL events not captured by the new MCAO index
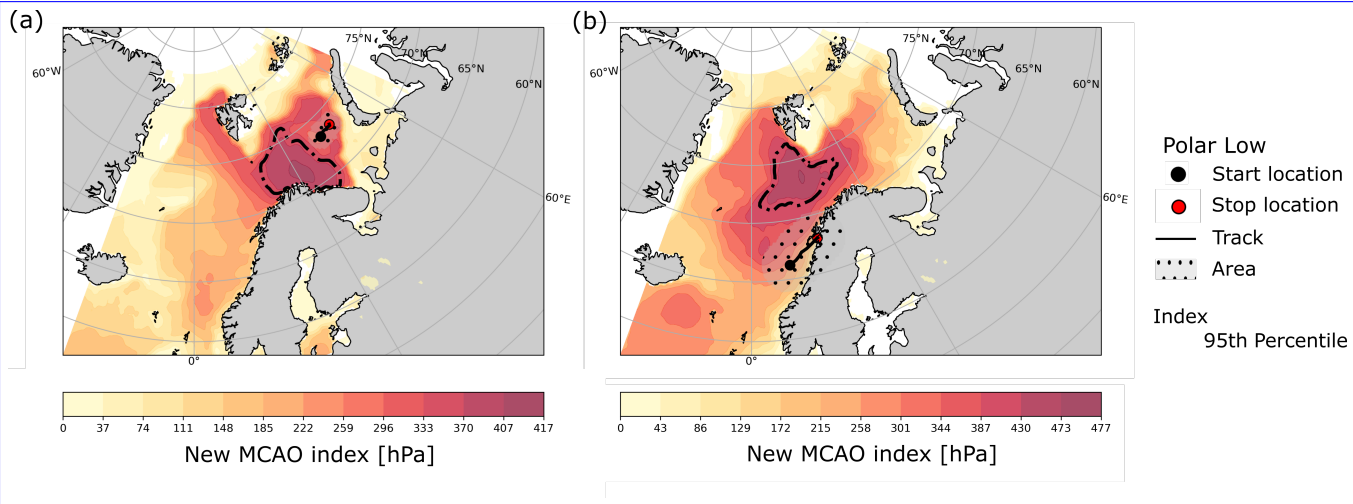
Figure C1. Examples of PL events that were not captured by the new MCAO index. (a) PL event on March 4th, 2010 (b) PL event on March 13th, 2011. The area with highest index values, delineated by the 95th percentile (dashed black line), does not overlap with the area of observed PLs (STARS).

Appendix D: Comparison of dichotomized regional and new MCAO index

(a) New MCAO index > M$^{\mathrm{crit}}$ (b) Regional MCAO index > 0
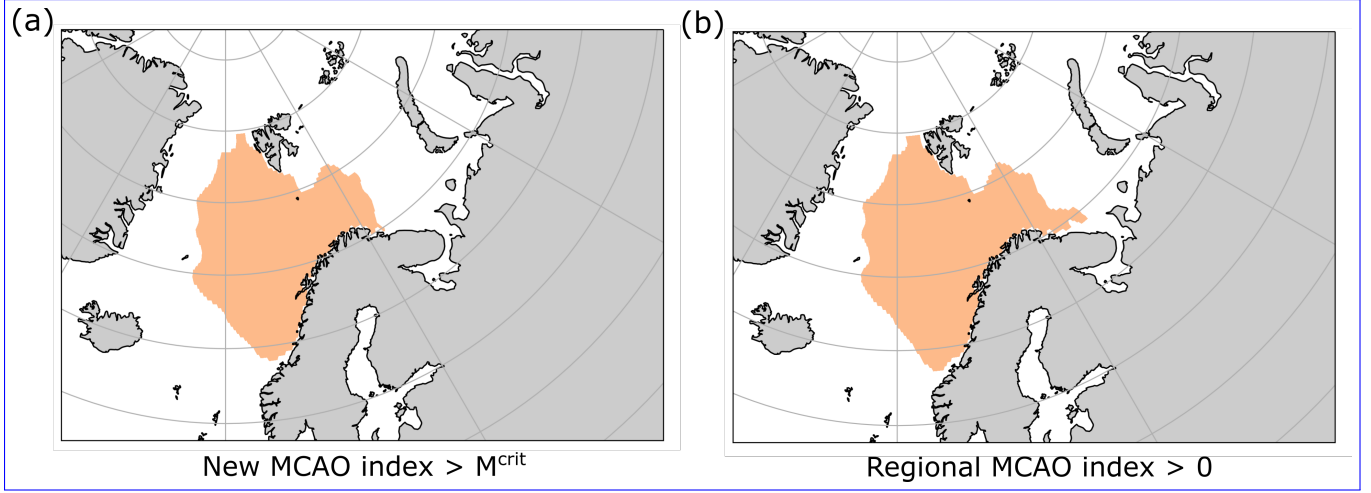
Figure D1. Comparison of dichotomized regional and new MCAO index for one examplar time-step (14:00 on the 24th of March, 2011). (a) New MCAO index (m_p, Eq. 3). Orange area: the new MCAO index is larger than the critical threshold determined via the analyses in Sect. 3.3.3 (i.e. $m_p > M_p^{\mathrm{crit}} = 330$hPa). (b) Regional index (m_θ^{crit}, Eq. 7). Orange area: the regional index is larger than zero. As described in Sect. 3.3.4, the critical pressure level for computation of the regional index can be obtained as $p_{\mathrm{crit}} = p_0 - M_p^{\mathrm{crit}} = 1013.25 - 330 = 683.25$ hPa. The comparison provides a numerical example to illustrate that $m_p > M_p^{\mathrm{crit}}$ implies $m_\theta^{\mathrm{crit}} > 0$ (assuming that potential temperature increases with height in the top layers of MCAOs). This means that the skill of the new MCAO index in distinguishing times and locations of PLs with a critical threshold of 330 hPa also holds for the regional MCAO index with a critical threshold of 0, because the classification is based on the dichotomized index values (Eq. 6, Sect. 3.3.3). Note that for the example illustrated here we compute the regional index based on ERA5 data on the nearest pressure level (700hPa $\approx$ 683.25hPa) to show that this may be used as a computationally cheaper approximation. The new MCAO index is calculated based on ERA5 data on model levels with interpolation to the pressure level where $\theta_{p^*} = \theta_{\mathrm{skin}}$. This explains the small deviations between the two orange areas.

Appendix E: Classification scheme for testing performance of diagnostic indices

observation (STARS data)	prediction (index values)	
	PL ($\hat{M}_i = 1$, anywhere in domain)	**no PL** ($\hat{M}_i = 0$, everywhere in domain)
PL	true positive	false negative
no PL	false positive	true negative

Table E1. Confusion matrix summarizing the classification scheme for task 1. In task 1 we test the performance of indices in distinguishing the time of PL occurrence.

observation (STARS data)	prediction (index values)	
	PL ($\hat{M}_i = 1$, inside the area of PL/pseudo-event)	**no PL** ($\hat{M}_i = 0$, everywhere in domain)
PL	true positive	false negative
no PL	false positive	true negative

Table E2. Confusion matrix summarizing the classification scheme for task 2. In task 2 we test the performance of indices in distinguishing the time and location of PL occurrence.