

Abstract

One of the most important components of an atmospheric radiation scheme is its treatment of gas optical properties, which determines not only the accuracy of its radiative forcing calculations fundamental to climate prediction, but also its computational cost. This paper describes a free software tool ‘ecCKD’ for generating fast gas-optics models by optimally dividing the spectrum into pseudo-monochromatic spectral intervals (known as k -terms) according to a user-specified error tolerance and the range of greenhouse-gas concentrations that needs to be simulated. The models generated use the correlated k -distribution method in user-specified bands, but can also generate accurate ‘full-spectrum correlated- k ’ models that operate on the entire longwave or near-infrared parts of the spectrum. In the near-infrared, the large spectral variation in cloud absorption is represented by partitioning the parts of the spectrum where gases are optically thin into 2–6 sub-bands, while allowing k -terms for the optically thicker parts of the spectrum (where clouds and surface reflectance are less important) to span the entire near-infrared spectrum. Candidate models using only 16 and 32 k -terms in each of the shortwave and longwave are evaluated against line-by-line calculations on clear and cloudy profiles. The 32-term models are able to accurately capture the radiative forcing of varying greenhouse gases including CO₂ concentrations spanning a factor of 12, and heating rates at pressures down to 1 Pa.

Plain Language Summary

A crucial component of atmospheric computer models used to make climate projections and weather forecasts is the ‘gas optics scheme’, which represents the interaction of sunlight and infrared radiation with greenhouse gases. This paper describes a free software tool ‘ecCKD’ that uses a number of novel techniques to generate new gas optics schemes that are computationally faster than most existing schemes while still being very accurate. For example, the schemes are able to simulate variations in carbon dioxide concentration spanning a factor of 12 and methane concentration spanning a factor of 10. Users of ecCKD can generate schemes that are optimized for specific applications, such as short-term weather forecasting or simulating past climates. A special focus has been placed on the near-infrared part of the solar spectrum to ensure that the schemes work well when computing the interactions of sunlight simultaneously with gases and clouds, important to ensure that the impact of clouds on weather and climate is well simulated.

1 Introduction

Perhaps the most fundamental part of a climate model is the gas-optics module of its radiation scheme; in fact, one of the most influential (and indeed Nobel-prize-winning) studies of the climatic impact of increased greenhouse gases used a climate model consisting of little more than a radiation scheme coupled to a convective-adjustment scheme (Manabe and Wetherald, 1967). The correlated k -distribution (CKD) method (Goody et al., 1989; Lacis and Oinas, 1991) has emerged as the leading technique for treating the radiative effects of gases that is fast enough to use in 3D weather and climate models. Many models still use older alternatives; DeAngelis et al. (2015) reported a large spread in the magnitude of the near-infrared (NIR) water vapor feedback amongst 14 climate models, but those using the CKD method were found to be much the most accurate compared to benchmark line-by-line (LBL) radiation calculations.

CKD models are very time consuming to develop from scratch, so when writing a new radiation scheme one must usually incorporate one of the small number of off-the-shelf models, even though it may not be optimized for ones particular application. The perceived high computational cost of radiation schemes has spurred numerous ideas to accelerate them, such as replacement of the radiation scheme (or only its gas-optics component) by a neural network (e.g. Ukkonen et al., 2020), or sub-sampling of model columns (Barker et al., 2021). The computational cost of a radiation scheme scales with the number of pseudo-monochromatic calculations (hereafter referred to as ‘ k -terms’ or spectral intervals) required to represent the entire spectrum, which is determined by the gas-optics scheme. Along with several other modeling centers, the European Centre for Medium-Range Weather Forecasts (ECMWF) uses the ‘RRTMG’ (Rapid

62 Radiative Transfer Model for General Circulation Models; [Mlawer et al., 1997](#)) CKD gas-optics
 63 model, which employs 112 terms in the shortwave and 140 in the longwave. However, there is
 64 a significant variation; [Hogan et al. \(2017\)](#) reported that the number of k -terms in seven global
 65 weather forecast models spanned more than a factor of 3.7. This leads us to ask: what is the min-
 66 imum number of k -terms that a CKD model needs while still being sufficiently accurate for weather
 67 and climate applications?

68 This paper describes the ECMWF free-software tool ‘ecCKD’, which allows users to gener-
 69 ate CKD models tailored for their own applications. We aim to adopt some of the best features
 70 of CKD models reported in the literature. For example, [Edwards and Slingo \(1996\)](#) described
 71 a radiation scheme that is *flexible* in the sense that the spectral discretization and gas optical prop-
 72 erties are configured at run-time by a spectral file. Their use of the concept of ‘equivalent extinc-
 73 tion’ put additional constraints on the calculations required by the downstream solver such that
 74 the spectral file was, in practice, only compatible with the [Edwards and Slingo \(1996\)](#) radiation
 75 scheme. We use a self-describing netCDF file that consists of little more than a set of look-up
 76 tables, one per gas. While these files can be read by ECMWF’s ‘ecRad’ radiation scheme ([Hogan
 77 and Bozzo, 2018](#)), it would in principle be straightforward to interface them to other radiation
 78 schemes.

79 The CKD method works by grouping non-contiguous parts of the spectrum, where the gaseous
 80 optical properties are similar, into a single pseudo-monochromatic spectral interval. One of the
 81 most interesting developments to the original CKD technique is the full-spectrum correlated- k
 82 (FSCK) approach (e.g. [Modest and Zhang, 2002](#)), based on the insight that for clear-sky radi-
 83 ative transfer, the parts of the spectrum grouped together in one interval can be very separated in
 84 wavelength, thus dispensing with the need for bands. Since fewer bands leads to fewer intervals
 85 overall, this is a powerful way to reduce computational cost. The FSCK idea has been prototyped
 86 for atmospheric applications in the shortwave ([Pawlak et al., 2004](#)) and longwave ([Hogan, 2010](#)).
 87 The ecCKD tool is capable of producing CKD models using either traditional bands or treating
 88 the whole spectrum in a single band. It can also produce hybrid models to address the challenge
 89 posed by the large spectral variation in surface albedo and cloud optical properties in the NIR.

90 The classical CKD method involves reordering the absorption spectra separately for dif-
 91 ferent atmospheric conditions (pressure, temperature and H₂O concentration) and assuming per-
 92 fect rank correlation between these spectra, implicitly allowing radiation to change wavelength
 93 as it traverses the atmosphere. We prefer each spectral interval of a CKD scheme to correspond
 94 to a unique set of wavelengths, independent of height, an approach taken by, for example, [Ben-
 95 nartz and Fischer \(2000\)](#), [Hogan \(2010\)](#) and [Doppler et al. \(2014\)](#). This has sometimes been re-
 96 ferred to as the *uncorrelated k -distribution* method, although we prefer to consider this as a vari-
 97 ant of the CKD method since its accuracy still relies on the high correlation of absorption spec-
 98 tra at each height, even though perfect rank correlation is not assumed. By reporting the spec-
 99 tral mapping in the spectral file, the optical properties of clouds and aerosols can be averaged ac-
 100 curately to each spectral interval. Furthermore, by allowing optical properties to be specified in
 101 individual spectral intervals, rather than only in bands, we overcome the challenge identified by
 102 [Lu et al. \(2011\)](#) that the optical properties of clouds and water vapor are correlated within a band.

103 The paper is organized as follows. The steps of the method are described in section 2, and
 104 are illustrated via the production of two candidate CKD models in the shortwave and two in the
 105 longwave. Section 3 evaluates these models using independent LBL calculations for 50 indepen-
 106 dent clear-sky atmospheric profiles, and in section 4 the models are evaluated in cloudy skies.

107 2 Method

108 2.1 Overview

109 The ecCKD tool performs a sequence of tasks shown in Fig. 1, each of which is config-
 110 urable by the user. Rather than computing atmospheric absorption spectra from scratch, ecCKD
 111 takes as input pre-computed absorption spectra from the Correlated K-Distribution Model Inter-

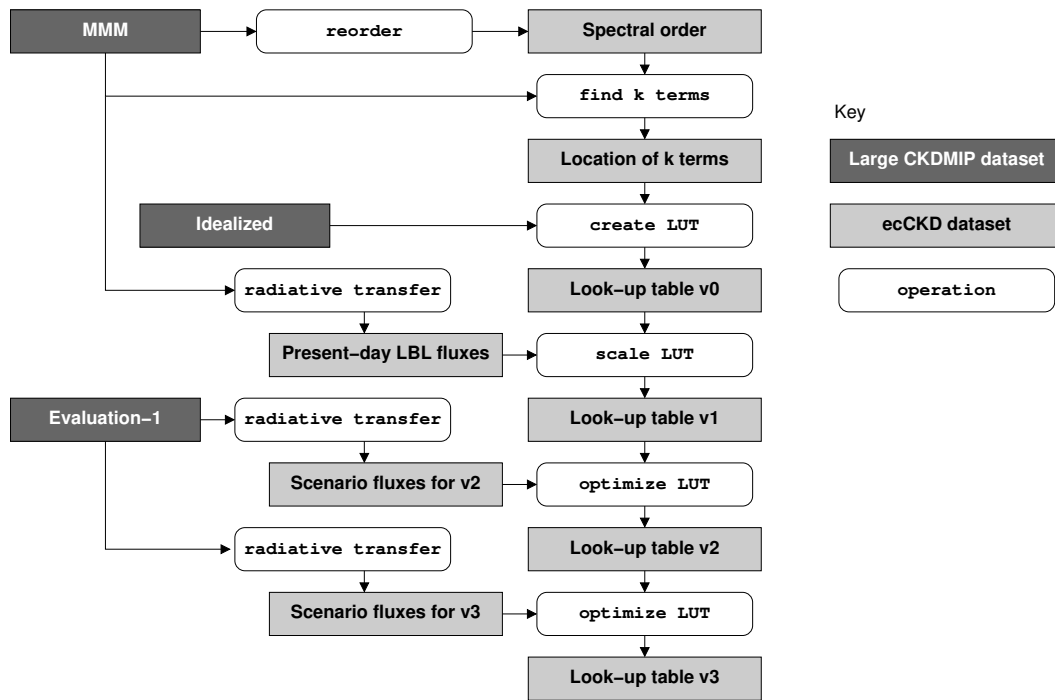


Figure 1. Flowchart illustrating the steps of the ecCKD method (white boxes), which make use of the large CKDMIP datasets of [Hogan and Matricardi \(2020\)](#) and store intermediate information in smaller netCDF files (light grey boxes), ultimately producing a look-up table (LUT) file for use in a radiation scheme. ‘MMM’ refers to the CKDMIP dataset containing the median, minimum and maximum profiles from a much larger database.

112 comparison Project (CKDMIP; [Hogan and Matricardi, 2020](#)), performing LBL radiation calculations on them as needed. The datasets are described in section 2.2, and the representation of
 113 gases in section 2.3. The user specifies the bands to be used (section 2.4), within which the spectra are reordered separately for each gas (section 2.5). Sections 2.6 and 2.7 describe how each
 114 band is partitioned into spectral intervals, also known as k -terms or g -points, according to a user-specified error tolerance. Section 2.8 then describes how an initial set of gas-absorption look-up
 115 tables (LUTs) is created for each gas and each k -term, which constitutes a functioning but possibly inaccurate CKD model in the form of a file that can be used to configure the gas optical prop-
 116 erties in a radiation scheme. The subsequent steps then refine these LUTs; in the shortwave the absorptions are scaled so as to produce an exact profile of direct irradiances for each k -term for
 117 one particular representative atmosphere (section 2.9). In both the longwave and shortwave, a number of optimization steps are performed to refine the LUT coefficients in order to minimize
 118 the errors in irradiances and heating rates for a set of training profiles (section 2.10).
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125 2.2 Data

126 The ecCKD tool makes use of the CKDMIP LBL spectral absorption dataset described by
 127 [Hogan and Matricardi \(2020\)](#), appropriate for the terrestrial atmosphere. The gases considered
 128 are H₂O, O₃, O₂, N₂, and the well-mixed greenhouse gases (WMGHGs) CO₂, CH₄, N₂O, CFC-
 129 11 and CFC-12. Except for H₂O, the molar absorption of all these gases can be considered in-
 130 dependent of their concentration, so a very wide range of climate scenarios can be considered
 131 by simply scaling the absorptions. According to [Meinshausen et al. \(2017\)](#), these five WMGHGs
 132 represent 94.5% of anthropogenic greenhouse warming in terms of longwave radiative forcing
 133 since 1750, and a further 38 more minor gases (representing the remaining 5.5% of radiative forc-

ing) can be adequately represented by using an increased ‘equivalent’ concentration of CFC-11. This approach is common in the various phases of the Coupled Model Intercomparison Project given that most or all climate-model radiation schemes are unable to represent all 43 WMGHGs listed by Meinshausen et al. (2017). However, there is no reason why other gases could not be added to ecCKD if LBL calculations were performed to provide additional absorption spectra in the appropriate format.

As described by Hogan and Matricardi (2020), the spectral resolution of the dataset is variable, being finest in the strong absorption bands of CO₂ because at mesospheric altitudes the CO₂ lines are only Doppler broadened and thus become very narrow. This results in a total of 7 211 999 spectral points in the longwave and 3 126 494 in the shortwave. The resolution of the dataset in terms of pressure, temperature and H₂O mole fraction is given in section 2.8, and the total volume is around 1 TB.

2.3 Gas representation

Ultimately, a CKD model produced by ecCKD computes molar absorption coefficient k_i (the absorption cross section per mole of *all* gases) in spectral interval i at pressure p and temperature T as the sum of the contribution from m gases, as follows:

$$k_i(p, T, \psi_1 \cdots \psi_m) = k_i^0(p, T) + \sum_{j=1}^l k_i^j(p, T) \psi_j + \sum_{j=l+1}^n k_i^j(p, T, \psi_j) \psi_j + \sum_{j=n+1}^m k_i^j(p, T) \times (\psi_j - \psi_j^{\text{ref}}), \quad (1)$$

where ψ_j is the mole fraction of gas j . The four terms on the right-hand-side represent the four different ways that gases can be represented. The first is the *background* term, a 2D look-up table representing the combined contribution from all gases with a constant, pre-defined mole fraction. For a model intended for climate simulations, this would typically include only O₂ and N₂, but for a CKD model targeting present-day NWP we could include the contribution from WMGHGs. The fact that the LUT includes a dependence on pressure means that a pressure dependence of the concentration of these gases can be represented (e.g. as shown in Fig. 2 of Hogan and Matricardi, 2020). The second term represents gases 1 to l , whose absorption varies *linearly* with mole fraction; in this case k_i^j is the molar absorption coefficient of gas j , i.e. the absorption cross-section per mole of the gas. The third term represents gases $l+1$ to n whose absorption varies *nonlinearly* with concentration; in this case a 3D LUT is used for molar absorption coefficient, with an additional dependence on the mole fraction of the gas in question. In the terrestrial atmosphere only H₂O is in this category, and the representation here allows the contribution from the water vapor continuum (both self and foreign) to be treated completely with no need to separate the line and continuum contributions to the absorption, as is done by many existing CKD models.

The fourth term in (1) has what we refer to as a *relative-linear* dependence of absorption on mole fraction: a ‘reference’ mole fraction, ψ_j^{ref} , is defined for the gas, typically the mean surface present-day concentration. The absorption by present-day concentrations of the gas is then folded into the background term, while the fourth term represents the additional absorption due to perturbations (which may be negative) of concentrations from ψ_j^{ref} . This approach is useful for some minor greenhouse gases where one k -term may be approximating a large range of absorptions, resulting in the transmittances behaving as if the dependence of k_i^j on ψ_j is not perfectly linear. We have not found it necessary to use a full nonlinear treatment for these gases (as for H₂O), but the relative-linear term can be thought of as a linearization around the present-day concentration.

It is up to the user which of the four representations to use for each gas, and the choice depends particularly on what range of greenhouse-gas concentrations will need to be simulated by the target CKD model. The example models generated in this paper are intended to simulate the

179 climate scenarios proposed by [Hogan and Matricardi \(2020\)](#). In both the shortwave and longwave,
 180 we represent O₂ and N₂ absorption by the background term, CO₂ and O₃ absorption as linear terms,
 181 H₂O as a nonlinear term, and CH₄ and N₂O as relative-linear terms. In the longwave, CFC-11
 182 and CFC-12 are represented by linear terms, while in the shortwave they are neglected (see Ta-
 183 ble 4 of [Hogan and Matricardi, 2020](#)). If ecCKD were to be applied to an extraterrestrial atmo-
 184 sphere then the choice of gases and how to represent them would need to be reconsidered, and
 185 if processes such as collision-induced absorption were important then in principle an additional
 186 term could be added to (1) representing absorption dependent on the concentration of two dif-
 187 ferent gases.

188 2.4 Band selection

189 The selection of bands is entirely specified by the user, while the partitioning of each band
 190 into k -terms is automated. Many CKD models select band boundaries in order to minimize the
 191 number of absorbing gas species in a band, to ensure that the assumption of random overlap of
 192 gas absorption is valid, or to cap the error due to assuming the Planck function to be constant across
 193 each band. Since ecCKD is not subject to these limitations (any number of gases can be handled
 194 with arbitrary overlap, and the Planck function is computed exactly for each k -term), the choice
 195 of bands is driven by (1) the need to represent spectral variations of the properties of clouds, aerosols
 196 and the surface, and (2) the needs of downstream users for irradiances in specific bands. The mod-
 197 els generated are given names of the form ecCKD- B - N , where B is the name of the band struc-
 198 ture and N is the total number of k -terms.

199 In the longwave, the radiative effect of clouds is dominated by a fairly narrow range of wave-
 200 lengths in the infrared atmospheric window. We therefore hypothesize that adequate accuracy
 201 can be achieved without the use of bands, i.e. treating the entire longwave spectrum as a single
 202 band (the ‘FSCK’ band structure), provided that the optical properties of clouds are computed
 203 separately per k -term. This is verified *a posteriori* in section 4, where we also evaluate an ecCKD
 204 model generated with the ‘Narrow’ 13-band structure suggested by [Hogan and Matricardi \(2020\)](#).

205 In the shortwave there are multiple concerns that suggest the need for bands, as illustrated
 206 in Fig. 2. We first define a ‘Window’ band structure with 19 bands (delimited by the vertical black
 207 lines) suitable for reference calculations in an atmospheric model, and then describe a simpler
 208 structure that exploits more of the efficiencies possible with ecCKD. From the point of view of
 209 gases, the important line absorption occurs almost entirely at wavelengths longer than $0.625 \mu\text{m}$
 210 (wavenumbers less than $16\,000 \text{ cm}^{-1}$). At shorter wavelengths, continuum absorption and Rayleigh
 211 scattering dominate, and since these tend to vary monotonically with wavelength, the k -terms se-
 212 lected automatically by ecCKD in this range tend to span contiguous ranges of wavelength and
 213 therefore behave exactly as bands. From the perspective of Numerical Weather Prediction (NWP)
 214 and reanalysis applications, there are several specific bands that are useful for downstream prod-
 215 ucts, and it is preferable to specify them manually rather than leave ecCKD to place k -terms at
 216 arbitrary locations in wavelength. Photosynthetically Active Radiation (PAR) is a common prod-
 217 uct consisting of the surface downwelling irradiance in the range $0.4\text{--}0.7 \mu\text{m}$. In order to gen-
 218 erate real-color imagery (similar to that produced by [Lopez, 2020](#)), this is further split at 0.5 and
 219 $0.6 \mu\text{m}$ to define red, green and blue bands. The ecCKD tool works in wavenumber rather than
 220 wavelength, with shortwave bands specified to the nearest 50 cm^{-1} , so the exact boundaries are
 221 at wavenumbers of $14\,300$, $16\,650$, $20\,000$ and $25\,000 \text{ cm}^{-1}$. The solar energy in each of these
 222 is shown in Fig. 2. The ‘Window’ band structure also uses 7 fine ultraviolet (UV) bands of width
 223 500 cm^{-1} (around 5 nm) for online calculation of UV index. For more specialist applications,
 224 additional bands could be considered such as finer visible bands for modeling of marine biology
 225 (e.g. [Ciavatta et al., 2014](#)) or additional UV bands for computing photolysis rates. The NIR part
 226 of the shortwave spectrum consists of a sequence of windows in the gas absorption within which
 227 the albedo of clouds and the surface tends to step down when moving to longer wavelengths. Since
 228 ecCKD imposes no constraints on the number of active gases in each band, we align the ‘Win-
 229 dows’ band structure to the location of the windows in order to best resolve the very large vari-
 230 ation in cloud and surface albedo.

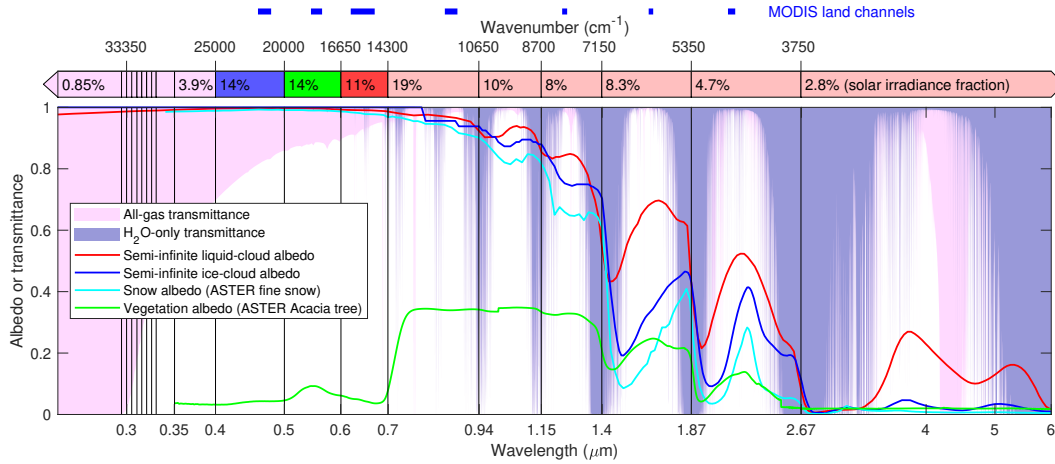


Figure 2. Spectral features of surface and atmosphere informing shortwave band selection. The shading indicates the zenith transmittance of the CKDMIP ‘median’ atmosphere due to both all gases (including Rayleigh scattering) and H₂O only. The red and dark blue lines depict the albedo of semi-infinite liquid and ice clouds with effective radii of 10 and 30 μm , respectively, the latter assuming optical properties for the [Baum et al. \(2014\)](#) ‘General Habit Mixture’. The cyan and green lines depict the albedo of fine snow and vegetation (Acacia tree) from the ASTER dataset. The vertical lines delimit the 19 bands of the ‘Window’ band structure discussed in the text, the bar at the top showing the fraction of incoming solar energy in most of them.

231 For faster radiation calculations, which is the primary focus of this paper, we define the simpler ‘RGB’ band structure consisting of the red, green and blue bands as above, but merging the
 232 UV and NIR each into single bands. Treating the entire NIR (wavelengths longer than around
 233 0.7 μm) in a single band is essentially the FSCK approach taken by [Pawlak et al. \(2004\)](#), but it
 234 would clearly be a poor approximation to treat clouds and surface properties as spectrally constant
 235 in this region. Therefore, ecCKD offers the capability to use ‘sub-bands’, which we demonstrate
 236 in section 2.7 and evaluate in cloudy skies in section 4: only parts of the NIR gas-absorption
 237 spectrum that are optically thin enough for clouds and the surface to be important are partitioned
 238 into sub-bands, while the wavenumbers corresponding to optically thick parts of the spectrum
 239 are treated as a single band.
 240

241 2.5 Reordering the spectrum

242 The longwave and shortwave parts of the spectrum are considered separately. The first task
 243 shown in Fig. 1 is to reorder the spectrum of each gas in order of increasing absorption within
 244 each band. We seek a unique mapping independent of height, and therefore aim to sort the high-
 245 resolution CKDMIP spectra in terms of the approximate height of the peak cooling in the long-
 246 wave and peak heating in the shortwave. We use the ‘median’ atmosphere from the CKDMIP
 247 ‘MMM’ dataset, which is described by [Hogan and Matricardi \(2020\)](#) and contains the profiles
 248 of the median, minimum and maximum temperature, H₂O and O₃ from the 25,000-profile dataset
 249 of [Eresmaa and McNally \(2014\)](#). This is combined with present-day (2020) greenhouse gas con-
 250 centrations. In the longwave we follow a method very similar to that proposed by [Hogan \(2010\)](#):
 251 for each gas a LBL radiative transfer calculation is performed with all other gas concentrations
 252 set to zero and an idealized profile of temperature increasing linearly with the logarithm of pres-
 253 sure from -100°C at 0.01 hPa to $+15^\circ\text{C}$ at 1000 hPa; this ensures that the height of the peak cool-
 254 ing varies monotonically with the strength of the absorption, which is not guaranteed with a more
 255 realistic temperature profile. Sorting is in order of the height of peak cooling rate. This method
 256 fails for low column optical depths, τ , where heating rate peaks at the surface, so when $\tau < 0.5$

257 we sort by τ instead. In the shortwave a simpler approach is taken: the spectra are ordered by the
 258 height at which the optical depth from top-of-atmosphere (TOA) reaches 0.25, which is the height
 259 at which direct radiation for a solar zenith angle of 60° will have fallen to around 60% of the TOA
 260 value. The accuracy of the final CKD model is fairly insensitive to the exact value of threshold
 261 optical depth; we find that changing it to 0.5 has a negligible effect on the results. Figure S1 in
 262 the Supporting Information depicts NIR H_2O molecular absorption versus cumulative probabili-
 263 ty at different pressure levels, and illustrates that, despite imperfect rank correlation of the ab-
 264 sorption spectra between levels, the procedure above ensures that at a particular pressure the ab-
 265 sorption coefficients are most accurately reordered for the wavenumbers that contribute most to
 266 the solar heating at that pressure.

267 The result of the reordering is written into a spectral-order file for each gas, containing the
 268 integer rank r of each wavenumber point. Suppose the entire spectrum contains N discrete wavenum-
 269 bers indexed 1 to N , and a particular band corresponds to wavenumbers indexed m to n . The ranks
 270 r_m to r_n will consist of the integers m to n but reordered. In the following sections we follow pre-
 271 vious authors and introduce a coordinate variable for the reordered spectrum, g . In ecCKD, this
 272 simply maps the integer ranks for the bands to the range 0–1, i.e. an element of the reordered spec-
 273 trum with integer rank r in a particular band would have $g(r) = (r - r_m)/(r_n - r_m)$.

274 2.6 Partitioning g space for individual gases

275 The next step shown in Fig. 1 is to partition each band into k -terms, each corresponding
 276 to a fixed set of wavenumber points. In a radiation scheme, each k -term would be treated by an
 277 independent quasi-monochromatic radiative transfer calculation, so generally more terms cor-
 278 respond to a more accurate but more computationally costly scheme. We use a refined version
 279 of the algorithm described by Hogan (2010): first the spectrum is partitioned separately for each
 280 gas in each band (described in this section), then the partitions for each gas are merged taking
 281 account of the spectral overlap of gases (described in section 2.7).

282 For each gas and band we need to find the number of intervals, n , into which g space (de-
 283 fined in the previous section) is to be divided, and their boundaries $g_0, g_1 \dots g_n$, with the upper
 284 and lower bounds already defined as $g_0 = 0$ and $g_n = 1$. Most previous papers require the user
 285 to specify n and define the boundaries according to a fixed mathematical rule such as Gaussian
 286 Quadrature (e.g. Kato et al., 1999), but this is not adaptive to the spectra of individual gases. In
 287 ecCKD, the user provides a single error tolerance, and the tool attempts to partition g space such
 288 that the error associated with each g interval is approximately equal to this tolerance. The smaller
 289 the tolerance, the more g intervals will be needed and a greater overall accuracy should be achieved.
 290 The appendix describes a general algorithm for partitioning g space given a function $E(g_{i-1}, g_i)$
 291 that returns the error associated with treating the wavenumbers corresponding to the range g_{i-1}
 292 to g_i by a single quasi-monochromatic radiation calculation. This function is similar to a cost func-
 293 tion in estimation theory, and following Hogan (2010) is formulated as the mean squared error
 294 in heating rate over l layers, but with an additional term (weighted by f) penalizing errors in sur-
 295 face and TOA irradiances:

$$E(g_{i-1}, g_i) = \sum_{j=1}^l w_j (H_j^{\text{CKD}} - H_j^{\text{LBL}})^2 + f \left[(F_{\uparrow\text{TOA}}^{\text{CKD}} - F_{\uparrow\text{TOA}}^{\text{LBL}})^2 + (F_{\downarrow\text{surf}}^{\text{CKD}} - F_{\downarrow\text{surf}}^{\text{LBL}})^2 \right], \quad (2)$$

296 where H_j^{CKD} and H_j^{LBL} are the heating rates predicted by the ecCKD and line-by-line models in
 297 layer j , while $F_{\uparrow\text{TOA}}$ and $F_{\downarrow\text{surf}}$ are the upwelling irradiance at TOA and the downwelling irradi-
 298 ance at the surface, respectively. In order to weight the stratosphere and troposphere on an ap-
 299 proximately equal basis, we follow Hogan (2010) and weight the vertical profile by the square-
 300 root of pressure, i.e. the weight term is given by $w_j = (p_{j+1/2}^{1/2} - p_{j-1/2}^{1/2})/p_{l+1/2}^{1/2}$, where $p_{j+1/2}$
 301 is the pressure at the interface between layers j and $j + 1$, and $p_{l+1/2}$ is the surface pressure.

Since this function is called multiple times by the algorithm described in the appendix, it cannot be too computationally costly, so partitioning is performed using only a single profile. For temperature and the concentration of the target gas, we again use the ‘median’ present-day CKDMIP atmosphere. The partitioning needs to account for the presence of other gases, which can dominate in some parts of the spectrum. This tends to reduce the error associated with representing the target gas and therefore reduces the number of g intervals required, but depends on the concentration of these other gases. We use the minimum concentration of these gases that the CKD model is intended to simulate. For H_2O and O_3 we use the ‘minimum’ concentration profile from the CKDMIP MMM dataset. The minimum concentrations of the WMGHGs depends on what application the CKD model is to be used for. For a CKD model to be used solely in NWP, it is appropriate to simply use present-day concentrations for the WMGHGs. For simulation of past and future climate, we use the ‘Glacial Maximum’ values proposed by [Hogan and Matricardi \(2020\)](#), i.e. the minimum concentrations found in the last million years.

In the longwave, the LBL radiative transfer calculation is performed with the present-day concentration of the target gas and the ‘minimum’ concentrations of all other gases, and when the function $E(g_{i-1}, g_i)$ is called, the LBL terms in (2) are computed simply by summing the LBL spectral irradiances from the wavenumbers corresponding to the requested range of g . A single zenith angle is used in each hemisphere, equivalent to the two-stream method but without scattering. The ‘CKD’ terms in (2) are computed by first averaging the optical depths of the target gas across the wavenumbers corresponding to the requested range of g , but retaining the full spectral resolution for the other gases. This way (2) quantifies the error purely associated with approximating the target gas. The user can select the method used to average the optical depths of the target gas, the default being a linear average of the layer transmittances weighted by the Planck function at the temperature of the layer.

In the shortwave, the radiative transfer calculations are limited to the direct (unscattered) solar beam, which contains almost all of the sensitivity to gas absorption, and reduces computational cost. Thus, the upwelling terms in (2) are omitted and the heating rates consider only heating by the direct beam. Optical depths are averaged weighting by the TOA incoming solar spectral irradiance, which following [Hogan and Matricardi \(2020\)](#) is taken to be the 1986–2018 average of the [Coddington et al. \(2016\)](#) climate data record.

Shortwave partitioning includes the option to use sub-bands in the NIR, as introduced in section 2.4. Since H_2O dominates in the NIR, this can be achieved by dividing H_2O alone into sub-bands. Each of the high-resolution spectral points in the NIR band has both a wavenumber and a g value indicating the H_2O absorption strength in the NIR region. The spectral points with $g < g_{\text{crit}}$, where g_{crit} is some user-specified critical value, are deemed to be optically thin enough that sub-bands are needed, so these points are further grouped according to their wavenumber into user-specified sub-bands, although within the sub-bands the ordering by g is preserved. For $g \geq g_{\text{crit}}$, H_2O is optically thick enough that no grouping by wavenumber is needed. This is illustrated graphically at the end of the next section.

2.7 Partitioning g space for multiple gases

After each of the gases have had their reordered spectra partitioned into intervals in g space, they are combined to obtain a final set of k -terms. This is achieved using the ‘hypercube partition method’ of [Hogan \(2010\)](#): for m active gases in a particular band we consider an m -dimensional unit hypercube where dimension j represents the g space for gas j . Figure 3a provides a visualization of two of these dimensions (corresponding to H_2O and CO_2) for the entire longwave spectrum, where each red dot represents an individual wavenumber. To generate an FSCK model, our task is to divide this space up into subregions (rectangles in the 2D case), each representing a k -term, such that the wavenumber points that lie within the subregion are treated together in a single quasi-monochromatic radiative transfer calculation. Consider the case where the error tolerance chosen in section 2.6 leads to the following numbers of g intervals for each gas: $n_{\text{H}_2\text{O}} = 14$, $n_{\text{CO}_2} = 12$, $n_{\text{O}_3} = 5$, $n_{\text{CH}_4} = 3$ and $n_{\text{N}_2\text{O}} = 2$. If we defined a k -term as the intersection of

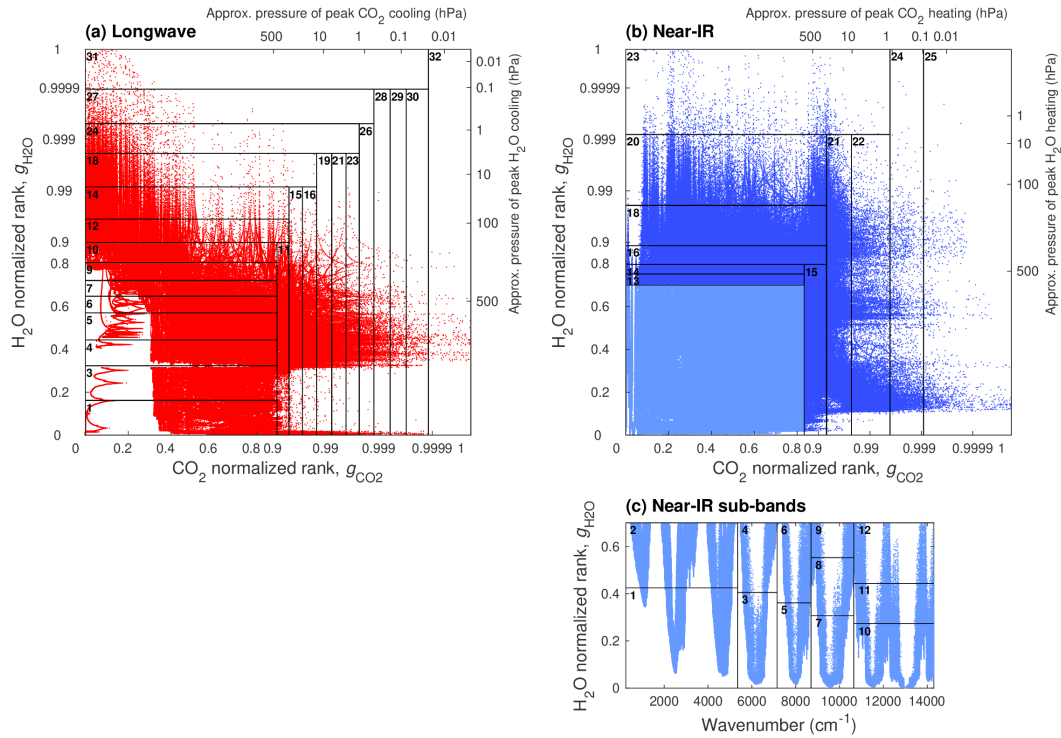


Figure 3. Scatterpot of the entire (a) longwave and (b) near-infrared spectra, where each point corresponds to a wavenumber in the high-resolution LBL dataset, and the axes show the normalized rank (g) of the CO_2 and H_2O absorption for that wavenumber as defined in section 2.5. The scales are linear for $g < 0.9$ and $g > 0.9999$, and logarithmic in $1 - g$ in the range $0.9 < g < 0.9999$. The equivalent pressures of peak heating and cooling for atmospheres containing only one gas are shown to the top and right of each axis. The numbered rectangles indicate the k -term into which the wavenumbers are grouped for the ecCKD-FSCK-32 longwave model and the near-infrared band of the ecCKD-RGB-32 shortwave model, where missing numbers correspond to k -terms specializing in gases other than CO_2 or H_2O . Panel c shows how points with weak gas absorption in the lower-left rectangle in panel b are allocated to 12 k -terms, grouped into five sub-bands in order to resolve spectral variations in cloud, aerosol and surface properties.

353 a single g interval from each gas, the number of k terms required would be the product of the number of g intervals: 5040 in this case, far too many for a weather or climate model. Hogan (2010) described an automated procedure to optimally partition the hypercube, which recognises that usually the absorption of one gas dominates over all the others. For example, the red points towards the right of Fig. 3a represent wavenumbers for which CO_2 absorption is much stronger than H_2O , and therefore there is no need to resolve variations in H_2O absorption. In this algorithm, the first k -term (numbered 1 in Fig. 3a) consists of the intersection of the first g interval for each gas, i.e. the weakest absorption. The remaining k -terms are assigned in order of the approximate pressure level of their peak heating or cooling, and each correspond to one of the remaining g intervals for one of the gases, thereby ‘specializing’ in that gas. For example, terms 11, 15 and 16 specialize in CO_2 , although it should be stressed that the (weaker) contribution to the absorption from other gases is still included via (1). Note that the missing numbers in Fig. 3a represent terms specializing in other gases that exist outside the plane depicted in this 2D slice; for example, term 2 is for O_3 and term 8 is for CH_4 . If the number of intervals required to partition g space for gas j is n_j , then the number of k -terms required for m gases is $n_{\text{total}} = 1 + \sum_j^m (n_j - 1)$, which is 32 in the case in Fig. 3a. The method supports arbitrary spectral overlap of the spectra of individual gases, and is an improvement on the approach of Ritter and Geleyn (1992), which

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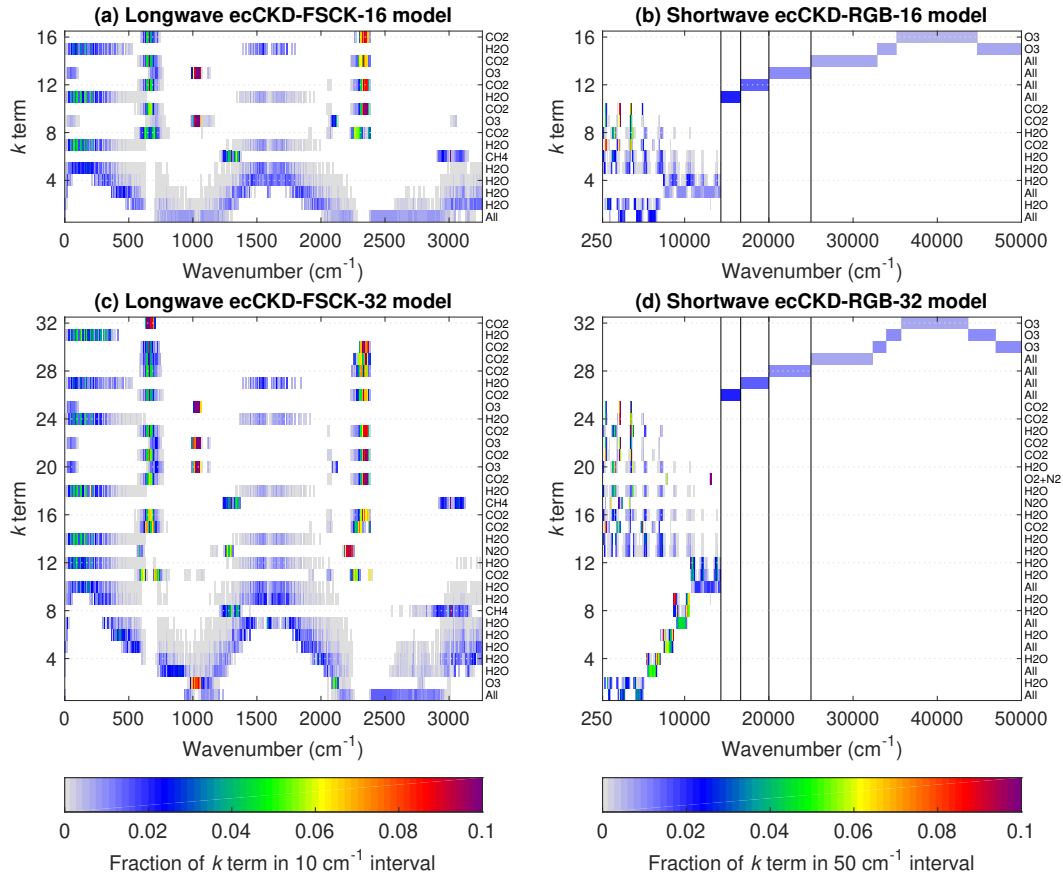


Figure 4. The contribution of each part of the spectrum to each k -term in four of the CKD models considered in the text. The fractions sum to unity along each row. The main gas represented by each k -term is indicated on the right-hand-side of each panel, although in principle all gases can contribute to the optical depth for all k -terms. The first (least optically thick) k -term in each band or sub-band is marked ‘All’ since its boundaries are determined by all gases.

370 requires $n_{\text{total}} = 1 + \sum_j^m n_j$ terms and makes the assumption that the spectra of individual gases
 371 are randomly overlapped. The reader is referred to Hogan (2010) for a more detailed description
 372 of the hypercube partitioning method, and a visualization of the partitioning in the 3D case.

373 Figure 4c illustrates the contribution of each part of the longwave spectrum to the k -terms
 374 of the ecCKD-FSCK-32 model described above, with the gas it is specializing in shown on the
 375 right. The ‘full-spectrum’ nature of this CKD model is clear from widely separated parts of the
 376 spectrum being represented by single quasi-monochromatic k -terms; for example, term 28 rep-
 377 represents strong CO_2 absorption from both the $4.3 \mu\text{m}$ and the $15 \mu\text{m}$ CO_2 bands. Vectorization and
 378 computational efficiency favor n_{total} being a power of two, so we have chosen the error tolerances
 379 to obtain 16 or 32 k -terms.

380 The 32-term shortwave model in Fig. 4d is very different. The vertical black lines delin-
 381 eate the user-specified ‘RGB’ bands explained in section 2.4. The partitioning algorithm finds
 382 that only one k -term is required for each of the red, green and blue bands, and only four for the
 383 entire ultraviolet. Terms 30 and 31 each combine the effects of similar levels of O_3 absorption
 384 on opposite sides of the Hartley band, which peaks at around $40\,000 \text{ cm}^{-1}$. The partitioning of
 385 the NIR band is visualized in Fig. 3b, and as explained in section 2.6, the intersection of $0 <$
 386 $g_{\text{H}_2\text{O}} < g_{\text{crit}}$ with the weakest-absorbing g interval for all the other gases (light blue in the fig-

ure) is treated separately, where a user-specified value of $g_{\text{crit}} = 0.7$ has been chosen in this case. As shown in Figs. 3c and 4d, these wavenumbers are grouped into sub-bands at the additional wavenumber partitions of 5350, 7150, 8700 and 10650 cm^{-1} (bounding most of the NIR windows in Fig. 2). Each sub-band is then partitioned into g intervals using the algorithm in the previous section, resulting in k -terms 1–12 that are able both to resolve spectral variations in clouds and the surface, and to represent variable H_2O absorption. The k -terms 13–25 represent regions of strong H_2O absorption ($g \geq g_{\text{crit}}$) or strong absorption by one of the other gases. The ecCKD-RGB-16 shortwave model in Fig. 4b takes the same approach but with reduced k -terms via the use of $g_{\text{crit}} = 0.65$ and only one additional wavenumber partition at 7150 cm^{-1} .

2.8 Creating initial look-up table

This step creates a first estimate of the LUTs in (1) using the ‘Idealized’ CKDMIP dataset, and indeed we use the same points (described in section 3.3 of Hogan and Matricardi, 2020): 53 logarithmically spaced points in pressure from 0.007 to 1100 hPa with 10 points per decade; 6 points in temperature, 20 K apart; and 12 logarithmically spaced points in H_2O mixing ratio with 2 points per decade. As shown in Fig. 1, the creation of the LUT involves reading in the location of the k -terms, i.e. a file containing the indices of the wavenumber points in the high-resolution spectrum that contribute to each term. The layer optical depths in the Idealized dataset for the relevant wavenumber points are averaged to each k -term separately for each gas, weighting by the local Planck function in the longwave and the solar spectral irradiance in the shortwave. As in section 2.6, the default averaging method is linear in layer transmittance for a zenith angle of 60° . The minimum and maximum values from the relevant wavenumber points are also stored and used to bound the possible values in the optimization step described in section 2.10. The final step in the creation of the LUT is to convert from layer optical depth to molar absorption coefficient as used in (1).

The LUT file contains additional variables that are added at this point and remain unchanged by the subsequent steps shown in Fig. 1. The fraction of the spectrum contributing to each k -term (i.e. the information shown in Fig. 4) is provided to enable subsequent averaging of cloud, aerosol and surface properties to k -terms, with a resolution of 10 cm^{-1} in the longwave and 50 cm^{-1} in the shortwave. In the longwave we provide the Planck function for each k -term as a LUT versus temperature between 120 and 350 K at 1 K intervals, computed by simply integrating the Planck function over the wavenumber points contributing to each k -term. In the shortwave we provide the solar spectral irradiance for each k -term. Also provided is the Rayleigh molar scattering coefficient, computed for each wavenumber using the Bucholtz (1995) formula and averaged across the parts of the spectrum contributing to each shortwave k -term weighted by the solar spectral irradiance.

2.9 Scaling shortwave look-up table entries

At this point, the LUT entries have been computed only from consideration of the spectroscopy at the local pressure level, and do not necessarily perform well in radiative transfer traversing multiple levels. One of the reasons for this in the shortwave is that each k -term represents the average of a range of absorption strengths that are highly correlated in the vertical. As the solar beam traverses the atmosphere, radiation in the more optically thick parts of the spectrum is attenuated more rapidly. This means that lower in the atmosphere the optically thick parts are less important and the effective average molar absorption coefficient for the k -term should be lower than the one computed weighting by the TOA solar spectral irradiance, as in section 2.8. A similar effect occurs in the longwave, so in both parts of the spectrum non-local effects need to be considered in order to derive the optimum LUT entries. This section describes the first part of this refinement in the shortwave, while section 2.10 describes a subsequent more general optimization performed in both the shortwave and longwave.

For a single atmospheric profile of temperature, pressure and gas concentrations, it is possible to derive a profile of layer optical depths for each k -term that reproduces the LBL profile

437 of direct-beam shortwave irradiance exactly, for a particular value of the cosine of the solar zenith
 438 angle μ_0 . If we define $F_{j+1/2}$ as the LBL direct irradiance at the interface between layers j and
 439 $j+1$ (counting down from TOA) integrated over the parts of the spectrum corresponding to an
 440 individual k -term, then the Beer-Lambert law states that $F_{j+1/2} = F_{j-1/2} \exp(-\tau_j/\mu_0)$. This can
 441 be inverted to obtain τ_j , the effective optical depth of layer j .

442 In the ‘scale LUT’ step in Fig. 1 we take this approach using the ‘median’ present-day pro-
 443 file from the CKDMIP ‘MMM’ dataset and $\mu_0 = 1/2$, yielding a profile of τ_j values for each
 444 k -term. The same values are computed using the ecCKD v0 LUT, and the ratio of the LBL and
 445 ecCKD optical depths is calculated to provide a correction factor that varies with pressure and
 446 k -term. The correction factor is then interpolated to the pressure grid of the LUT and all the mol-
 447 ar absorption coefficients in the file are multiplied by it, producing v1 of the LUT. We have made
 448 some significant assumptions here: that the absorption of all gases should be modified by the same
 449 proportion, and that the correction factor does not vary with the other dimensions of the LUT (tem-
 450 perature and H₂O mixing ratio). Nonetheless, shortwave radiative transfer calculations using the
 451 v1 LUT are significantly more accurate than v0, and there is still the opportunity (described in
 452 the following section) for a global optimization of all the coefficients in the LUT.

453 2.10 Optimizing look-up table entries

454 The final task is to optimize the coefficients of the LUTs in order to minimize the errors
 455 in predicted irradiance and heating-rate profiles in a set of training profiles in a least-squares sense.
 456 The need for this step in terms of non-local dependencies was explained at the start of section
 457 2.9, but it also tunes the coefficients to mitigate any errors caused by simplifications in the for-
 458 mulation of the CKD model. For example, (1) assumes that the average optical depths from each
 459 individual gas in a k -term can be simply summed, whereas Zhang et al. (2003) argued that a more
 460 complex formulation was necessary (including much narrower bands) to treat non-random spec-
 461 tral overlap in the parts of the spectrum contributing to a k -term. We find that this complexity and
 462 additional cost is unnecessary if the coefficients can be optimized as described in this section.

463 We improve the basic method of Hogan (2010) in a number of ways. As shown in Fig. 1,
 464 the optimization may be performed in several steps, as we have found that better performance
 465 is achieved if the major gases are optimized first, with minor gases being optimized individually
 466 in subsequent steps. We define the state vector \mathbf{x} to contain all the variables to be optimized in
 467 one of these steps, specifically the natural logarithm of all the non-zero entries in the look-up for
 468 each gas being optimized. With 53 points in pressure, 6 in temperature, 12 in H₂O concentra-
 469 tion and (for example) 32 k -terms, this leads to 122 112 state variables for H₂O and 10 176 for
 470 each other gas. The cost function to be minimized is given by

$$J = (\mathbf{x} - \mathbf{x}_a)^T \mathbf{B}^{-1} (\mathbf{x} - \mathbf{x}_a) + \sum_{j=1}^P E_j. \quad (3)$$

471 The first term ensures the stability of the minimization by penalizing the squared differences be-
 472 tween the state vector and the *a priori* LUT elements \mathbf{x}_a , i.e. those from the previous step in Fig.
 473 1. The error covariance matrix \mathbf{B} provides a complete description of the weighting of this term,
 474 with its diagonal elements containing σ_a^2 , the square of the user-specified root-mean-squared (RMS)
 475 error in \mathbf{x}_a . We find the best results for $\sigma_a = 8$ in the longwave and $\sigma_a = 2$ in the shortwave,
 476 allowing the natural logarithm of the LUT elements to stray significantly from their prior values
 477 in the optimization, although in practice the RMS difference between the elements of \mathbf{x} before
 478 and after optimization for an individual gas is around 0.25. The off-diagonal elements of \mathbf{B} spec-
 479 ify error covariances between LUT values, and have the important effect of spreading informa-
 480 tion provided by the training profiles into adjacent parts of the LUT. We model the error corre-
 481 lation coefficient of adjacent LUT coefficients along the pressure, temperature and H₂O-concentration
 482 axes as ρ , and coefficients n steps apart along these axes as ρ^n . No correlation is assumed between
 483 k -terms or gases. Even though \mathbf{B} is large, its inverse is very sparse and the first term in (3) is ef-
 484 ficient to compute. Empirically we find that $\rho = 0.8$ provides the best results.

485 The second term in (3) expresses the sum of the squared errors in heating rates and irra-
 486 diances at TOA and the surface over p atmospheric profiles, where E_j has the same form as in
 487 (2) but rather than penalize errors for individual g intervals, we penalize errors in both broadband
 488 values and (when FSCK is not being used) in individual bands, with the weighting between the
 489 two under user control. In practice, broadband irradiances are improved by some compensation
 490 of errors between bands, but without the irradiance in individual bands being noticeably com-
 491 promised.

492 The cost function is minimized using the quasi-Newton ‘L-BFGS’ algorithm of [Liu and](#)
 493 [Nocedal \(1989\)](#), which requires the vector of gradients $\partial J/\mathbf{x}$ to be computed. This is achieved
 494 by coding the entire algorithm in C++ using the combined automatic differentiation, array and
 495 optimization library ‘Adept’ ([Hogan, 2014](#)), version 2.1 of which also includes an implementa-
 496 tion of the L-BFGS algorithm. We use a bounded version of L-BFGS, constraining the individ-
 497 ual absorption coefficients in \mathbf{x} to lie between the minimum and maximum possible values com-
 498 puted in section 2.8. An optimization step typically takes several tens of minutes to complete.

499 Naturally, for a CKD model to be used in climate projections we wish to calculate not only
 500 the most accurate profiles of irradiances and heating rates, but also the radiative forcing associ-
 501 ated with perturbations to both major and minor greenhouse gases. Unfortunately, if all gases are
 502 optimized simultaneously, the scheme tends to adjust minor gases to try to offset errors in ma-
 503 jor gases. This problem can be overcome via several separate optimization steps as shown in Fig.
 504 1, first for the major gases and then the minor. We acknowledge that the multi-step approach is
 505 somewhat ‘ad hoc’ and there is scope to improve it in future versions of the software, but as will
 506 be shown in section 3, it does produce models that can accurately compute radiative forcing.

507 In the case of CKD models targeting climate applications (such as those depicted in Fig.
 508 4), the first step optimizes the coefficients of H_2O , O_3 , CO_2 and the background term in (1). The
 509 background term represents not only O_2 and N_2 , but also the present-day ‘reference’ concentra-
 510 tions of CH_4 and N_2O , with these gases all treated at this stage as having a constant mixing ra-
 511 tio with pressure. The training data consist of LBL calculations performed on the 50 ‘Evaluation-
 512 1’ CKDMIP profiles (covering a wide range of temperature, H_2O and O_3 concentrations), each
 513 of which is used with six CKDMIP CO_2 scenarios (surface concentrations from 180 to 2240 ppmv),
 514 i.e. a total of 300 profiles. In practice, the effectiveness of the optimization is limited by how well
 515 the training profiles span parameter space, and with only 50 base profiles, the error covariance
 516 matrix is key for spreading information. This is why steps to improve the initial LUT, such as
 517 the scaling described in section 2.9 are important despite the optimization afterwards.

518 In the second step the coefficients of CH_4 are optimized using LBL calculations on the CK-
 519 DMIP scenarios in which CH_4 is perturbed from 350 to 3500 ppbv. To avoid the CH_4 coefficients
 520 being tuned to correct for remaining errors in the previous step, we train on the difference in heating-
 521 rate profiles and irradiances between perturbed and present-day CH_4 calculations, which is equiv-
 522 alent to bias-correcting the present-day CKD calculations from the previous step. This ensures
 523 the CH_4 coefficients are optimized to give the most accurate radiative forcing when perturbed
 524 from present-day concentrations. The third step takes exactly the same approach but optimizes
 525 the N_2O coefficients training on the Evaluation-1 profiles in which concentrations are perturbed
 526 in the range 190–540 ppbv. In the shortwave this yields the ‘final’ LUT ready for use in a radi-
 527 ation scheme. In the longwave we perform one further step to optimize the coefficients of CFC-
 528 11 and CFC-12.

529 3 Clear-sky evaluation

530 In this section we evaluate the gas-optics models generated in the previous section in clear
 531 skies. The CKDMIP Evaluation-2 dataset is used, which consists of LBL calculations on 50 in-
 532 dependent profiles, including ones with extremes of temperature, ozone and humidity. Surface
 533 longwave emissivity and shortwave albedo are spectrally constant at 1.0 and 0.15, respectively,
 534 the latter being the approximate mean albedo of the Earth’s surface. This approach is the same

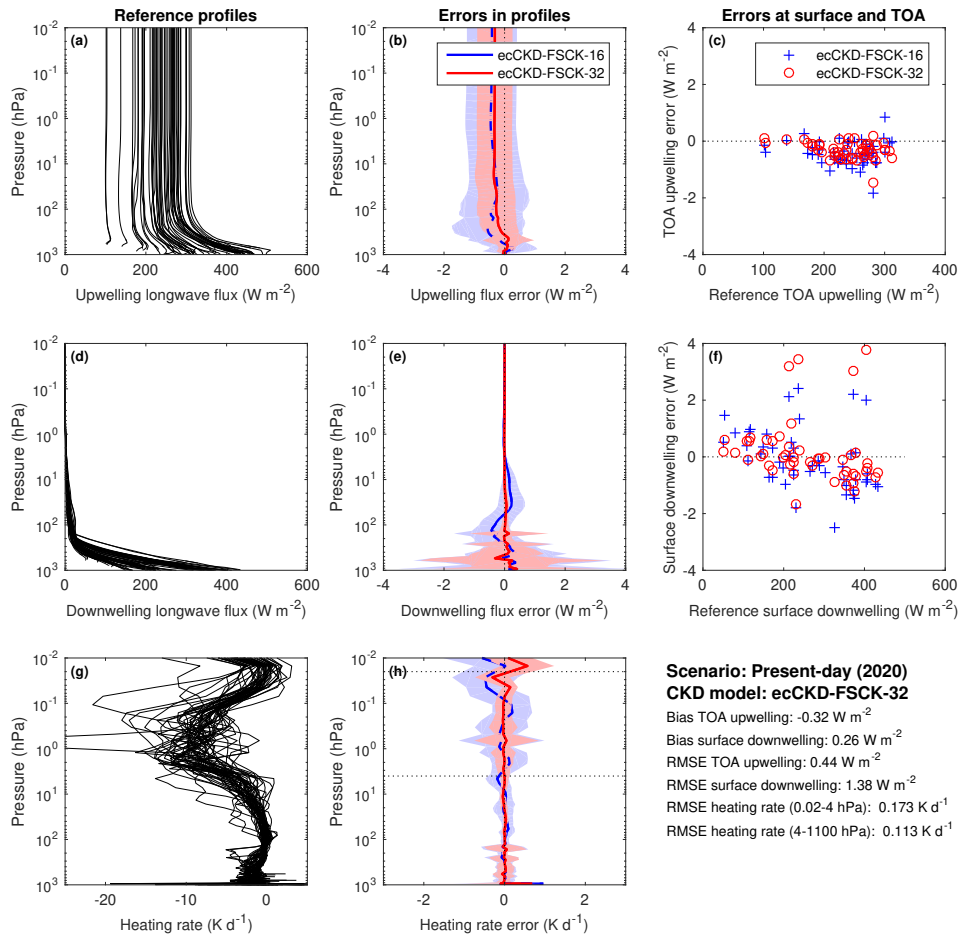


Figure 5. Evaluation of clear-sky longwave irradiances and heating rates from two ecCKD models for the 50 independent profiles of the CKDMIP Evaluation-2 dataset with present-day concentrations of the WMGHGs. Panels a, d and g show quantities from the reference LBL calculations, while panels b, e and h show the corresponding biases in the ecCKD calculations using an identical radiative transfer solver with four angles per hemisphere. The shaded regions encompass 95% of the errors (estimated as 1.96 multiplied by the standard deviation of the error). Panels c and f depict instantaneous errors in upwelling TOA and downwelling surface irradiances. The statistics of the comparison are summarized in the lower right, including the root-mean-squared error (RMSE) in heating rate (weighted by the cube-root of pressure) in two ranges of pressure indicated by the horizontal dotted lines in panel h.

535 as that of Hogan and Matricardi (2020) to evaluate the RRTMG gas-optics model, except that they
 536 used the CKDMIP Evaluation-1 dataset.

537 Figure 5 evaluates the performance of the longwave ecCKD-FSCK-16 and -32 models, for
 538 present-day greenhouse gas concentrations. Even though relatively few k -terms are used compared
 539 to other CKD models, the errors are small; the root-mean-squared (RMS) error in heating
 540 rates from the surface to the upper stratosphere (4 hPa) is only 0.15 and 0.11 K d^{-1} for the 16-
 541 and 32-term models, respectively, approximately doubling in the mesosphere. Figure S2 eval-
 542 uates these models before the optimization step described in section 2.10, and the much larger
 543 errors highlight the importance of the optimization.

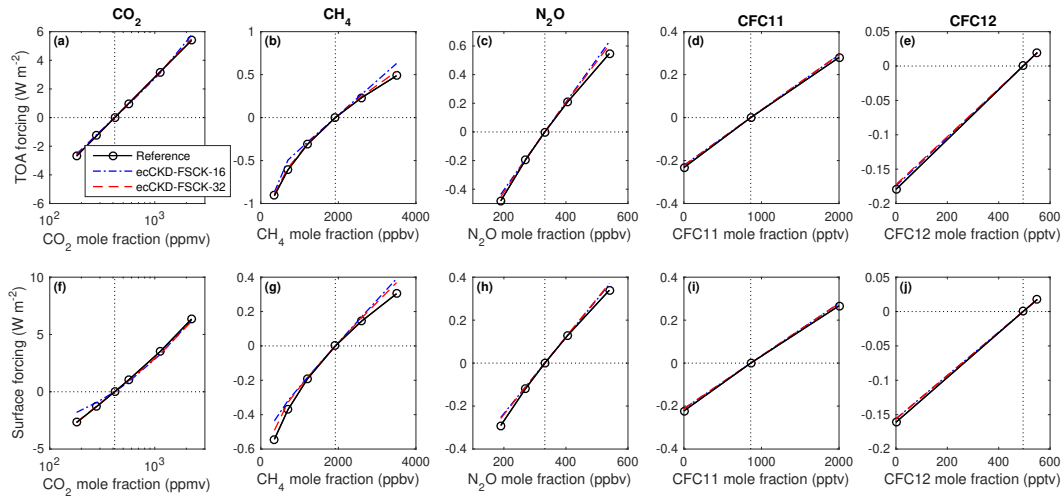


Figure 6. Comparison of reference LBL and ecCKD calculations of the instantaneous longwave clear-sky radiative forcing from perturbing each of the five WMGHGs from their present-day (2020) values at (a–e) top of atmosphere and (f–j) the surface, averaged over the 50 profiles of the CKDMIP Evaluation-2 dataset. The black circles correspond to scenarios 5–22 proposed by [Hogan and Matricardi \(2020\)](#).

544 Figure 6 evaluates the instantaneous radiative forcing associated with perturbing the five
 545 main greenhouse-gas concentrations from their present-day values. Note that the CFC-11 con-
 546 centrations here correspond to artificially increased values to approximately represent 38 further
 547 greenhouse gases ([Meinshausen et al., 2017](#)). In large part, both models capture the forcing as-
 548 sociated with large perturbations to concentrations, including up to eight times preindustrial con-
 549 centrations of CO₂. The 16-term model performs slightly worse in some scenarios, tending to
 550 underestimate the magnitude of the surface forcing associated with reducing CO₂ concentrations
 551 to glacial-maximum values of 180 ppmv, as well as struggling with the extreme CH₄ concentra-
 552 tions. As can be seen in Figs. 4a and 4c, the improvement of the 32-term model for CH₄ can be
 553 attributed to its use of two CH₄-specific k -terms, rather than just one.

554 Figure 7 presents the corresponding present-day evaluation of irradiances and heating rates
 555 for the shortwave ecCKD-RGB-16 and -32 models. Again, the errors are modest given the small
 556 number of k -terms, with the RMS error in heating rates from the surface to 4 hPa being 0.1 and
 557 0.06 K d⁻¹ for the 16- and 32-term models, respectively. The much larger mid-mesosphere heating-
 558 rate error for the 16-term model is associated with its poorer representation of the 4.3 μ m CO₂
 559 band; Figs. 4b and 4 show that it used only three CO₂-specific k -terms, compared to five for the
 560 32-band model. This also explains the difference in how well the two models capture the short-
 561 wave CO₂ forcing shown in Fig. 8. This figure also indicates that the CH₄ forcing in the two mod-
 562 els is similar; in fact neither model uses CH₄-specific k -terms, but rather includes the optical-depth
 563 contribution of CH₄ in all the other k -terms. The 16-term model also has no N₂O-specific k -terms
 564 and Fig. 8 shows that this leads to it tending to overestimate the N₂O forcing by around a fac-
 565 tor of two (although the magnitude of the shortwave forcing of this gas is only a tenth of the long-
 566 wave). The 32-term model introduces a single N₂O-specific k -term and is able to achieve a much
 567 greater accuracy. The Supporting Information provides an evaluation of earlier versions of these
 568 models just after being initially created (Fig. S3) and after the scaling step described in section
 569 2.9 (Fig. S4), highlighting the importance of both the scaling and optimizations steps. Figure S5
 570 evaluates the performance of individual bands of the final ecCKD-RGB-32 model, confirming
 571 that the weighting of broadband irradiance in the optimization does not compromise the accu-
 572 racy of individual bands.

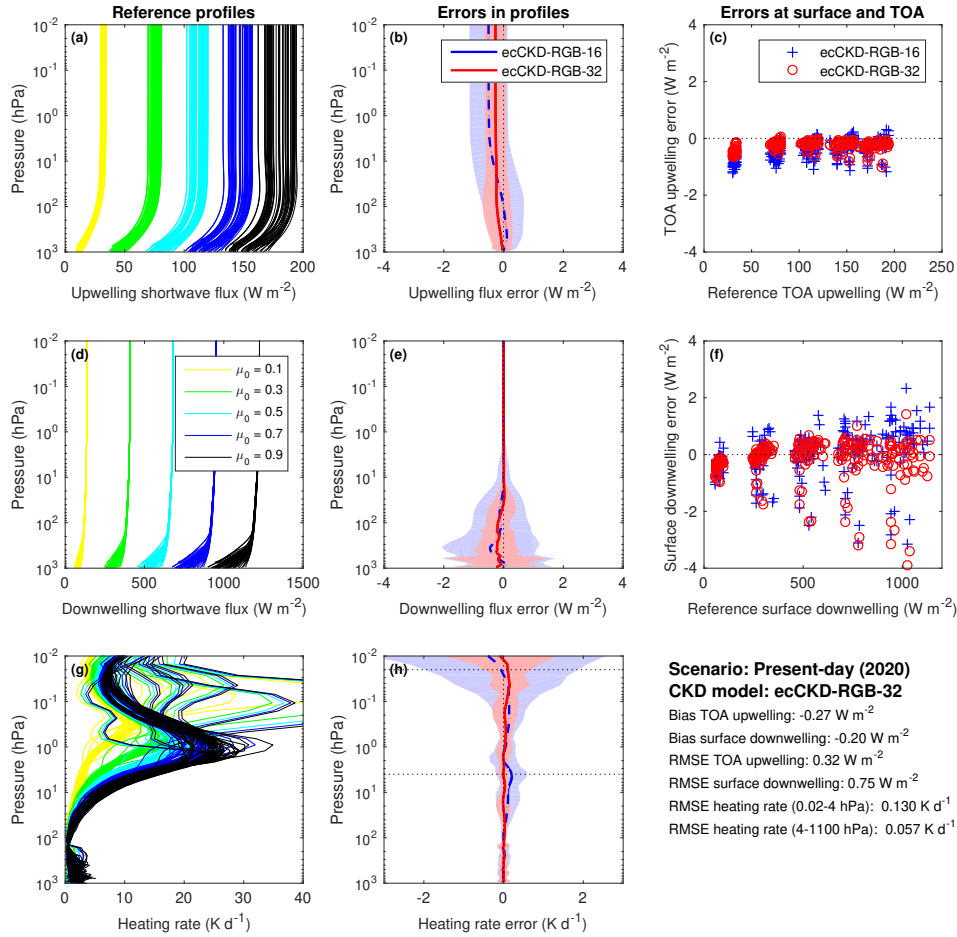


Figure 7. Similar to Fig. 5 but for the shortwave. The reference LBL calculations in panels a, d and g are for all 50 CKDMIP Evaluation-2 profiles at five values of the cosine of the solar zenith angle, μ_0 (0.1, 0.3, 0.5, 0.7 and 0.9). The subsequent evaluation considers all 250 combinations. The five clusters of points in panels c and f correspond to the five values of μ_0 .

573 To explore the trade-off between efficiency and accuracy, Fig. 9 depicts the biases and RMS
 574 errors in TOA and surface irradiances, as well as heating rates, for CKD models generated with
 575 between 8 and 64 k -terms. Naturally the errors tend to decrease with more terms, although be-
 576 yond around 32 terms the improvement is only very modest. Similar behaviour was reported by
 577 Hogan (2010) for atmospheres containing single gases, which he hypothesized to be due to im-
 578 perfect rank correlation of the spectra at different heights. This implies we have hit the funda-
 579 mental limit of the correlated- k method, at least for the FSKK and RGB band structures. It is also
 580 noticeable how much larger the errors in surface irradiances (both bias and RMS error) are when
 581 evaluating against independent data rather than against the training data used for the optimiza-
 582 tion step. This suggests the training dataset is not large enough to tightly constrain all corners
 583 of the LUT, and for this reason when generating CKD models to use in the ECMWF model we
 584 train on both CKDMIP datasets (‘Evaluation-1’ and ‘Evaluation-2’).

585 4 Cloudy-sky evaluation

586 As discussed in section 2.4, clouds, aerosols and the surface can exhibit significant spec-
 587 tral variations in optical properties. One of the features of ecCKD is that each k -term has a unique

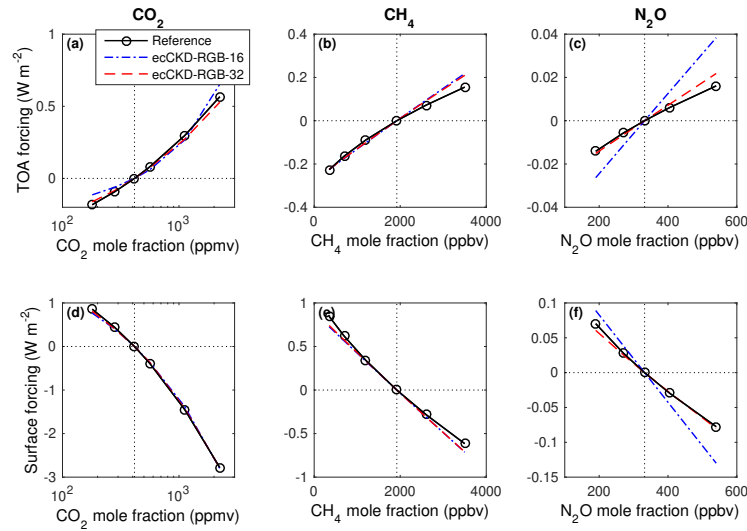


Figure 8. As Fig. 6 but for the instantaneous shortwave radiative forcing by CO_2 , CH_4 and N_2O . The results for the five solar zenith angles have been averaged, so the values shown here represent a daytime average.

Table 1. Summary of the properties of the two atmospheric profiles used to evaluate the representation of liquid and ice clouds in section 4. Both are taken from the CKDMIP dataset. The size distribution of the liquid cloud was modeled as a gamma distribution with a shape parameter of 2.

Profile	Liquid cloud	Ice cloud
Cloud effective radius	10 μm	30 μm
Cloud pressure range	726.6–907.1 hPa	184.5–404.6 hPa
Optical properties	Mie theory	Baum et al. (2014)
Origin	Evaluation-2 profile 29	Evaluation-1 profile 28
Location	31.4°S, 3.5°W	38.9°N, 25.6°W
Date and time	19 March 2014, 18 UTC	11 March 2014, 00 UTC
Surface pressure	1017.4 hPa	1021.6 hPa
Surface temperature	22.2°C	14.7°C

588 mapping to specific parts of the spectrum (see Fig. 4), and this mapping is available to downstream
 589 applications (such as the ecRad radiation scheme) so that optical properties can be averaged separ-
 590 arately for each k -term. Nonetheless, the use of the FSCk approach means that individual k -terms
 591 can represent widely separated points in the spectrum. In this section we test the impact on the
 592 accuracy of calculations of the radiative effect of liquid and ice clouds, using two real-world pro-
 593 files from the CKDMIP dataset, summarized in Table 1. Each cloudy layer of the the original pro-
 594 file has been divided into 10 and the relative humidity increased to 100%. Twenty-six LBL cal-
 595 culations have been performed on each profile, for water paths ranging from 10^{-4} to 10 kg m^{-2}
 596 (plus an additional clear-sky calculation), with a vertically constant cloud mixing ratio between
 597 two pressure bounds. The optical properties of liquid clouds are computed using Mie theory at
 598 396 wavenumbers from 5 to $50\,000 \text{ cm}^{-1}$, while the ice properties are taken from the Baum et al.
 599 (2014) ‘General Habit Mixture’ available at 445 wavenumbers between 101 and $50\,251 \text{ cm}^{-1}$.
 600 When used in LBL calculations, the mass-extinction coefficient, single scattering albedo and asym-
 601 metry factor are interpolated linearly in wavenumber space, but clamped when used at wavenum-
 602 bers outside the range provided. The radiative transfer calculations use a no-scattering solver in

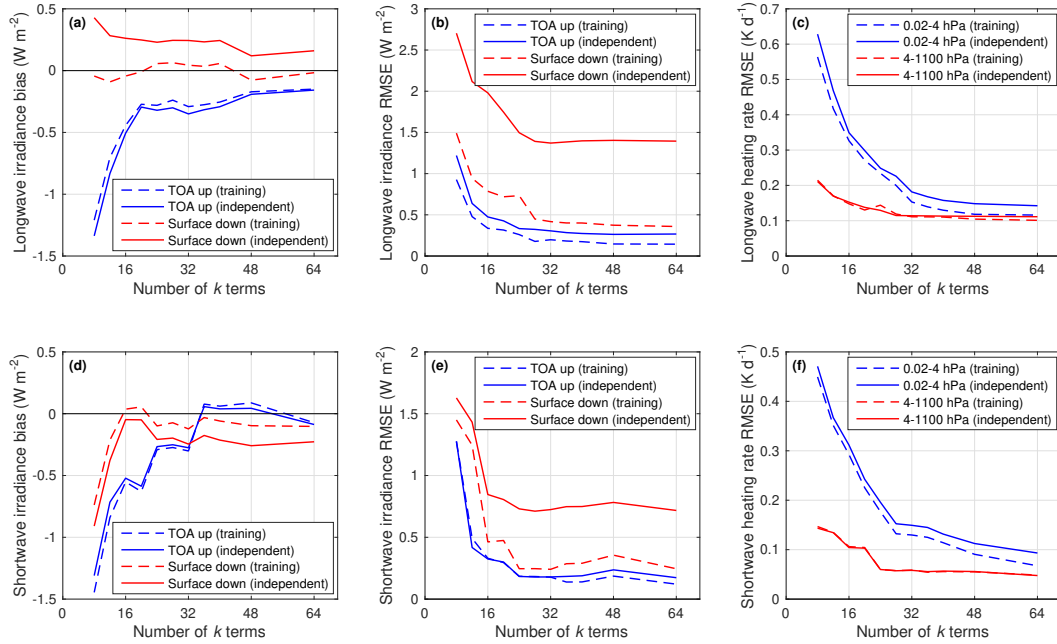


Figure 9. Various metrics of the accuracy of ecCKD models as a function of the number of k -terms for (top row) longwave FSCK models and (bottom row) shortwave models, as evaluated using (dashed lines) 900 profiles used as part of the training (i.e. the 50 CKDMIP ‘Evaluation-1’ profiles with greenhouse gases perturbed in 18 CKDMIP scenarios), and (solid lines) an independent set of profiles (i.e. the 50 CKDMIP ‘Evaluation-2’ profiles with the same greenhouse gas scenarios). ‘RMSE’ denotes root-mean-squared error. The shortwave models use the ‘RGB’ band structure except for the 8-term model which uses only two bands on either side of 16000 cm^{-1} . The number of sub-bands used in the NIR band of the RGB models has been chosen to be commensurate with the overall accuracy of the scheme; thus the 12-term model uses does not use sub-bands, the 16-term model uses two, the 20- and 24-term models use three, those with 28–40 terms use five and the 48- and 64-term models use six.

603 the longwave, and the two-stream method with a solar zenith angle of 60° in the shortwave, both
 604 from the CKDMIP software package. The plane-parallel approximation is adopted, i.e. clouds
 605 are taken to be horizontally uniform with a cloud fraction of unity.

606 The equivalent ecCKD calculations use a version of the ecRad offline radiative transfer pack-
 607 age that supports ecCKD gas-optics models, and a radiative transfer solver equivalent to that used
 608 for the LBL calculations. Cloud optical properties are computed by averaging the same Mie and
 609 Baum et al. (2014) data according to the parts of the spectrum corresponding to each individual
 610 k -term (as shown in Fig. 4). Following the approach of Edwards and Slingo (1996), we consider
 611 both ‘thin’ and ‘thick’ spectral averaging. The former is appropriate in the optically thin limit
 612 and simply involves averaging of the mass-extinction coefficient, the mass-absorption coefficient,
 613 and averaging asymmetry factor weighted by scattering coefficient. The latter is more appropri-
 614 ate in the optically thick limit and is intended to provide the exact cloud albedo in the limit of
 615 infinite optical depth (although in practice it is not exact in this limit except in the absence of gas
 616 absorption). For a little extra accuracy, we apply delta-Eddington scaling (Joseph et al., 1976)
 617 before performing the spectral average. A further weighting is used in the averaging to approx-
 618 imately represent the energy at each wavenumber; in the longwave we use the Planck function
 619 at a representative atmospheric temperature of 0°C and in the shortwave at an effective solar tem-
 620 perature of 5777 K . In the longwave, no benefit was found from using a different reference tem-
 621 perature for liquid and ice clouds. Of primary interest is the accuracy of the fast FSCK and RGB

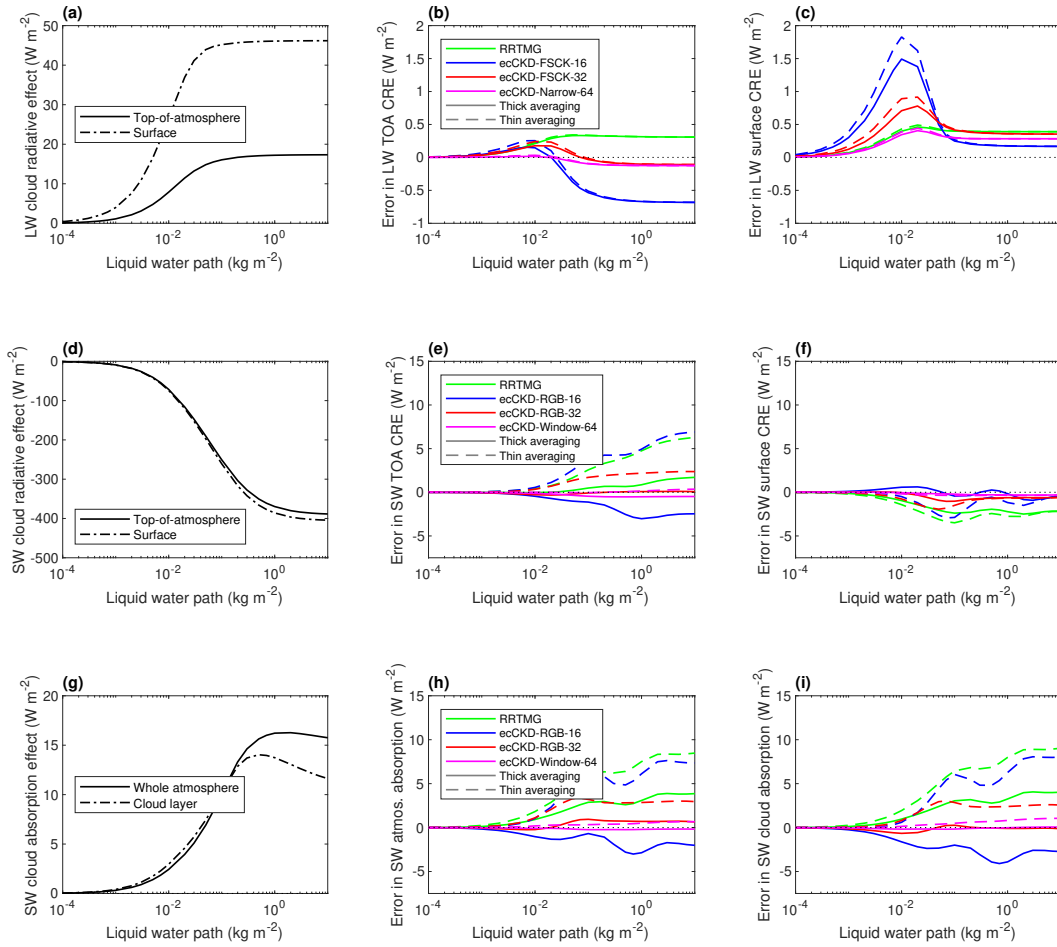


Figure 10. Error in cloud radiative effect (CRE) due to spectral discretization of RRTMG and the various ecCKD models, for a low-level liquid cloud with effective radius $10 \mu\text{m}$ in Profile 29 of the CKDMIP Evaluation-2 dataset. Panel a depicts the longwave cloud radiative effect (i.e. the change to net irradiance due to cloud) at top-of-atmosphere (TOA) and the surface as a function of LWP, for the LBL calculations. Panels b and c depict the error in these quantities for the various CKD models, and for thin and thick spectral averaging. Panels d–f show the same but in the shortwave with a solar zenith angle of 60° . Panel g shows the ‘cloud absorption effect’, i.e. the absorption by the entire atmosphere, and by the cloud layer alone, minus the corresponding clear-sky absorptions. Panels h and i show the error in these quantities for the CKD models.

622 models with 16 and 32 k -terms, which we compare to results from the longwave ecCKD-Narrow-
 623 64 and shortwave ecCKD-Window-64 models, which use much narrower bands (see section 2.4
 624 and Fig. S6). Also shown will be results from the RRTMG gas-optics model (140 k -terms in the
 625 longwave and 112 in the shortwave) using the same cloud optical properties, but since no infor-
 626 mation is available on the exact wavenumbers used for each of its k -terms, the optical properties
 627 are averaged to its 16 longwave and 14 shortwave bands.

628 Figure 10a depicts the LBL calculations of ‘true’ longwave cloud radiative effect at TOA
 629 and the surface for the liquid-cloud profile versus water path, with the error in these quantities
 630 for various gas-optics models shown in Figs. 10b and 10c. The errors for all models are less than
 631 2 W m^{-2} . The cCKD-Narrow-64 model performs best, although the errors associated with the
 632 two FSCK models are still small, being up to around 5% for ecCKD-FSCK-16 and 2% for ecCKD-
 633 FSCK-32. Naturally, the use of narrow bands enables the spectral variation of cloud optical prop-

634 erties to be represented, but it is nonetheless surprising how well the FSCK models perform when
 635 they consider the entire longwave spectrum in a single band. This is because (as revealed by the
 636 LBL calculations shown in Fig. S7) over 92% of the radiative effect of this cloud at the surface
 637 and TOA is in the 8–13 μm (769–1250 cm^{-1}) longwave atmospheric window, within which the
 638 variation of cloud optical properties is quite modest, and certainly much less than in the NIR. Out-
 639 side the longwave atmospheric window, clouds make a much weaker contribution to longwave
 640 cloud radiative effect either because of the much stronger gas absorption or the much weaker Planck
 641 function. The top row of Fig. 11 shows the equivalent evaluation for the ice cloud profile, where
 642 the errors for all longwave gas-optics models are even less, both in an absolute and a relative sense,
 643 due to ice particles having less variation in their optical properties than liquid droplets across the
 644 longwave spectrum (see Fig. S8). Figures S9 and S10 show good performance in longwave heat-
 645 ing profiles for all models. Overall, these results indicate that the longwave FSCK method is a
 646 viable approach for use in weather and climate models, although further work would be required
 647 to confirm this result in very dry atmospheres where windows open in the far infrared, and where
 648 spectral variations in surface emissivity may also become important.

649 The middle row of Fig. 10 depicts the equivalent evaluation but in the shortwave where the
 650 magnitude of the radiative effect of low clouds is much larger. The best performing models are
 651 clearly ecCKD-RGB-32 and ecCKD-Window-64 using ‘thick’ averaging, with errors of no more
 652 than 1 W m^{-1} (0.4%) for any value of liquid water path. This provides *a posteriori* justification
 653 for the use of five NIR sub-bands in Fig. 4d, bounded at the points shown in Fig. 2 where cloud
 654 optical properties tend to change most rapidly. The ecCKD-RGB-16 model incurs a larger er-
 655 ror due to its employing only two sub-bands. The result for ice clouds in the middle row of Fig.
 656 11 show the most accuracy for ecCKD-Window-64 and slightly less for ecCKD-RGB-32 and RRTMG.
 657 Figures 10e and 11e suggest that for all gas-optics models the most accurate calculations are achieved
 658 using thick rather than thin spectral averaging, except for ice clouds with IWC less than around
 659 0.03 kg m^{-2} where thin averaging is slightly more accurate.

660 The bottom rows of Figs. 10 and 11 consider the effect of the cloud on shortwave absorp-
 661 tion, both by the entire atmosphere and by the cloud layer alone. Again, the ecCKD-Window-
 662 64 and ecCKD-RGB-32 models with thick averaging performs best, although Figs. S9 and S10
 663 show that the latter is poorer at simulating the vertical profile of shortwave absorption. An in-
 664 teresting features of Fig. 11g is that the effect of the ice cloud is to increase shortwave absorp-
 665 tion in the cloud layer itself, as would be expected, but to reduce absorption overall by reflect-
 666 ing sunlight that would otherwise have been absorbed by gases lower in the atmosphere. Thus,
 667 the sign of the impact of the cloud on whole-atmosphere absorption is dependent on two compet-
 668 ing effects, and while the absolute magnitude of the errors shown in whole-atmosphere and
 669 cloud-layer absorption (Figs. 11h and 11i) are similar, the relative error in the latter is much larger;
 670 indeed, the ecCKD-RGB-16 model with thin averaging predicts that the effect of the ice cloud
 671 on atmospheric absorption is to increase rather than to decrease it.

672 5 Conclusions

673 In this paper, we have introduced a free software tool ‘ecCKD’ for generating fast correlated-
 674 k -distribution (CKD) gas-optics models for use in the radiation schemes of atmospheric mod-
 675 els. The CKD models generated are both accurate and efficient, needing considerably fewer k -
 676 terms than most others in the literature. This is achieved via the use of algorithms to optimally
 677 partition the k distribution for each gas, and to optimize the look-up table coefficients for each
 678 gas in order to minimize errors against hundreds of training profiles (extending the approach of
 679 Hogan, 2010). In the shortwave, the introduction of ‘sub-bands’ enables the full-spectrum correlated-
 680 k (FSCK) approach to treat the entire NIR as a single band, while still enabling the large spec-
 681 tral differences in cloud and surface albedo to be resolved.

682 The tool has been demonstrated by generating and testing CKD models with only 16 and
 683 32 k -terms in each of the shortwave and longwave, i.e. nearly a factor of 8 and 4 times fewer, re-
 684 spectively, than the total number used operationally at ECMWF. When evaluated against inde-

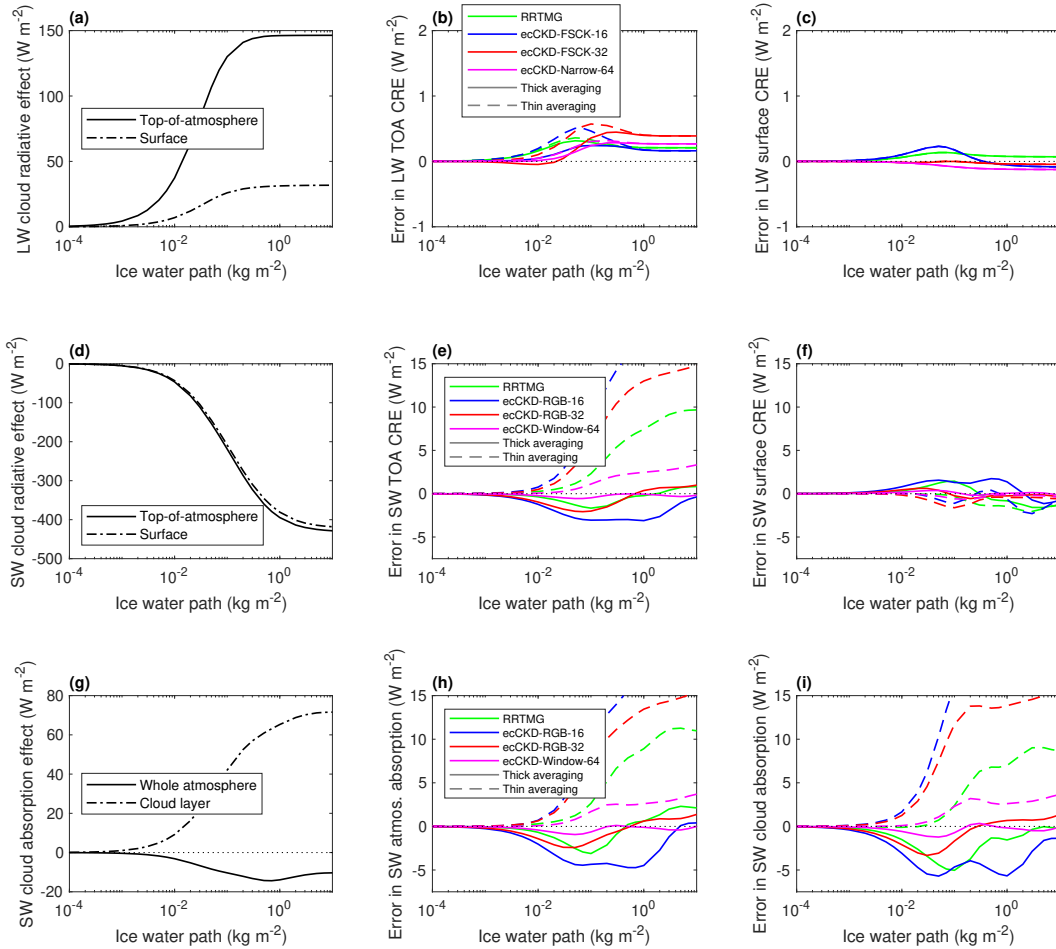


Figure 11. As Fig. 10 but for an ice cloud with an effective radius of $30 \mu\text{m}$ in Profile 28 of the CKDMIP Evaluation-1 dataset.

685 dependent data, the 32-term models are shown to be very accurate in clear skies, with RMS heating-
 686 rate errors of less than 0.18 K d^{-1} from the troposphere to the mid-mesosphere. The radiative
 687 forcing of the main anthropogenic greenhouse gases is captured accurately, including CO_2 vary-
 688 ing over a factor of 12 and CH_4 over a factor of 10. The 32-term models have been found to per-
 689 form well when run online in the ECMWF forecast model, to be explored in a future paper. The
 690 16-term models are naturally somewhat less accurate, but would be suitable for short forecasts
 691 such as 12-hour forecasts performed repeatedly in a data-assimilation cycle in which efficiency
 692 is paramount.

693 We have used LBL calculations for profiles containing liquid and ice clouds with a large
 694 range of water contents to verify the accuracy of the FSCK approach in cloudy situations. In the
 695 longwave, provided that cloud properties are averaged over each k -term rather than per band, er-
 696 rors in irradiances calculated using the 32-term model are less than 0.7 W m^{-2} , an important demon-
 697 stration of the viability of the longwave FSCK approach for cloudy terrestrial atmospheres. In
 698 the shortwave, the use of sub-bands in the NIR gives the 32-term ecCKD model comparable accu-
 699 racy to RRTMG but using only 25 rather than 78 terms in the NIR. A 64-term shortwave ec-
 700 CKD model with an explicit band for each NIR window and a total of 48 terms in the NIR is found
 701 to be considerably more accurate than either RRTMG or the 32-term ecCKD model in cloudy
 702 skies.

703 The tool described in this paper offers a number of opportunities for users of radiation schemes.
 704 Principally, it allows optimized CKD models to be generated for specific applications, from present-
 705 day NWP to palaeoclimate simulations of periods when atmospheric composition was very dif-
 706 ferent. Moreover, the fact that the CKD models generated tend to be faster while of similar ac-
 707 curacy to existing models frees up computer time to improve the accuracy of other parts of the
 708 radiation scheme, such as the use of more than two streams (e.g. [Fu et al., 1997](#)), inclusion of 3D
 709 effects (e.g. [Hogan et al., 2016](#)), and calling the scheme more frequently in time and space (e.g.
 710 [Hogan and Bozzo, 2018](#)). Additionally, the use of a simple look-up table to compute optical depths
 711 (Eq. 1) makes it straightforward to incorporate the CKD models into different types of radiation
 712 scheme, including explicit 3D solvers (e.g. [Jakub and Mayer, 2016](#)). It would also be possible
 713 to add the capability for ecCKD to generate CKD models suitable for satellite data assimilation
 714 by simply replacing (2) by a cost function that penalizes only errors in TOA radiances.

715 Appendix A Equipartition algorithm

716 Section 2.6 outlined the partitioning of a reordered spectrum into intervals such that each
 717 interval was associated with around the same mean-squared error in a radiation calculation, and
 718 less than a user-specified tolerance E_{tol} . The 1D space to be partitioned is denoted g and ranges
 719 from 0 to 1. We seek the boundaries of n intervals, denoted $g_0, g_1 \cdots g_n$, such that the following
 720 two conditions are satisfied:

$$E(g_{i-1}, g_i) \leq E_{\text{tol}} \quad \text{for all } i; \quad (\text{A1})$$

$$F \leq F_{\text{tol}}, \quad (\text{A2})$$

721 where the error $E(g_{i-1}, g_i)$ is a non-differentiable user-supplied function, and the second con-
 722 dition states that the fractional range of errors, $F = [\max(E) - \min(E)] / \bar{E}$, should be no larger
 723 than the user-supplied tolerance F_{tol} , typically 0.02. In our case, $E(g_{i-1}, g_i)$ is given by (2) and
 724 involves LBL calculations with a computational cost proportional to the width of the interval $g_i -$
 725 g_{i-1} . Therefore, a good partitioning algorithm should not require an excessive number of cal-
 726 culations of E , especially ones for wide g intervals. We are not aware of an off-the-shelf algo-
 727 rithm for performing this partitioning, so this appendix describes our solution to the problem. While
 728 it is not likely to be the fastest possible algorithm, it almost always converges to a solution that
 729 satisfies the conditions above.

730 The first task is to find the number of intervals required, n , in order that condition (A1) is
 731 satisfied. This is achieved by partitioning g space starting at the lower end such that for each in-
 732 terval (except possibly the last), $0.95E_{\text{tol}} \leq E \leq E_{\text{tol}}$. We start with a test value of $g_1 = 0.75$
 733 and compute $E(0, g_1)$, noting that there is a lower bound on g_1 of 0 where $E(0, 0) = 0$. If the
 734 result is less than $0.95E_{\text{tol}}$ then a new lower bound for g_1 has been found, and the next test value
 735 is selected by extrapolating (but not beyond $g_1 = 1$) from the old and new lower bounds to where
 736 we would expect $E(0, g_1) = E_{\text{tol}}$ assuming a linear variation of E with g_1 . On the other hand,
 737 if $E(0, g_1) > E_{\text{tol}}$ then an upper bound for g_1 has been found, and the next test value is found
 738 by linearly interpolating between the lower and upper bounds on g_1 . The new test value is used
 739 to compute $E(0, g_1)$ and the process is repeated until either $0.95E_{\text{tol}} \leq E \leq E_{\text{tol}}$, or $g_1 = 1$
 740 and $E \leq E_{\text{tol}}$. If there is remaining g space to partition then the process is repeated to compute
 741 g_2 and so on, until the process returns $g_n = 1$. We now know how many intervals are required,
 742 and have candidate values for g_i , but usually the error associated with the final interval, $E(g_{n-1}, 1)$,
 743 is significantly less than all the other errors.

744 The second task is to find the interior boundaries of the intervals ($g_1, g_2 \cdots g_{n-1}$) such that
 745 condition (A2) is satisfied. Note that the outer boundaries are already fixed at $g_0 = 0$ and $g_n =$
 746 1 . In the simple case of $n = 2$ we have only a single value to find, g_1 ; it is straightforward to
 747 progressively refine this value until (A2) is satisfied. In the more general $n > 2$ case, we use
 748 the candidate values of g_i from the first task above to compute the cumulative error as

$$C(g_i) = \sum_{j=1}^i E(g_{j-1}, g_j). \quad (\text{A3})$$

749 A new set of candidate values g'_i is found by attempting to repartition the total error, $C(1)$, evenly
 750 amongst the n intervals. This is achieved by using linear interpolation into the C function to com-
 751 pute the g'_i values such that $C(g'_i) = iC(1)/n$. The errors are recomputed and the process is re-
 752 peated until (A2) is satisfied. If at any iteration the fractional range F increases then the itera-
 753 tion is not successful and instead a ‘shuffle’ step is performed. This consists of looping through
 754 adjacent pairs of intervals and adjusting the g point between them until their errors agree to within
 755 2%. Thus, for intervals 1 and 2 we adjust g_1 until $E(g_0, g_1)$ and $E(g_1, g_2)$ satisfy (A2), then do
 756 the same for intervals 2 and 3 and so on up to intervals $n-1$ and n , followed by a pass back down
 757 to intervals 1 and 2. This is usually enough that subsequent partitioning iterations using (A3) lead
 758 to a reduction of F . Any further shuffle operations proceed in the opposite direction through g
 759 space as the previous one.

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763 Data Availability Statement

764 The ecCKD software is available from <https://doi.org/10.5281/zenodo.6670050> and <https://github.com/ecmwf-ifs/ecckd>. It makes use of data from the CKDMIP project, available via the
 765 links at <http://confluence.ecmwf.int/display/CKDMIP>. The netCDF files defining the 16-, 32-
 766 and 64-term gas-optics models described in this paper are available at the ecCKD web site <https://confluence.ecmwf.int/x/XwU0Dw>.
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